	DEPARTMENT OF PUBLIC SAFETY	EFFECTIVE DATE: December 29, 2020	POLICY NO.: ADM.01.02
	DEPARTMENT ADMINISTRATION POLICY AND PROCEDURES	SUPERSEDES (Policy No. & Date): ADM.01.02 & 06/19/2008	
	SUBJECT: DEPARTMENT DIRECTIVE SYSTEM		Page 1 of 17

1.0 PURPOSE

- .1 To establish standards for the organization, content, format, codification, and maintenance of Department Policy and Procedures Manuals to achieve the Department of Public Safety's Missions Statement; which is:

"To uphold justice and public safety by providing correctional and law enforcement services to Hawaii's communities with professionalism, integrity and fairness."

- .2 To establish the Department's written directive system to ensure personnel remain informed, updated, trained, and supervised based on current Department policies and procedures. Any relevant training shall comply with Department policies and procedures.

2.0 SCOPE

This policy applies to all divisions, sections, branches, programs, units and staff offices within the Department.

3.0 REFERENCES, DEFINITIONS, & FORMS

.1 References

- a. Hawaii Revised Statutes (HRS), §353C-2, Director of Public Safety, Powers and Duties.
- b. Hawaii Administrative Rules (HAR), §23-1-5, Director's Authority
- c. Department of Public Safety (PSD), Policy and Procedures (P & P), ADM.01.01, Policy Coordination and Control.
- d. PSD, P & P, ADM.01.03, Effecting Changes in Organization.
- e. PSD, P & P, ADM.08.01, Emergency Response Manual.

.2 Definitions

- a. Type A Policies – Policies providing procedural guidelines for one or more divisions.

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These are policies which establish standards for one or more divisions. Normally, only procedural guidelines are provided, and it is the responsibility of each affected division or branch to develop the detailed procedures to implement the policy within the framework of the guidelines provided.

This type of policy is always signed by the Director and the Deputy Director responsible for the functional area.

b. Type B Policies – Policies which implement a Department Policy.

These policies are developed by a division or branch to implement a Type A Policy. The policy may be tailored to the resources and capabilities of the particular division or branch but within the framework of the guidelines or parameters provided by the Department policy. The policy only provides procedures for the staff within a particular branch or division and does not apply to any other branch or division.

Policies of this type that apply to a division are signed by the division administrator, the respective deputy director, and the Director. Policies that apply only to a branch are signed by the branch administrator.

c. Type C Policies – Policies applicable only to a division or branch.

These policies are developed by a division or branch which are unique to that division or branch and apply to no other division or branch. They may be developed under the following circumstances:

1. When no department policy exists to provide guidance in addressing a particular situation, a policy and procedure may be developed to guide their operations.
2. When the functions performed by the division or branch are unique to that organization; no other division or branch functions in that capacity. These functions may be governed by statutes.

Policies of this type that apply to a division are signed by the division administrator, the respective deputy director, and the Director. Policies that only apply to a branch are signed by the branch administrator.

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d. Commission on Accreditation for Law Enforcement Agencies (CALEA)

CALEA is a credentialing authority (accreditation), based in the United States, whose primary mission is to accredit public safety agencies, namely law enforcement agencies, training academies, communications centers, and campus public safety agencies.

e. CALEA Standards

Statements about what must be accomplished by an agency. The standard statement is a declarative sentence that places a clear-cut requirement, or multiple requirements, on an agency. Many statements call for the development and implementation of written directives, such as general or special orders, standard operating procedures, or other documented communication, which articulates the agency's policies, procedures, rules, and regulations. Other standards require an activity, a report, an inspection, equipment, or other action.

f. Standard Operating Procedures (SOPs)

SOPs are developed to fulfill Department Type B policy and procedures. SOPs are specific to Law Enforcement and in how functions and tasks are to be accomplished and shape the conduct of the sub-division (SD).

.3 Forms

a. Appendices A – O

4.0 POLICY

A well-prepared and organized policy and procedures manual is an important operational and management tool that enables administration to reach its objectives. A policy and procedures manual represents a verbal information system which contains all statements of policy, instructions, and information that will enable each employee to effectively perform their job within the context of an overall work system.

In accordance with ADM.01.01, Policy Coordination and Control, the Director shall issue all directives, policies, inter-office memorandums and materials through the Department Policy Coordinator for further development and processing.

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Any policies impacting provisions of a Collective Bargaining Unit Agreement (CBA) shall be submitted to Personnel Labor Relations Unit to process for consultation with relevant Union(s). If a timely response is not provided by the Union(s), the Director has the final authority for implementation.

Uniform policy and procedures manuals shall be established and maintained for use by all divisions throughout the Department. The basic objectives of these manuals are:

- To instruct
Provide a training tool for new personnel and a reminder on operational procedures for experienced employees.
- To provide solutions to problems
Provide a reference source about a job or work system and authoritative answers to operational questions.
- To establish controls and accountability
Establish who is responsible for performing specific functions.
- To establish standards
Ensure consistency in job performance.
- To organize
Provide a plan for organizing a work force to carry out a function.

These manuals shall be made readily available to all employees. They shall be monitored periodically and revised as necessary to ensure compliance with Department goals, statutes, administrative rules, State and Federal laws, and current case law.

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5.0 PROCEDURES

.1 Directive System

a. System Overview

1. The Department directive system shall consist of two elements.

a) Policy and Procedures

A collection of Department policy and procedures in a series of manuals which govern the administrative and operational functions of each division in the Department. All policies relating to a division shall be signed by the Director and the respective Deputy Director. Policies pertaining to a branch shall be signed by the branch administrator.

b) Inter-Office Memorandum (IOM)

IOMs may be issued by the Director or a Deputy Director if the IOM applies to more than one division, a division administrator if the IOM only applies to that division, or branch administrator if the IOM only applies to that command.

IOMs may be issued for one or more of the following purposes:

- i) To immediately establish policy and procedure with regard to a specific circumstance. IOMs of this nature will eventually be developed into a formal policy and procedure which will be placed in the appropriate manual. In this respect, IOMs of this type are of a self-canceling nature.
- ii) To explain or emphasize previously issued policy and procedures.
- iii) To disseminate information that is of interest or concern to employees.

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The concept of the directive system is to establish a single reference source for Department policy and procedures. If an employee wants to know what the latest Department policy and procedure is on a particular issue, they need only go to a single source – the policy and procedures manual governing their division or branch.

2. The Director of the Department of Public Safety has the consummate authority to issue, modify, or approve agency written directives.
3. In the event of a change of leadership, the new Director shall issue a bridging document (reference Appendix O) or IOM that shall indicate all policies and procedures of the organization will remain in effect until otherwise revised and forward it to the CALEA Regional Program Manager assigned to PSD.

b. Policy and Procedures Manuals

There shall be three main categories of policy and procedures manuals within the Department: manuals that govern the administrative functions of two or more Divisions; manuals that govern the administrative and operational functions of a single division and manuals that govern the administrative and operational functions of a single branch.

1. Administration Policy and Procedures Manuals

These manuals contain policy and procedure that govern two or more divisions. The policy and procedures in these manuals normally provide guidelines or parameters which will govern specific functions at the division and branch level. Each affected division or branch must develop procedures which implement these policies within the framework of the parameters specified.

There are four categories of administrative manuals which provide guidelines for implementing Department policy:

a) Department Administration Policy and Procedures Manual

This manual shall be identified by the title, "Department Administration" and a policy number prefixed by the letters "ADM" in the title block of all policies in the manual (reference Appendix A).

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The policies in this manual apply to all divisions within the Department. The manual provides all divisions with administrative guidelines and procedures governing such functions as establishing a new position, employee grievances, employee disciplinary procedures, management of petty cash funds, job performance reviews, maintaining inventory records, purchasing, and so forth, which are common to all divisions.

b) Law Enforcement Administration Policy and Procedures Manual

This Manual shall be identified by title, "Law Enforcement Administration" and a policy number prefixed by the letters "LAW" in the title block of all policies in the manual (reference Appendix B).

The policies in this manual only apply to law enforcement divisions. Policies in this manual provide procedural guidelines governing law enforcement functions. Each division in law enforcement is responsible for developing the detailed procedures to implement the policy within the framework or parameter of the guidelines provided.

c) Corrections Administration Policy and Procedures Manual

This manual shall be identified by the title, "Corrections Administration" and a policy number prefixed by the letters "COR" in the title block of all policies in the manual (reference Appendix C).

The policies in this manual apply to one or more divisions under the Deputy Director for Corrections. The policies provide procedural guidelines for all correctional operations to follow in implementing Department policy pertaining to correctional programs. Every correctional facility is responsible for developing procedures for governing their operations based upon the guidelines in this manual.

d) Department Emergency Response Manual

This manual provides procedural guidelines for all divisions in the Department to follow in the event of specific emergencies. Every

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division and branch in the Department must develop emergency procedures tailored to their resources and capabilities based upon the guidelines provided in this manual. The provisions of this manual are outlined in PSD, P&P, ADM.08.01, Emergency Response Manual.

2. Division Manuals

a) Divisions Under the Deputy Director for Law Enforcement

Every law enforcement division shall establish and maintain an administration and operations manual which will govern their operations. The manual shall contain all standard operating procedures (SOP) developed by the division to implement law enforcement policy based upon guidelines provided in the Law Enforcement Administration Policy and Procedures Manual. Procedure format and chapter content of the manual shall be identical to the Law Enforcement Administration Policy and Procedures Manual. Each division manual shall be identified by the name of the division and a policy number prefixed by a unique designation for the division in the title block of all procedures (reference Appendix G). Divisions may establish their own policy after consultation with the designated CALEA entity within the Department.

b) Divisions Under the Deputy Director for Corrections

Divisions may establish their own policy and procedures manual as deemed necessary after consultation with the Department Policy Coordinator. An example of the standard format that shall be used is shown in Appendix E.

c) Divisions Under the Deputy Director for Administration

Divisions may establish their own policy and procedures manual as deemed necessary after consultation with the Department Policy Coordinator. An example of the standard format that shall be used is shown in Appendix A.

