I. AUTHORITY

Ohio Revised Code 5120.01 authorizes the Director of the Department of Rehabilitation and Correction, as the executive head of the department, to direct the total operations and management of the department by establishing procedures as set forth in this policy.

II. PURPOSE

The purpose of this policy is to set forth guidelines regarding the accessibility and responsibilities of unit personnel assigned to monitor and provide services to inmates.

III. APPLICABILITY

This policy applies to all persons employed by the Ohio Department of Rehabilitation and Correction (ODRC), contractors providing a service to the ODRC, inmates, and volunteers.

IV. DEFINITIONS

**After Action Report** - A written or verbal report completed when significant incidents or an act of violence occurs in a unit or involving inmates for which the unit staff have responsibility. The report should examine the circumstances leading up to the incident as well as devise strategies to prevent further events of the same nature.

**Caseload** - The number of inmates or “cases” assigned to specific unit management staff. Inmate identification number, housing unit, status or special needs may determine caseload assignment.

**Extended Restrictive Housing (ERH)** - A security classification level represented as “E” in the Departmental Offender Tracking System (DOTS). ERH is the most restrictive security level in the ODRC reserved for inmates who constitute the greatest threat to the safety and security of the community, staff, others, and/or the secure operations of a correctional facility.

**Inmate Activity Areas** - Work, education, recreation, program, and other areas in the institution where inmates can be contacted during day or evening hours.
Limited Privilege Housing (LPH) - Assignment of an inmate to a designated area for the purpose of reducing their privileges, controlling movement, and reducing their access to other inmates. An LPH inmate is considered General Population and shall have access to prison services, although that access can be reasonably limited as part of their privilege reduction. Designated out-of-cell time shall be more than two (2) hours daily.

Memorandum of Understanding (MOU) - A written and signed statement summarizing the terms of an agreement between unit teams and inmate service areas within the institution.

Ohio Plan for Unit Management - The Ohio Plan is a comprehensive document outlining the expectations for unit management in the ODRC on a statewide level. It contains directives all prisons must adhere to as well as assessment instruments to gauge performances. It is signed by the Director and is considered policy for all the Ohio Department of Rehabilitation and Correction (ODRC).

Restrictive Housing (RH) - Housing that separates an inmate from the general population and restricts the inmate to their cell twenty-two (22) hours or more per day.

Town Hall Meetings - Meetings conducted with inmates in the units facilitated by unit staff to communicate expectations or changes in unit or facility operations and to address issues or concerns of unit staff or inmates.

Transitional Program Unit (TPU) - A specialized housing unit requiring close supervision of inmates that are placed in Restrictive Housing, Extended Restrictive Housing, or may be placed in Limited Privilege Housing.

Unit Plan - A written document developed by the unit manager and unit team that guides unit staff and inmates regarding the delivery of services, schedules, operations, programs, and expectations within a unit. The plan shall be approved by the managing officer.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (ODRC) to provide staff accessibility to the inmates assigned to a specific living area through unit management and social services management systems. Unit management staff members shall facilitate personal contact and interaction with inmates assigned to their specific caseloads by maintaining unit office hours and regular visual inspections and tours of living areas and work sites as needed. Unit management staff shall be accountable for their activities and schedules for security and accessibility requirements.

VI. PROCEDURES

A. Unit Management and Social Services Statement of Purpose

Unit management staff and security staff shall work together to be responsive to the concerns of staff and the needs of inmates. The responsible deputy warden shall ensure the prison has an operations mission statement which clearly states the goal of having security and unit management functioning as a single operations team. This statement must be posted in all units, in roll call rooms, and in the post information manuals. Unit management staff’s first
responsibility is to know the inmates in their unit by having regularly scheduled and non-scheduled contact with them. Activities are tailored to the specific prison setting and focused on the individual inmate. As a result, the inmate is held more personally accountable for his/her own adjustment in the prison environment. Priorities include knowledge about the background and classification of the inmate and communicating this knowledge to authorized persons. Unit management social service staff shall assist in identifying and solving adjustment related problems and help the inmate increase his/her sense of responsibility by aiding him/her in gathering information needed to make decisions, plan actions, and reach goals. Individualized knowledge of the inmate assists in the preventative side of security.

B. Caseload Management and Inmate Contact

The unit management chief (UMC) is responsible for implementing and sustaining a formalized system of caseload management in a decentralized social services format. UMCs shall develop procedures to ensure unit staff follow ODRC policy 02-REN-01, Prisoner Reentry Assessment and Planning, meet routinely with inmates assigned to their caseloads, and ensure significant contact information is documented in the inmate’s official department record. Whenever possible, data should be documented and captured in the electronic record. Exceptions to this may be made for operational need and security. Unit managers shall ensure unit staff compliance with caseload management procedures developed by the UMC. At a minimum, the caseload management system shall include regular contacts with inmates and documentation of contact, review of inmate’s institutional adjustment and reentry accountability plan, ORAS case plan, security status reviews, inmate release procedures, program/work assignments, meaningful activities, reentry programs, and orientation.