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3. Branch Manuals

a) Correctional Facility Branch Policy and Procedures Manual

Every correctional facility shall establish and maintain a policy and procedures manual which will govern their operations. The manual shall contain the procedures developed by the facility to implement corrections policy based upon guidelines provided in the Corrections Administration Policy and Procedures Manual.

The Correctional Facility Policy Coordinator will consult with the Department Policy Coordinator on policy implementation and revision and in accordance with PSD, P & P, ADM.01.01, Policy Coordination and Control. Each branch manual shall be identified by the name of the facility and a policy number prefixed by a unique number for that facility in the title block of all procedures (reference Appendix F).

When a facility policy applies to staff at the same facility who function under different divisions, the branch administrators of the respective divisions shall both sign the policy as the approving authorities.

Example: For a policy that applies to both security staff and health care staff at a facility, the signature blocks would be as follows:

APPROVED

Warden

Date

APPROVED

Clinical Services Branch Administrator

Date

If the policy only applied to security personnel or security functions, the warden would be the sole approving authority.

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b) Branch Policy and Procedure Manuals Under Other Correctional Divisions

Branches within a division may establish their own policy and procedures manual after consultation with the Department Policy Coordinator. These manuals would provide the procedures which implement division policy. Appendix E for the intake service centers division.

.2 Policy Format

A standard policy and procedure format shall be used for all administrative, division, and branch policies (reference Appendix H).

a. Title Block

The title block on the first page contains the State Seal of the Department of Public Safety. The title block on the preceding pages are uniformed and do not contain the state seal.

b. Sections

1. There are five (5) Major sections for Type A, B, and C policies. Each major section is numbered 1.0 through 5.0, are capitalized, bold, and underlined. These sections are:

1.0 PURPOSE

2.0 SCOPE

3.0 REFERENCES, DEFINITIONS, AND FORMS

4.0 POLICY

5.0 PROCEDURE

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2. Secondary section headings are numbered using Arabic numerals preceded by a period, are in both upper and lower case letters, and are underlined.
 - .1 References
 - .2 Definitions
 - .3 Forms
3. Only the 5 Major section headings and the Secondary section headings are underlined.
4. There must be two or more subsections under a section to justify the use of subsection designators.
5. There are nine designated subsections that are numbered using Arabic numerals, Roman numerals, and lowercase letters (reference Appendix H).

c. Margins and Indents

1. Margins

Margins in Word are indicated by the ruler. The horizontal margins for all policies shall be set at one-inch (reference Appendix I).

2. Indent Markers

Indents in Word are indicated by the triangle and box-shaped markers on the left side of the ruler. Indents separating section headings for all policies shall be set 0.38" apart. These indents are preset in the policy template and do not need to be selected by the user (reference Appendix I).

d. Policy Template

The Department policy template contains the standardized title block, layout, margins and indents, formatting, and text requirements described above (reference Appendix H).

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.3 Policy Number Codification System

a. Administration Policy and Procedures Manuals

An alpha-numeric system shall be employed for policy numbers in administration manuals. An alpha prefix shall designate the administrative area, the next two digits represent the chapter number within the manual, and the last two digits represent the policy number within the chapter.

Examples:

ADM.02.04 = The fourth policy under Chapter 2 within the Department Administration Policy and Procedures Manual.

LAW.06.03 = The third policy under Chapter 6 within the Law Enforcement Administration Policy and Procedures Manual.

COR.08.08 = The eighth policy under Chapter 8 of the Corrections Administration Policy and Procedures Manual.

All administrative policies shall be numbered from 1 through 50 of each chapter.

b. Law Enforcement Division Administration and Operations Manuals

Law policies will replace and rescind all SD policies. SD will issue SOPs. All SOPs are covered by a CALEA Standard and shall be reviewed by the designated CALEA entity within the department and forwarded to the Department Policy coordinator for further review before it is issued. All SOPs in the law enforcement division manuals shall have an alpha-numeric designation in the title block for policy numbers. The prefix shall indicate the particular division:

SD = Sheriff Division
 NED = Narcotics Enforcement Division

The second two digits shall coincide with the chapter in the Law Enforcement Administration Policy and Procedures Manual and the last two digits represent the policy number within the chapter.

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Division procedures which are developed to implement an administrative policy shall have the same chapter number and policy number within the chapter as that in the Law Enforcement Administration Policy and Procedures Manual.

SOPs within chapters which are developed by a division and apply only to that division shall be numbered 51 to 100.

Example:

Policy No. NED.06.03 indicates a procedure in the Narcotics Enforcement Division Administration and Operations Manual which implements the third policy under chapter 6 in the Law Enforcement Administration Policy and Procedures Manual.

Policy No. NED.06.52 indicates a procedure developed by the Narcotics Enforcement Division under chapter 6 in their administration operations manual but which applies only to their division and is not based upon an administration policy.

c. **Branch Manuals**

1. **Correctional Facility Branch Policy and Procedures Manual**

All procedures in the correctional facility branch manuals shall have a five-digit numeric designation in the title block for policy number. The first digit shall indicate the particular branch:

- 2 = Halawa Correctional Facility
- 3 = Kulani Correctional Facility
- 4 = Waiawa Correctional Facility
- 5 = Hawaii Community Correctional Facility
- 6 = Maui Community Correctional Facility
- 7 = Oahu Community Correctional Facility
- 8 = Kauai Community Correctional Facility
- 9 = Women's Community Correctional Center

The second two digits shall coincide with the chapter in the Corrections Administration Policy and Procedures Manual and the last two digits represent the policy number within that chapter.

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Branch procedures which are developed to implement an administration policy shall have the same chapter number and policy number within the chapter as that in the Corrections Administration Policy and Procedures Manual. Policies within a chapter which are developed by a branch that apply only to that branch shall be numbered 51 to 100.

Examples:

Policy No. 6.08.02 indicates a procedure in the Maui Community Correctional Center Policy and Procedures Manual which implements the second policy under chapter 8 in the Corrections Administration Policy and Procedures Manual.

Policy No. 6.08.52 indicates a policy developed by MCCC under chapter 8 in their Policy and Procedures Manual but which applies only to their branch and is not based upon a Corrections Administration policy.

2. Intake Service Centers Branch Policy and Procedures Manual

All procedures in Intake Service Center branch manuals shall have a five-digit numeric designation in the title block for policy number. The first digit shall indicate the particular branch:

- 1 = Oahu Intake Service Center
- 2 = Maui Intake Service Center
- 3 = Hawaii Intake Service Center
- 4 = Kauai Intake Service Center

The second two digits shall coincide with the chapter in the Intake Service Centers Division Administration Policy and Procedures Manual and the last two digits; the policy number within that chapter.

Branch procedures which are developed to implement an administration policy shall have the same chapter number and policy number within the chapter as that in the Intake Service Centers Division Administration Policy and Procedures Manual.

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Policies within a chapter which are developed by a branch that apply only to that branch shall be numbered 51 to 100.

Examples:

Policy No. 1.05.06 indicates a procedure in the Oahu Intake Service Center Policy and Procedures Manual which implements the sixth policy under chapter 5 in the Intake Service Centers Division Administration Policy and Procedures Manual.

Policy No. 2.05.54 indicates a policy in the Maui Intake Service Center Policy and Procedures Manual under chapter 5 which applies only to that branch and is not based upon an Intake Service Centers Division Administration Policy.

.4 Manual Organization and Content

a. Department Administration

The chapter organization and general subject matter that shall be contained in each chapter of the Department Administration Policy and Procedures Manual will be found in Appendix J.

b. Law Enforcement Administration

The chapter organization and general subject matter that shall be contained in each chapter of the Law Enforcement Administration Policy and Procedures Manual will be found in Appendix K. Every law enforcement division shall organize their administration and operations manual along identical lines.

c. Corrections Administration

The chapter organization and general subject matter that shall be contained in each chapter of the Corrections Administration Policy and Procedures will be found in Appendix L. Every correctional facility shall organize their policy and procedures manual along identical lines.

d. Intake Service Centers Division Administration and Other Divisions Under the Deputy Director for Corrections

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The chapter organization and general subject matter that shall be contained in each chapter of the Intake Service Centers Division Administration Policy and Procedures Manual will be found in Appendix M. Every intake service center branch shall organize their policy and procedures manual along identical lines.

Other divisions wishing to establish their own manual shall consult with the Department Policy Coordinator, who will assist them in chapter organization and content in order to ensure Department standards are followed.

e. Table of Contents Organization

The table of contents for all division and branch manuals may be organized to act as a reference source for administration policy and procedures as well as division or branch procedures. Not all administration policy and procedures need further development and implementation at the division or branch level. The table of contents of branch and division manuals may be designed to function as a single reference source for all Department policy. An example follows of one way this may be done for a branch manual:

Example:

<u>Chapter 14</u>	<u>INMATE PROGRAMS</u>	<u>EFFECTIVE DATE</u>
COR.14.01	Arrest Warrants for Furloughed Inmates	03/03/10
03.14.02	Inmate Workline	08/10/20
COR.14.03	Prescriptive Program Plans	04/14/20
COR.14.04	Adult Parole Agreement with HPA	04/14/20
COR.14.06	Inmate Work and Conduct Reports	08/26/16

Explanation:

“COR” preceding a policy number in the table of contents indicates the policy did not require further work for implementation at the branch level and the policy may be found under the corresponding policy number in the Corrections Administration Policy and Procedures Manual. A branch indicator prefix indicates a policy has been developed to implement a Corrections Administration policy with a corresponding chapter and policy number and it will be found in this branch manual.

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APPROVAL RECOMMENDED:



Deputy Director for Administration 12/28/2020
Date

APPROVAL RECOMMENDED:



Deputy Director for Corrections 12/28/2020
Date

APPROVAL RECOMMENDED:



Deputy Director for Law Enforcement 12/28/2020
Date

APPROVED:



DIRECTOR 12/29/2020
Date

NOT-CONFIDENTIAL

	DEPARTMENT OF PUBLIC SAFETY DEPARTMENT ADMINISTRATION POLICY AND PROCEDURES	EFFECTIVE DATE: (Date approving authority signs)	POLICY NO.: ADM.00.00
	SUBJECT: --	SUPERSEDES (Policy No. & Date): --	
			Page 1 of 1

1.0 PURPOSE

2.0 SCOPE

3.0 REFERENCES, DEFENITIONS & FORMS

.1 References

.2 Definitions

.3 Forms

4.0 POLICY

5.0 PROCEDURES

APPROVAL RECOMMENDED:

 Deputy Director for Administration Date

 Deputy Director for Corrections Date

 Deputy Director for Law Enforcement Date

APPROVED:

 DIRECTOR Date

	DEPARTMENT OF PUBLIC SAFETY	EFFECTIVE DATE: (Date approving authority signs)	POLICY NO.: LAW.00.00
	LAW ENFORCEMENT ADMINISTRATION POLICY AND PROCEDURES	SUPERSEDES (Policy No. & Date): --	
SUBJECT: --		Page 1 of 1	

1.0 PURPOSE

2.0 SCOPE

3.0 REFERENCES, DEFENITIONS & FORMS

.1 References

.2 Definitions

.3 Forms

4.0 POLICY


5.0 PROCEDURES

APPROVAL RECOMMENDED:

 Deputy Director for Law Enforcement Date

APPROVED:

 DIRECTOR Date

	OAHU INTAKE SERVICE CENTER	EFFECTIVE DATE: (Date approving authority signs)	SOP NO.: __.00.00
	POLICY AND PROCEDURES	SUPERSEDES (SOP No. & Date): --	
SUBJECT: --		Page 1 of 1	

Facility name and facility indicator will change for each facility in the title block; facility indicators are:

- 1 = Oahu Intake Service Center
- 2 = Maui Intake Service Center
- 3 = Hawaii Intake Service Center
- 4 = Kauai Intake Service Center

1.0 PURPOSE

2.0 SCOPE

3.0 REFERENCES, DEFENITIONS & FORMS

- .1 References
- .2 Definitions
- .3 Forms

4.0 POLICY

5.0 PROCEDURES

Signature block:

APPROVED:

ISC Manager

Date

	DEPARTMENT OF PUBLIC SAFETY INTAKE SERVICE CENTERS DIVISION ADMINISTRATION POLICY AND PROCEDURES	EFFECTIVE DATE: (Date approving authority signs)	POLICY NO.: ISC.00.00
		SUPERSEDES (Policy No. & Date): --	
SUBJECT: --		Page 1 of 1	

1.0 PURPOSE

2.0 SCOPE

3.0 REFERENCES, DEFENITIONS & FORMS

- .1 References
- .2 Definitions
- .3 Forms

4.0 POLICY

5.0 PROCEDURES


APPROVAL RECOMMENDED:

 Intake Service Center Administration Date

 Deputy Director for Corrections Date

APPROVED:

 DIRECTOR Date

	_____ CORRECTIONAL FACILITY POLICY AND PROCEDURES	EFFECTIVE DATE: (Date approving authority signs)	SOP NO.: __.00.00
		SUPERSEDES (SOP No. & Date): --	
SUBJECT: --		Page 1 of 1	

Facility name and facility indicator will change for each facility in the title block: facility indicators are:

- | | |
|--|---|
| 2 = Halawa Correctional Facility | 6 = Maui Community Correctional Center |
| 3 = Kulani Correctional Facility | 7 = Oahu Community Correctional Center |
| 4 = Waiawa Correctional Facility | 8 = Kauai Community Correctional Center |
| 5 = Hawaii Community Correctional Center | 9 = Women's Community Correctional Center |

1.0 PURPOSE

2.0 SCOPE

3.0 REFERENCES, DEFENITIONS & FORMS

- .1 References
- .2 Definitions
- .3 Forms

4.0 POLICY

5.0 PROCEDURES

Signature block:

APPROVED:

Warden

Date

	DEPARTMENT OF PUBLIC SAFETY (LE SUB-DIVISION HERE)	EFFECTIVE DATE: (Date approving authority signs)	SOP NO.: xxx
	STANDARD OPERATING PROCEDURES	SUPERSEDES (SOP No. & Date): xxx	
	SUBJECT: xxx	Page 1 of 2	

1.0 PURPOSE

The recommended guidelines by DCAB is that font is Ariel or Helvetica 12pt. At a minimum, PSD will issue all policies and forms related to the public in Ariel 12pt, to align with these recommendations.

2.0 SCOPE

(Identification of the organizational units to which the policy applies)

3.0 REFERENCES, DEFENITIONS & FORMS

.1 References

a. (The basis for authority, i.e., a statute, administrative rule, State or Federal Standard, or case law.)

b.

.2 Definitions

a.

b.

.3 Forms

a.


b.

4.0 POLICY

(A brief statement which outlines, in general terms, what must be done and the rationale behind it.)

5.0 PROCEDURES

(Instructions which explain how to implement the policy statement. Responsibilities for the performance of the procedures are established here.)

	DEPARTMENT OF PUBLIC SAFETY (CORRESPONDING ADMINISTRATIVE DIVISION) POLICY AND PROCEDURES	EFFECTIVE DATE: (Date approving authority signs)	POLICY NO.: --
		SUPERSEDES (Policy No. & Date): --	
SUBJECT: --		Page 1 of 3	

The recommended guidelines by DCAB is that font is Ariel or Helvetica 12pt. At a minimum, PSD will issue all policies and forms related to the public in Ariel 12pt, to align with these recommendations.

1.0 PURPOSE

(A brief overview for the reader which outlines what functions the procedures cover)

2.0 SCOPE

(Identification of the organizational units to which the policy applies)

3.0 REFERENCES, DEFENITIONS & FORMS

.1 References

(The basis for authority, i.e., a statute, administrative rule, State or Federal Standard, or case law)

.2 Definitions

(The primary source for understanding and clarifying terminology used in policy)

.3 Forms

(The uniformed source for staff to record and maintain accurate information that assists the Department in ensuring its operational effectiveness)

4.0 POLICY

(A brief statement which outlines, in general terms, what must be done and the rationale behind it.)

5.0 PROCEDURES *(Major section headings are capitalized, bold, and underlined)*

(Instructions which explain how to implement the policy statement. Responsibilities for the performance of the procedures are established here)

.1 Secondary section heading *(numbered using Arabic numerals preceded by a period, are in both upper and lower case letters, and are underlined)*

a. Third sub-section heading *(lowercase letters follow Arabic numerals)*

(CORRESPOND- ING ADM DIVISION) P & P M	SUBJECT: --	POLICY NO.: --
		EFFECTIVE DATE: (Date approving authority signs)
		Page 2 of 3

1. Fourth sub-section heading (*Arabic numerals followed by a period follow lowercase letters*)
 - a) Fifth sub-section heading (*lowercase letters with a single parenthesis follow Arabic numerals followed by a period*)
 - i) Sixth sub-section heading (*lowercase Roman numerals with a single parenthesis follow lowercase letters with a single parenthesis*)
 - (1) Seventh sub-section heading (*Arabic numerals with a double parenthesis follow lowercase Roman numerals with a single parenthesis*)
 - (a) Eighth sub-section heading (*lowercase letters with a double parenthesis follow Arabic numerals with a double parenthesis*)
 - (i) Ninth sub-section heading (*lowercase Roman numerals with a double parenthesis follow lowercase letters with a double parenthesis*)
 - b. Second section heading (*There must be two or more subsections under a section to justify the use of subsection designators*)

APPROVAL RECOMMENDED:

 Deputy Director for (Corresponding Division) Date

APPROVED:

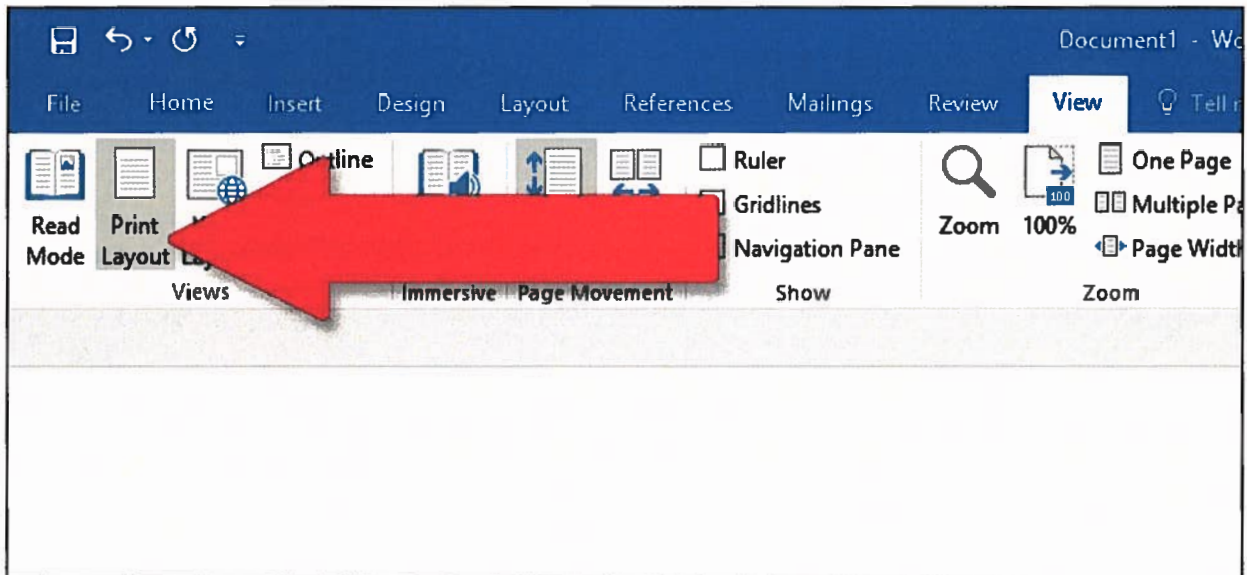
 DIRECTOR Date

(CORRESPOND- ING ADM DIVISION) P & P M	SUBJECT: --	POLICY NO.: --
		EFFECTIVE DATE: (Date approving authority signs)
		Page 3 of 3

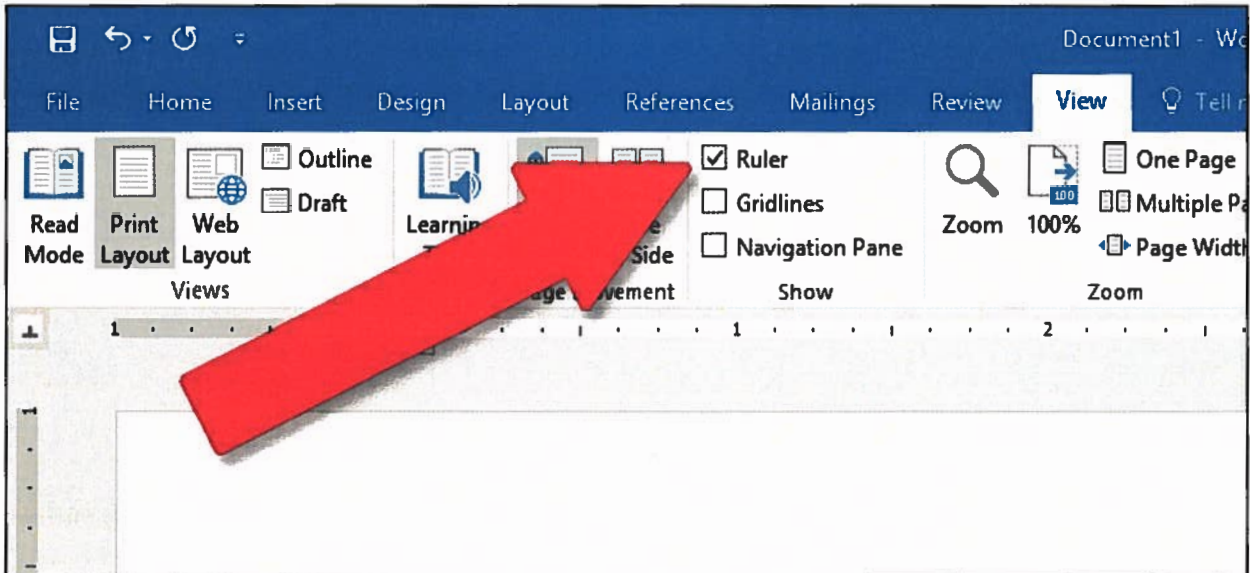
Note: Type B and C policies shall only have a single "APPROVED" signature block and date for the division or branch administrator.

For a further instruction on what constitutes a purpose statement, a policy statement, a procedure statement, and how to construct policy and procedure statements, refer to "A Guide For Writing Effective Policies and Procedures" (Appendix N).

First, to activate the rulers, click on the “View” tab (pictured on the far right below). If “Print Layout” isn’t already highlighted, click it now.

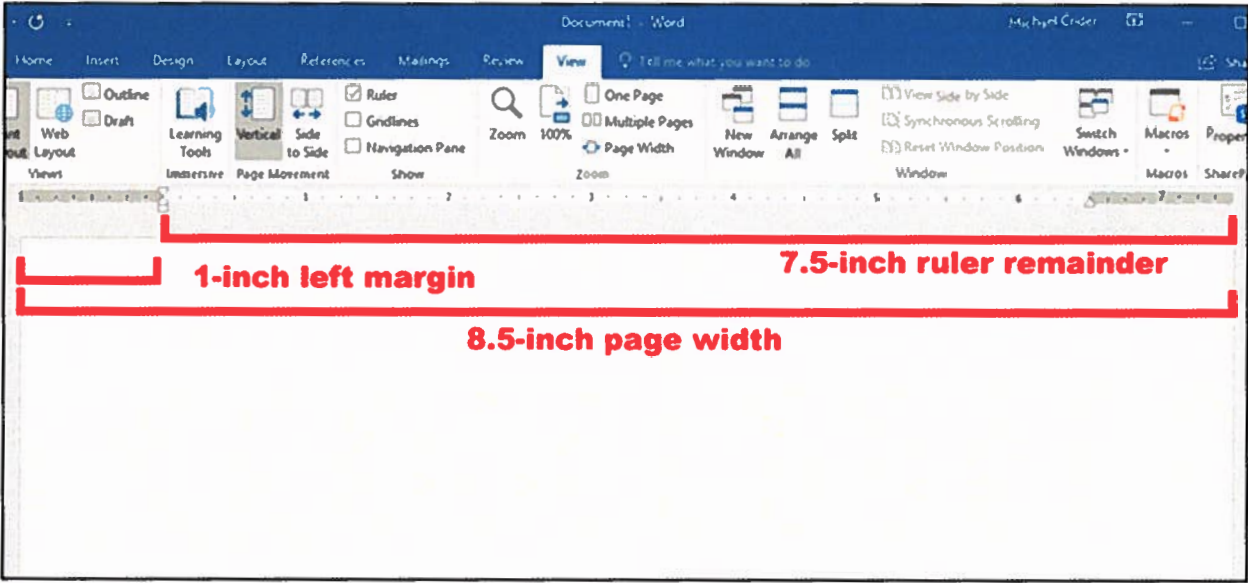


At the center, in the “Show” section, enable the “Rulers” option by clicking on the box to the left (as pictured below). A check mark will show up and you should immediately see the horizontal ruler above your document and the vertical ruler to its left.

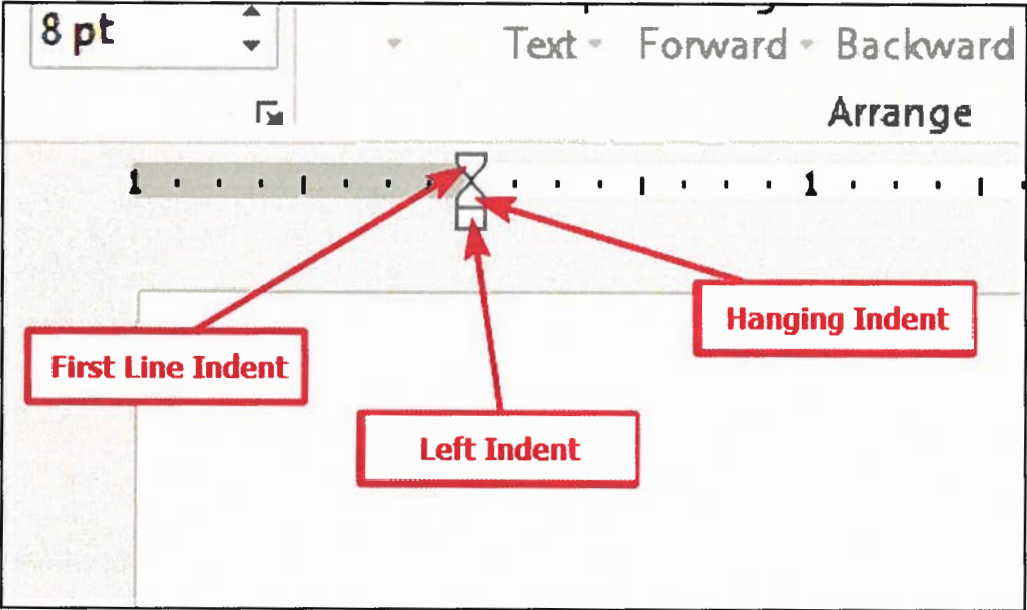


Note: The horizontal ruler is also visible in the Web Layout and Draft view. The vertical ruler is not.

In Word's default 8.5 by 11-inch page setup, the horizontal ruler margins are set at one-inch.



Indent markers in Word are indicated by the triangle and box-shaped markers on the left side of the ruler.



To upload the template in Microsoft Word:

1. Open a blank word document,
2. Click on <File>,
3. Click on <Options>,
4. In the left column, click on <Advanced>,
5. Scroll down to the bottom and under the General Tab, select <File Location>,
6. Highlight "Workgroup Templates,"
7. Click on the <Modify> button,
8. Highlight "L" Drive,
9. Scroll down and select the "Workgroup Templates," Folder,
10. Click <Ok>.

To open the template in Microsoft Word:

1. Open a blank word document,
2. Click on <File> ,
3. Select "New" in the left column,
4. Click on the <Shared> option,
5. Select the "PSD_Templates" folder,
6. Select the appropriate policy template.

DEPARTMENT ADMINISTRATION POLICY AND PROCEDURES MANUAL

TABLE OF CONTENTS

(The following presents a general outline of the type of material that will constitute each chapter of the manual. A policy may cover one or more subjects.)

Chapter 1 - Administration, Organization and Management

- * Policy Coordination and Control
- * Department Directive System
- * Effecting Changes in Organization
- * Media Relations and Access to Department Information
- * Completed Staff Work
- * Employee-Management Cooperation
- * Legal Opinions, Request for
- * Responding to Phone Calls or Letters from Citizens Concerning Accidents or Hazards on State Property
- * Shoulder Patches, Request for
- * Request for Change or Interpretation of Department Policy
- * Management Control and Assessment System (MCAS)
- * Complaints
- * Referral from Governor, Legislature and Congressional Dignitaries Response System
- * Legislative Coordination
- * Gender Responsiveness

Chapter 2 - Fiscal Management

- * Motor Vehicles
- * Travel Request and Reimbursements
- * Purchasing of Goods and Services
- * Fiscal Responsibilities
- * Cellular Telephones
- * Overpayment Payroll Transactions
- * Proceeds

Chapter 3 - Personnel

- * Ethics Code, Gifts and Unwarranted Privileges
- * Employee Newsletters/Publications
- * Service of Process
- * Outside Employment

- * Incentive and Service Awards
- * Personal Appearance and Dress Code
- * New Employee Orientation
- * Discrimination and Harassment in Employment
- * Alcohol and Controlled Substance Testing of Excluded Personnel
- * Employee Time and Attendance
- * Personal Hardship Accommodation
- * Adult Corrections Officer (ACO) Request for Transfer/Voluntary Demotion

Chapter 4 - Training and Staff Development

- * Training Requirement for Law Enforcement Officer Recruits
- * Pulmonary Tuberculosis Clearance and Training
- * Bloodborne Pathogens Training and Immunization
- * Level I-A, In-Service Training for Law Enforcement Officers
- * Comprehensive Respiratory Protection Plan
- * Internal Complaint Procedure
- * Department Training and Staff Development Program
- * Preparation and Processing of Training Requests
- * Basic Training Requirements for Adult Corrections Officer Recruits
- * In-Service Training Requirements for Adult Corrections Officers
- * Firearms Qualification – Corrections
- * Firearms Qualification – Law Enforcement
- * Firearms Training

Chapter 5 - Records Management and Information Systems

- * Access Control to Department Confidential Information
- * Public Access to Department Information
- * Records Organization and Reporting

Chapter 6 - Physical Plant and Equipment Maintenance

- * Capital Improvement Project Submission Process

Chapter 7 - Safety and Sanitation

- * Fire Prevention Plans
- * Safety and Health Inspection Plans
- * Housekeeping Plans

Chapter 8 - Security and Control

- * Emergency Response Manual
- * Department Fire Safety Program
- * Department Identification Badges
- * Bomb and Threat Action Plan
- * Emergency Release of Employees

- * National Crime Information Center Access Control
- * Threats Against State Officials
- * Prison Rape Elimination Act (PREA)
- * Workplace Non-Violence
- * DNA Sampling for Convicted Felons

Chapter 9 – Information Security

- * Acceptable Usage of IT Resources Policy
- * General Security Policy
- * Network Security Policy
- * Remote Access Security Policy
- * Disposal of Computer Equipment and Computer Media
- * Hawaii Integrated Justice Information Sharing (HIJIS) Framework

LAW ENFORCEMENT ADMINISTRATION POLICY AND PROCEDURES MANUAL

TABLE OF CONTENTS

(The following presents a general outline of the type of material and information that would go into each chapter. A policy may cover one or more subjects.)

Chapter 1 – Administration, Organization and Management

In addition to those subjects outlined under Chapter 1 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Media relations and access to law enforcement facilities
- * Chain of Command for Law Enforcement
- * Goal/Mission Statements for Law Enforcement
- * Mutual Assistance

Chapter 2 – Fiscal Management

In addition to those subjects outlined under Chapter 2 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Purchasing Procedures Unique to Law Enforcement

Chapter 3 – Personnel Management

In addition to those subjects outlined under Chapter 3 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Overtime for Law Enforcement Personnel
- * Job Description
- * Dress Code for Court Appearances

Chapter 4 – Training and Staff Development

In addition to those subjects outlined under Chapter 4 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Establishment and Maintenance of Division Training Programs

Chapter 5 – Records and Information Systems

In addition to those subjects outlined under Chapter 5 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Filing Systems

Chapter 6 – Physical Plant and Equipment Maintenance

In addition to those subjects outlined under Chapter 6 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Preventative Maintenance Programs for Vehicles and Equipment

Chapter 7 – Safety and Sanitation

In addition to those subjects outlined under Chapter 7 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Safety and Sanitation Policies Unique to Law Enforcement

Chapter 8 – Security and Control

In addition to those subjects outlined under Chapter 8 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Evidence Control
- * Key Control

Chapter 9 – Firearms and Use of Force

- * Use of Firearms
- * Control of Weapons and Security Equipment
- * Use of Force
- * Weapons and Equipment Standards
- * Firearms Qualification Requirements

Chapter 10 – Management of Custodies

- * Suicide Watch
- * Segregation
- * Searches
- * Transport of Custodies
- * Food Service
- * Offender Personal Property Control
- * Visitation

Chapter 11 – Citizen Involvement and Volunteers

- * Volunteer Programs

Chapter 12 – Investigations

- * Guidelines Governing Law Enforcement Investigations

Chapter 13 – Information Systems Maintenance

- * Procedures for Entering Data Into the Law Enforcement Information System

CORRECTIONS ADMINISTRATION POLICY AND PROCEDURES MANUAL

TABLE OF CONTENTS

(The following presents a general outline of the type of material and information that would go into each chapter. A policy may cover one or more subjects.)

Chapter 1 – Administration, Organization and Management

In addition to those subjects outlined under Chapter 1 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Chain of Command
- * Staff Meetings
- * Correspondence Concerning Inmates
- * Reporting Ward Abuse
- * Police Re-booking at Corrections Facilities and Centers on Oahu
- * Correspondence
- * Accidents and Workers Compensation Claims
- * Inmate Solicitation and Contributions
- * Monthly Branch Reports
- * Corrections Mission and Goal
- * Internship Programs
- * Intake Service Center Authority
- * Correctional Industries Advisory Board
- * Smoking in the Workplace
- * Responsibilities of Program Administrators and Officers

Chapter 2 – Fiscal Management

In addition to those subjects outlined under Chapter 2 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Inmate Store
- * Inmate room and Board Payments
- * Equipment and Property Inventory
- * Restitution Collection

- * Administrator Activity Trust Fund
- * Credit Cards, Oil Company
- * Budget, Preparation Guidelines for
- * Inventory Supplies and Equipment, Control, and Disposition of
- * Inmate Trust Accounts
- * Monetary Donations to Inmate Trust Funds

Chapter 3 – Personnel Management

In addition to those subjects outlined under Chapter 3 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Attendance Records
- * Calculation of ACO Work Unit or Workplace Seniority
- * Dress Standard for Adult Corrections Officers
- * New Education Employee Orientation
- * Adult Correctional Officer Temporary Light Duty Assignment
- * Job Performance Report

Chapter 4 – Training and Staff Development

In addition to those subjects outlined under Chapter 4 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Professional Development
- * Departmental Grievance Procedures
- * Minimum Training Requirements for Non-Regular Adult Correctional Officers

Chapter 5 – Records and Information Systems

In addition to those subjects outlined under Chapter 5 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Certificate of Presentence Credits
- * Sentenced Felon Inmate Case Records Management
- * Inmate/Public Access to Correctional Policies and Procedures
- * Sentence Computation
- * Admissions Documentation
- * Release Documentation

- * Post and Area Logbooks
- * Criminal History Records and Documentation
- * Personal History Records and Documentation
- * Criminal History Code Definitions
- * Personal Profile Code Definitions
- * Pretrial Recommendation Code Definitions
- * Supervised Release Code Definitions

Chapter 6 – Physical Plant and Equipment Maintenance

In addition to those subjects outlined under Chapter 6 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Preventative Maintenance Program

Chapter 7 – Safety and Sanitation

In addition to those subjects outlined under Chapter 7 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Facility Inspections
- * Vehicle Operation - Inmate Safety Precautions
- * Inmate Supervisor Reporting of Inmate Injuries
- * Food Service Area Sanitation Inspections
- * Housekeeping Inspections
- * Housekeeping Plan for Food Service Areas
- * Housekeeping Plan for Non-Housing Areas
- * Sanitizing Plan for Inmate Sleeping Areas
- * Environmental Health and Safety
- * Food Handling
- * Body Fluid Cleanup in Food Services Areas
- * Environmental Health and Safety Audits of Correctional Facilities

Chapter 8 – Security and Control

In addition to those subjects outlined under Chapter 8 of the Department Administration Policy and Procedures Manual (Appendix J), this chapter may contain:

- * Court Appearance and Transport of Inmates

- * Searches of Visitors and Staff
- * Seizure of Evidence
- * Notice of Laws Relating to Contraband
- * Firearms Safety Precautions
- * Use of Ion Scanners
- * Use of Force
- * Transfer of Defendants to the Director of the Department of Health
- * Transport of Inmates to Federal Court
- * Inmate/Defendant Drug Detection Program
- * Inmate Identification/Photographs
- * Weapons/Security Equipment, Control of
- * Duty Assignment for Corrections Officers
- * Restricted Access to Correctional Facilities
- * The Safe WRAP Restraint
- * Security Manual and Post Orders
- * Employee/Contractor Personal Tool Control
- * Count Principles and Procedures
- * Use of Mechanical Restraints
- * Tool/Equipment Control
- * Key Control
- * Perimeter and Gate Security
- * Searches of Inmates
- * Area Searches, Shakedowns
- * Weapons and Equipment Standards
- * Security & Control of Security Threat Groups
- * Security Staffing – Corrections

Chapter 9 – Food Services

- * Food Services Management
- * Meals, Staff and Guests
- * Food Preservation for Health Inspection
- * Kitchen Staff and Food Handlers
- * Food Service Emergency Contingency Plan (ECP)

Chapter 10 – Medical and Health Care Services

- * Access to Care
- * Responsible Health Authority
- * Medical Autonomy
- * Administrative Meetings and Reports

- * Policy and Procedure
- * Continuous Quality Improvement Program
- * Emergency Response Plan
- * Communication on Special Needs Patients
- * Privacy of Care
- * Procedure in the Event of an Inmate Death
- * Grievance Mechanism for Health Complaints
- * Inmate Medical Co-Payment
- * Inmate Requesting Private Medical Provider
- * Infection Control Program
- * Patient Safety
- * Staff Safety
- * Health Care PREA Compliance and Sexual/Physical Abuse Procedures
- * Contraception
- * Kitchen Sanitation
- * Credentialing
- * Clinical Performance Enhancement
- * Professional Development
- * Health Training for Correctional Officers
- * Medication Administration Training
- * Inmate Workers
- * Staffing
- * Orientation for Health Staff
- * Pharmaceutical Operations
- * Medication Services
- * Clinic Space, Equipment, and Supplies
- * Diagnostic Services
- * Hospital and Specialty Care
- * Personal Medications
- * Employees/Visitors Medical Services
- * Release Medications
- * First Aid \ Kits
- * Medication Administration in Segregation Housing Areas
- * Information on Health Services
- * Receiving Screening for Medical/Mental and Dental Health
- * Transfer Screening
- * Initial Health Assessment
- * Mental Health Assessment and Evaluation
- * Oral Care
- * Non-Emergency Health Care Requests and Services
- * Emergency Services

- * Patient Escort
- * Nursing Assessment Protocols
- * Continuity of Care During Incarceration
- * Mental Health Discharge Planning
- * Access to Health Care for Inmates in Community Based Programs
- * Reporting of Patient Injuries
- * Cross-Hormone Therapy Transsexual/Intersex Patients
- * Eye Care
- * Healthy Lifestyle Promotion
- * Nutrition and Medical Diets
- * Use of Tobacco
- * Personal Hygiene
- * Self Administered Medications
- * Automatic External Defibrillators
- * Pulmonary Tuberculosis Control Program
- * Preventive Health Services
- * Chronic Disease Services
- * Patients with Special Health Needs
- * Infirmary Services
- * Mental Health Services
- * Suicide Prevention
- * Inmates with Alcohol and Other Drug Problems
- * Intoxication and Withdrawal
- * Counseling and Care of the Pregnant Inmate
- * Assistive Devices/Aids to Impairment
- * Medical Releases
- * Care for the Terminally Ill
- * Court Authorized Involuntary Psychiatric Medications
- * Medical Records Format and Contents
- * Confidentiality of Medical Records Information
- * Management of Health Records
- * Access to Custody Information
- * Patient Access to Protected Health Information
- * Form Development and Control
- * Release of Protected Health Information
- * Restraint and Seclusion (Clinically Ordered)
- * Involuntary Emergency Treatment and Medication
- * Forensic Information
- * End-of-Life Decision Making
- * Informed Consent & Right to Refuse
- * Medical Research

- * Hunger Strike

Chapter 11 – Special Management Inmates

- * Administrative Segregation and Disciplinary Segregation
- * Protective Custody Management
- * Special Problem Inmate Management

Chapter 12 – Inmate Rights

- * Right to Safe Custody
- * Inmate Legal Activities
- * Inmate Grievance Program
- * Access to Ombudsman
- * Religious Programs

Chapter 13 – Inmate Rules and Adjustment Process

- * Adjustment Procedures Governing Serious Misconduct Violations and the Adjustment of Minor Misconduct Violation

Chapter 14 – Inmate Programs, Activities, and Services

- * Arrest Warrants for Furloughed Inmates
- * Inmate Work Program/Compensation
- * Prescriptive Program Plans
- * Adult Parole Agreement with Hawaii Paroling Authority
- * Funeral and Sick Bed Visits by Inmates
- * Inmate Work and Conduct Reports
- * Minor Transfer to An Adult Correctional Facility
- * Education Program Operations Manual
- * Academic and Career and Technical Program Standards
- * Administration of Inmate Education Records
- * Establishment of New Academic and Career and Technical Programs
- * Post-Secondary Programs
- * Offender Marriages
- * Recreation and Leisure Time
- * Inmate Furlough Program
- * Library Service
- * Inmate Consent to be Interviewed, Photographed and/or Videotaped
- * Academic/Vocational Program Mandates

- * Handicapped and Disabled Inmates
- * Electronic Monitoring Service (EMS)
- * Offender Assessment Protocols

Chapter 15 – Communication, Mail, and Visiting

- * Restricted Visitors
- * Correspondence
- * Access to Telephone
- * Visitation
- * Inmate Access to Publications

Chapter 16 – Admission, Orientation and Release

- * Inmates Serving Intermittent Sentences
- * Procedures for Release of Persons in Custody
- * Release of Inmates - State and Federal
- * Covered Offender Notification
- * Notification of Victim
- * Bail and Bond Release, Restrictions on
- * Return of Inmates to Island of Commitment
- * Reporting Requirements for Incarcerated Veterans
- * Admission of Remanded Persons
- * Release of Misdemeanant Offenders at Community Correctional Centers

Chapter 17 – Inmate Clothing and Property Control

- * Personal Property, Confiscation and Disposition of
- * Personal Property
- * Inmate Clothing

Chapter 18 – Classification

- * Inmate Classification System
- * Prison Classification Committee
- * Inmate Classification and Facility Assignment of Prison Inmates
- * Reclassification of Prison Inmates
- * Initial Custody Screening of Jail Inmates
- * Jail Inmate Classification Review
- * Exception Case
- * Transfer of Adult Inmates

- * Prison Program Committee
- * Program Committee Composition

Chapter 19 – Citizen Involvement and Volunteers

- * Volunteer Services
- * Contract Services Agencies and Employees

Chapter 20 – Reentry

Chapter 21 – Correctional Industries

- * Facility Warden/Correctional Industries' Administrator's Roles and Responsibilities
- * Ventured Agreements - Interstate Commerce
- * Conditions for Inmate Employment - Ventured Agreements
- * Correctional Industries
- * PSD Centralized Canteen
- * Correctional Industries Former Inmate Employment Pilot Project (FIEPP)

Chapter 23 – Population Management

- * Definition of Terms Used in Population Management
- * Admissions Setup and Logging
- * Release Scheduling and Logging
- * Temporary Leaves and Out Count Scheduling and Logging
- * Returns from Temporary Leaves and Out Counts
- * Transfers Between Facilities Scheduling and Logging
- * Housing Assignment Scheduling and Processing
- * Head Counts
- * Housing Assignment and Jurisdiction Code Determinations
- * Jurisdiction Determinations
- * Custody Status Determinations
- * Release Status Determinations
- * Inmate Population Reports

INTAKE SERVICE CENTERS DIVISION ADMINISTRATION POLICY AND PROCEDURES MANUAL

TABLE OF CONTENTS

(The following presents a general outline of the type of material that will constitute each chapter of the manual. A policy may cover one or more subjects.)

Chapter 1 - Administration, Organization and Management

In addition to those subjects outlined under Chapter 1 of the Department Administration Policy and Procedures Manual (Appendix I), this chapter may contain:

- * Development and Implementation of Long and Short Range Plans

Chapter 2 - Fiscal Management

In addition to those subjects outlined under Chapter 2 of the Department Administration Policy and Procedures Manual (Appendix I), this chapter may contain:

- * Budget Allocation Plans for Branches
- * Fiscal Management Operations Unique to Intake Service Centers

Chapter 3 - Personnel Management

In addition to those subjects outlined under Chapter 3 of the Department Administration Policy and Procedures Manual (Appendix I), this chapter may contain:

- * Job Descriptions
- * Personnel Management Procedures Unique to Intake Service Centers

Chapter 4 - Training and Staff Development

In addition to those subjects outlined under Chapter 4 of the Department Administration Policy and Procedures Manual (Appendix I), this chapter may contain:

- * Orientation of New Employees
- * Training Records Maintenance

Chapter 5 - Records Management and Information Systems

In addition to those subjects outlined under Chapter 5 of the Department Administration Policy and Procedures Manual (Appendix I), this chapter may contain:

- * Record Filing Systems
- * Offender Case Record Management

Chapter 6 - Physical Plant and Equipment Maintenance

In addition to those subjects outlined under Chapter 6 of the Department Administration Policy and Procedures Manual (Appendix I), this chapter may contain:

- * Equipment Preventive Maintenance Programs

Chapter 7 - Safety and Sanitation

In addition to those subjects outlined under Chapter 7 of the Department Administration Policy and Procedures Manual (Appendix I), this chapter may contain:

- * Health and Safety Inspections

Chapter 8 - Security and Control

In addition to those subjects outlined under Chapter 8 of the Department Administration Policy and Procedures Manual (Appendix I), this chapter may contain:

- * Security/Information Clearance System

Chapter 9 - Program Management Services

- * Intake/Screening
- * Assessment
- * Pre-trial Assessment
- * Pre-sentence Diagnosis and Report
- * Community Service Restitution Program
- * Supervision
- * Adjunctive Services
- * Referrals

Chapter 10 - Corrections Information System

- * Procedures for entering offender data into corrections information system

**A GUIDE FOR
WRITING EFFECTIVE POLICIES
AND PROCEDURES**

I. INTRODUCTION

An organization tends to undervalue the importance of policy and procedure development. Procedures establish uniform guidelines for day-to-day operations and form the basis for decision-making in resolving non-routine problems. A well-prepared procedures manual is an important operational and management tool that enables administration to reach its objectives. From this perspective, a policy and procedure manual should be thought of as a verbal information system which provides a written guide to support a work system. This verbal information system should contain all the statements of policy, all the instructions, and all the information that will enable each staff member to effectively perform their job within the context of the overall work system.

Furthermore, policies and procedures provide important documentation for defense against litigation. The Courts have ruled that the absence of written policies and procedures clearly indicates gross negligence and shifts the burden of proof upon the administrator of the organization. This ruling could very easily be extended to apply to procedures that are inadequate or unclear.

The capability of an organization to develop effective policies and procedures is essential if the organization is to achieve its goals and objectives in an efficient manner.

The Department directive system comprises three (3) types of policies:

a. Type A Policies - Policies providing procedural guidelines for one (1) or more divisions

These are policies developed by various staff offices within Department Administration which establish standards for one (1) or more divisions. Normally, only procedural guidelines are provided and it is the responsibility of each affected division or branch to develop the detailed procedures to implement the policy within the framework of the guidelines provided.

b. Type B Policies - Policies which implement a Department policy

These policies are developed by a division or branch to implement a Type A Policy. The policy may be tailored to the resources and capabilities of the particular division or branch but within the framework of the guidelines or parameters provided by the Department policy. The policy only provides procedures for the staff within a particular branch or division and does not apply to any other branch or division.

c. Type C Policy - Policies applicable only to a particular division or branch

These are policies by a division or branch which are unique to that particular

division or branch and apply to no other division or branch. They may be developed under the following circumstances:

1. When no department policy exists to provide guidance in addressing a particular situation, a policy and procedure may be developed to guide their operations.
2. When the functions performed by the division or branch are unique to that organization; no other division or branch functions in that capacity. These functions may be governed by statutes.

This guide outlines an approach in developing these three (3) types of policies.

II. ORGANIZING THE APPROACH TO WRITING POLICY AND PROCEDURE

The following are some concepts on how to organize one's thoughts in taking a systematic approach to developing procedures:

1. Define Objective

Define what your main purpose or objective is, i.e., to provide information material, to describe how a monitoring function is to be performed, etc. Write that purpose down and frequently refer to it when writing procedures to make sure you are achieving your objective. Procedures represent a verbal information system. They play a major role in effectively communicating what is to be done, who will do the job, when the work will be performed, where the work will be done, and how it will be done. In this respect, procedures have five (5) important objectives:

- a. To instruct - procedures instruct personnel on how to perform their job. Procedures:
 - Teach personnel facts about their job.
 - Provide all relevant information about how to perform the job.
 - Serve as a training guide for new personnel.
 - Indicate time and location which are relevant to the completion of each procedural step.
 - Identify modes of communication, i.e., written, verbal, telephone, radio, intercom, etc.
- b. To provide solutions to problems - procedures provide a valuable reference source about a job or system. Procedures:

- Provide staff members with a source for solutions to problems. If a person can find the answer in the procedures, the supervisor's time is saved and the person is more independent.
 - Provide authoritative answers to operational questions.
 - Identify situations where discretion is allowed. Procedures should promote consistency in staff behavior. Such consistency cannot be developed if staff members are allowed to exercise individual discretion anytime in following procedures. Types of staff behavior allowed should be identified and under what conditions.
- c. To establish controls - procedures provide the capability to:
- Establish accountability, i.e., who is responsible for the performance of specific tasks. Staff cannot be held accountable for their actions if procedures do not clearly specify their responsibilities.
 - Evaluate or monitor operational performance.
 - Facilitate operational audits.
 - Anticipate and prevent errors.
 - Document (create a record for future use or to facilitate audits).
- d. To establish standards - procedures enforce work standards by:
- Ensuring that the same job is done the same way each time.
 - Defining an acceptable level of performance for all and instructing staff members in the method to achieve it.
- e. To organize - procedures represent:
- A plan for organizing a work force to carry out a function.
 - The methods or techniques to be employed for implementing the work plan.

The objective for developing procedures may be one or more of the above.

2. Draft Outline

Draft a preliminary outline or projected content and general organization to achieve the purpose you have defined. Procedural

steps should be tested in sequential or chronological order.

3. Define Information Needs

Define what information or data is needed to efficiently and effectively perform each procedural step.

4. Develop Research Plan

Develop a research plan - where and how to get the required information or data if it is not readily available.

III. CHECKLIST FOR DEVELOPING POLICIES AND PROCEDURES (TYPE A OR C POLICY)

A policy and procedure consists of four (4) basic elements: a purpose statement, a reference statement, a policy statement, and procedure statements. What constitutes each of these four (4) elements have been misunderstood at times and they have even been used interchangeably, However, each element has a distinctly different usage:

Purpose Statement

The purpose of any policy is to provide procedures which explain how to perform a certain function or functions. The purpose statement provides a brief overview for the reader which outlines what functions the procedures cover. As an example, a typical purpose statement would state: "To establish practices governing the authorization, issuance, display and control of identification badges."

Reference Statement

The reference portion of a policy must include the basis or authority for policy development. In most cases a policy is developed to comply with a law, an administrative rule, or some State or Federal standard. References should also include other related Department or facility policies or other information sources which may provide background material for the reader.

Definitions are not always necessary but there must always be a reference statement which provides the authority for the policy.

Policy Statement

An explicit definition of an organization's position on an issue of concern to the administration or operation of the organization. A policy statement defines what the organization intends to do on a consistent basis with the respect to a particular issue and why the organization intends to take the defined action. A

policy statement (or statements) must include the reasons for the policy, otherwise, the staff responsible for implementing the policy may develop their own rationale. This could lead to inconsistent staff behavior in carrying out the policy.

Procedure Statements

Detailed step-by-step descriptions of the sequence of actions necessary to ensure compliance with the policy statement. Procedures implement policy. A procedure cannot exist without a policy. But a policy can exist without procedures.

There are two aspects to procedure construction: Content and Format. Content deals with what goes into a procedure statement and Format is concerned with the manner in which the procedure statements are arranged.

The following are presented as guidelines in developing an effective policy and procedure. They are presented to stimulate thinking to ensure that all aspects are considered when developing a policy and procedure. Once you have answered all of the following questions, you will be in a position to start writing policy statements and the corresponding procedure statements to implement the policy.

POLICY STATEMENT CONSTRUCTION

1. Why

Why is it necessary to develop this particular policy and procedure?
Define the reasons.

This basically is a problem definition, i.e., what you are trying to resolve or clarify. Once you have defined the problem and the rationale for the policy, you have your policy statement(s).

Policy statements must:

a. Be General but Directive

Policy statements should not outline detailed descriptions of activities.
Keep the statements general.

b. Be Concise

The longer and more involved the policy statement, the less likely it is that staff will read it.

c. Be Clear in meaning

Policy statements cannot serve their intended purpose as communication tools if they are worded in such a way as to make them unclear or open to varying interpretations. The best way to determine whether or not the meaning of a policy statement is clear is to have several individuals read it and state in their own words what they perceive the statement to mean.

d. Include a Rationale

A policy statement must include the reasons for the policy to promote consistent behavior among the staff who will carry out the policy. As an example:

"Monthly inspections shall be conducted for fire and safety hazards."

This policy statement lacks a rationale, i.e., why is it necessary to conduct monthly inspections?; why not quarterly or yearly inspections? With rationale included, the policy would read:

"To comply with the fire safety standards of Occupational Safety and Health Administration (OSHA), a monthly inspection shall be conducted for fire and safety hazards."

This is the "why" of the policy statement; the OSHA standards specify monthly inspections.

PROCEDURE STATEMENT CONSTRUCTION (CONTENT)

2. Who

- a. Who will be the primary reader?
- b. Who else might read the policy (e.g., new personnel)?
- c. Who should be informed of actions taken or occurrences that might happen?
- d. Who should perform specified functions or actions?

The first two questions will guide writing style and content. The last question will establish accountability, i.e., what staff position will be responsible for performing the function or action.

3. What

- a. What is to be the scope of the policy, i.e., food services, the security section, all facility personnel, etc.?

b. What needs to be done?

Order procedural steps in the sequence in which they should be performed. Procedures must reflect established practice as well as constitutional and professional requirements where applicable. Professional requirements include items such as local fire safety codes, sanitation codes, building codes, as so forth.

c. What should be avoided?

d. What criteria should be used?

e. What media for communicating information relating to specified functions or actions should be employed, i.e., telephone, radio, written report, etc.?

If a procedure specifies a communication is to be in the form of writing, will use of a form be expedient? The primary purpose of a form is to establish a standard means of communicating so that everyone reports certain information the same way. If use of a form is decided upon, the procedures must specify:

- 1) Instructions for completing the form including any special situations.
- 2) When the form is to be completed.
- 3) What staff position or organizational **unit** will be responsible for completing the form.
- 4) Where copies of the form are to be sent and where the original is to be filed.
- 5) The form title and form number must be referenced in the procedures. A copy of the form must be attached to the procedures. The form should have a form number.

In developing a form there are four basic rules:

- Make the format easy to read and follow.
- Plan the form for continuous writing flow, i.e., do not require the writer to jump around in different areas to complete the form.
- Keep the need for writing to a minimum.
- Use an economical form size.

- f. What facts or information must be provided in order for the function or action to be properly carried out?
 - g. What additional information sources could be referenced which would be helpful in performing or understanding the functions to be carried out?
 - h. What major problems can occur in performing a function and what can be done to resolve them?
 - i. What questions might the reader ask?
 - j. What does the reader already know about the functions or actions to be performed?
4. Where
- a. Where may discretion be allowed in performing a function?

To promote consistency in the exercise of individual discretion, the kinds of staff action allowed must be identified.
 - b. Where should the functions be performed?
5. When
- a. When should a function or action be performed, i.e., at what time, what day of the week, etc.?
 - b. When are deadlines involved?

PROCEDURE STATEMENT (FORMAT)

A procedure statement should represent a single function or a group of related functions. The following statement provides the necessary procedures but is difficult to follow because of format and more than one functional area being covered.

"The confidentiality of information regarding inmates is protected by law. The consent form shall include the following items: Name of person and agency or organization requesting information; name of institution releasing information; specific information to be disclosed and purpose of disclosure; signature of inmate and date of signature; and signature of employee witnessing the inmate's signature. Where statutes direct, consent forms shall not be required for release of information to judicial, law enforcement, correctional, and social service authorities involved with the individual case."

Formatted properly for ease in reading and comprehension, the above procedure statement, divided into two separate statements would read:

- a. The confidentiality on information regarding inmates is protected by law. The consent form shall include the following items:
 1. Name of person, agency or organization requesting the information.
 2. Name of institution releasing the information.
 3. Specific information to be disclosed.
 4. Purpose of the disclosure.
 5. Signature and date of the inmate.
 6. Signature of the employee witnessing the inmate's signature.
- b. Where statutes direct, consent forms shall not be required for release of information to judicial, law enforcement, correctional, and social service authorities involved with the individual case.

IV. CHECKLIST FOR DEVELOPMENT OF PROCEDURES TO IMPLEMENT A DEPARTMENT POLICY (TYPE B POLICY)

Not all policies promulgated by Department Administration (a Type A policy) require further work for implementation on the part of a division or branch. Upon receipt of a Type A policy, answering the questions in the following checklist will determine if further work is required to implement the policy.

When developing a division or branch policy to implement a Department policy, a division or branch only needs to develop procedures according to the checklist. The policy statement, references and definitions remain the same as the Department policy.

1. Does the Department policy specify certain functions that are to be performed or actions taken and identify what staff position or functional unit are responsible for their performance? If not, procedures must identify staff positions and functional units responsible for performing the function or action.
2. Does the Department policy provide a step-by-step sequence for performing specified functions which cover the entire subject area from the most basic fundamentals or procedures to the most complex task?

As criteria to determine if the procedures specified in the Department policy are sufficient in detail, the following guidelines are provided:

- a. Do the facts and information enable the person responsible for performing the function to completely understand what they are to do, how to do it, and why to do it?
 - b. Are additional information sources identified which may be helpful in performing or understanding the function? Identify relevant policies where applicable.
 - c. Are times specified when a function is to be performed and where it is to be performed? Procedures must specify the time and place for performance of a function.
 - d. If the function requires communicating information, do the procedures specify the mode of communication to be employed, i.e., written, verbal, telephone, etc.? Procedures must specify the mode of communication to be used.
 - e. Are provisions outlined for handling major problems which may occur during the performance of a function? Procedures should provide for the anticipating of problems and specify what to do in each case. If other policies provide for these contingencies, they must be referenced in the procedures.
3. Are there any procedures in the Department policy where discretion may be allowed? Discretion can usually be identified when a procedure statement employs the word "may" as opposed to the expression "shall" which indicates the procedure is mandatory. The word "may" implies the procedure is left to the discretion of the employee. This also means there may be alternative actions taken by the employee in this particular case. To promote consistency in the exercise of individual discretion, the kinds of staff action allowed need to be identified in the procedures and under what conditions.

V. GUIDELINES FOR EFFECTIVE WRITING

The following guidelines are presented to improve one's writing ability in developing effective policies and procedures. These guidelines may also be employed for any type of writing, not just policies and procedures.

To be effective writing must be:

- Clear
- Concise

- Correct
- Conversational
- Coherent
- Complete
- Concrete
- Convincing
- Constructive

1. Be Clear

Your reason for writing should be made obvious to your reader. Do not leave any doubt in your reader's mind about your exact meaning. Use a straightforward approach; say simply what you have to say and then stop. Avoid jargon, buzz words, and paralegal or bureaucratic phrases.

Jargon

to adjudicate
 caveat
 de facto
 to enjoin
 feedback
 at this point in time
 impacted
 prima face
 subsector
 quasi

Translation

to judge
 warning
 really
 to order
 response
 now
 affected
 apparently true
 portion
 almost

Obscure, pretentious, trendy language is a smoke screen designed to disguise murky thinking. While some writers hope that jargon sounds impressively technical and shrewd, many readers react to it with distaste. Where you do need to use a technical word and your reader is not likely to understand it, define the term. Also, define all acronyms and abbreviations.

Procedure statements should be complete in themselves, requiring little, if any, reference to other sections or to other manuals.

2. Be Concise

Do not let sentences and paragraphs run on and on. Do not use a long word where a short one will do as well. By saying only what needs to be said and using only the words needed to say it, you will avoid:

- digressions
- redundancies
- irrelevant details
- stating the obvious

Prune your prose, for example:

Overdone

due to the fact that
advanced planning
ask the question
a small number of
at a later date
at a time when
basic fundamentals
brief in duration
general public
in view of the fact that
merged together
not in a position to
regular monthly meetings
repeat again
the reason is because
time of day
without further delay

Improved

because
planning
ask
a few
later
when
basics
brief
public
because
merged
cannot
monthly meetings
repeat
because
time
immediately

Choose adjectives and adverbs carefully. Unrestrained use will dilute your writing. For example:

Diluted

She is a very good technician, who works very efficiently and imaginatively.

Direct

She is an efficient technician, who works imaginatively.

In writing, a sentence type can be categorized as either long or short. The function of a long sentence is to communicate generalities about a wide area of thought, combining its component parts, relating them to each other in importance, but strongly emphasizing no one component part over others. A short sentence is used to strongly emphasize one point. A series of short sentences covers an area of thought clearly, quickly and forcefully. In writing policies and procedures, short sentences should be used primarily. People think and talk in longer thought modules than they can read. Clarity requires that large thought modules be reduced to a series of short, simple sentences. A sentence that contains more than 12 to 15 words is on the long side. If a sentence goes beyond one comma and an "and," it probably contains more than one thought.

3. Be Correct

Make sure all your facts, figures, and dates are correct. Be precise in your use of words. Some typical errors are:

Do Not Write

comprised
data is
different than
media is
transpire
maybe
farther
affect
administrate
invaluable
equable

When You Mean

composed
data are or datum is
different from
media are
occur
no
further
effect
administer
valueless
equitable

Check to ensure that all sentences are complete, i.e., do they consist of the basic structure of subject, verb and object. One way to check: (1) who-subject; (2) does what-verb; and (3) to whom or what-object.

4. Be Coherent

Support major points with concrete ideas or facts that relate unambiguously to them. Connect ideas to one another in ways that will make obvious sense to the reader. Do not confuse the issue with extraneous information. Provide only relevant data and documentation.

Limit communication, or procedural steps to one primary topic. Where you deal with several major aspects of a topic, divide the topic into sections. Come to the point, do not explain first, explain second.

5. Be Complete

Give readers all the details they need. Include deadlines, pertinent resources, criteria, and alternatives. Supply definitions and explanations where they will illuminate. Determine your reader's level of knowledge and insert suitable background material.

If related information is available elsewhere, tell your reader where to find it. Use examples to make a point or clarify a concept or procedure.

6. Be Concrete

Generalizations should be used judiciously and supported with reliable evidence. Be specific even if this requires writing at greater length.

Let the reader know what you expect from them and when.

7. Be Convincing

Cite authorities whenever possible. To write simply is to write forcefully. Do not use qualifiers which limit your responsibility, this evasion irritates readers. Be careful not to create doubt in the reader's mind with wishy-washy words and phrases such as:

- we trust
- if you wish
- it is our hope that
- should you want to
- it seems

The surest way to hold the attention of the reader and get a point across is to make specific, definite and concrete statements. A common weakness in writing procedures is the use of the word "will" to convey compliance with a regulation. The word "shall" is a more definite or positive assertion; it is used in laws, regulations, or directives to express what is mandatory. A policy and procedure should employ only two words to express what is to be done: "shall" or "may". The word "may" means the procedure is optional, while the word "shall" means the procedure is mandatory with no exceptions. The word "will" should never be used.

8. Be Constructive

Avoid words and phrases that make readers defensive. For example:

- unreasonable
- misinformed
- questionable
- overreaction
- one-sided
- unfortunately
- the blame, error, failure, fault
- to neglect, overlook, forget
- to demand
- to repeat

Increasing numbers of women and men alike are taking umbrage at sexist language. In writing procedures which affect men and women, the following is recommended for making language less discriminatory:

For

man a post
 manning
 workmanlike
 no man
 to man the
 man hours
 manpower
 male nurse
 foreman
 manhandle

Substitute

staff a post
 staffing
 skillful
 no one
 to work the
 work hours
 personnel/staff
 nurse
 supervisor
 mistreat

According to the Oxford English Dictionary, it is acceptable to use "they" or "their" for a single person whose sex is unknown. Example: a trainee should demonstrate their ability by taking a written and oral test.

(Date Director is sworn in)

TO: ALL CONCERNED

FROM: **Director**

SUBJECT: **DIRECTIVE AND POLICY CONTROL**

Pursuant to assuming administration of the State of Hawai'i, Department of Public Safety, on **(date and time)**, all written policies and directives approved by the previous Director will remain in effect for all Department personnel until amended, revised, or rescinded on my authority. The purpose of this bridging document is to ensure continuity of operations for administrative and line functions and to provide consistent performance and service delivery expectations to all agency employees during the transition of command.

If you require any clarification, please contact **(Department Policy Coordinator)** at **(number)** or **(email)**.