C. Unit Programs

Unit management staff shall provide programs as outlined in ODRC policy 02-REN-02, Reentry Programs. In addition, they shall help facilitate other meaningful activities including community service, recreation and skill building programs.

D. Access to Unit Management Staff

1. Unit Management Chief (UMC)

The UMC is responsible for overseeing the roles, responsibilities and processes of unit management staff in a decentralized or centralized social services management format. The UMC shall ensure that the unit managers direct unit staff, manage unit operations twenty-four (24) hours seven (7) days a week, complete performance evaluations on all regular staff assigned to the units, and have the authority in written protocol to approve inmate bed and housing moves. The UMC may develop centralized processes within unit management, while maintaining the unit-based caseload management system for managing inmate needs. The UMC, in conjunction with the responsible deputy warden and security chief, shall ensure the facility operates under the Ohio Plan. Unit management shall serve as the driving force connecting all prison services together and ensuring institutional staff address the concerns of staff and meet the needs of inmates. This shall include the completion of Unit Plans, Memorandum of Understandings (MOUs), Incident/Violence After-Action Reviews, and meetings as indicated (according
to the Ohio Plan). The UMC shall ensure that at least one (1) unit staff member visits the Transitional Program Units (TPUs) at least once per week and visits shall not exceed seven (7) days in between visits. Staff shall document visits on the Employee Visit Record Log (DRC6011) and Individual Restrictive Housing Record Sheet (DRC4118). In the absence of unit staff, the UMC shall visit the TPUs at least once per week as required above.

2. Unit Manager

   a. Unit managers shall provide direct supervision to assigned unit management staff and serve as the chairperson of designated committees. Unit managers shall conduct rounds of all housing areas occupied by inmates under their supervision. The rounds shall be conducted daily during periods when inmates are likely to have access to the unit manager. In the absence of the normally assigned unit manager, a designated unit staff member shall perform these rounds. Rounds shall provide the unit manager with the opportunity to observe living conditions of inmates, provide guidance to officers, and listen to and resolve issues from inmates and staff.

   b. Unit managers shall maintain ongoing communication with 1st, 2nd and 3rd shift supervisors, correction officers assigned to their unit, as well as work and education supervisors. The unit managers are also required to ensure their presence on all three (3) shifts along with working specified hours during 3rd shift on a monthly basis as determined by the managing officer. Unit managers, with input from shift supervisors, are responsible for completing all performance evaluations on employees assigned to their unit. Unit managers will provide input on evaluations of all permanently assigned correction officers through the nomination process in the electronic evaluation program found at www.myohio.gov. The security chief is responsible for ensuring there is a written protocol regarding inmate bed moves that lists the unit manager as the individual with the authority to conduct all bed moves in a unit, except moves made for institutional need or for security reasons.

3. Case Manager

   a. Case managers shall assist their assigned caseloads, conduct designated approved, essential reentry programs, meaningful activities, other programs and be accessible to their inmate caseload. Case managers shall post office hours in the living area indicating what hours they shall be available to the inmates. These hours shall be placed in a conspicuous location. If schedule changes occur, the office hours shall be amended and posted. Office hours shall be held during periods when inmates are most likely to be in the living area.

   b. In parent institutions, case managers shall have unit office hours and be available to inmates during times when inmates are off work and/or out of programs based on the size of the unit and direction of the UMC. Availability to inmates should be in response to the needs and demands of the population as determined by the unit manager and UMC. Case managers working with more than one unit, block or pod shall be available to the population at a scheduled and consistent time in order to meet the needs of their caseload. In addition to scheduled caseload tasks within the
unit, case managers shall have open office hours and make daily rounds to assist inmates when they are most likely available in the unit.

c. In reception centers, case managers shall be available to inmates in the living areas daily to ensure crisis and routine intervention while the inmates are awaiting transfer to parent institutions. Routinely, case managers shall meet with the correctional officer/s in the living area to discuss inmate problems and/or concerns.

4. Correctional Counselors

a. Correctional counselors shall make at a minimum one (1) quality round per day through their units to ensure contact with inmates and interaction with correctional officers. Correctional counselors shall inspect units for cleanliness, adherence to security and safety practices and address the complaints and concerns of inmates. They shall assist the officers in enforcing rules, maintaining sanitation, and answering inmate questions.

b. In parent institutions, correctional counselors shall be available to inmates for four (4) hours per day depending upon the size of the unit and direction of the UMC. For example, correctional counselors working with two (2) blocks shall be available for two (2) hours per day per block. Correctional counselors working with four (4) pods shall be accessible for one (1) hour per pod. Correctional counselors should, at a minimum, be available to caseload inmates during half of their shift.

c. In reception centers, correctional counselors shall be available to inmates in their living areas daily to ensure crisis and routine intervention while the inmates are awaiting transfer to parent institutions. Routinely, correctional counselors shall meet with the correctional officer in the living area to discuss inmate problems and/or concerns.

d. Correctional counselors shall visit inmate work sites, TPU's, and inmate dining areas during meal times as directed by the unit manager or UMC. Visits shall occur at least monthly.

e. Correctional counselors shall also assist in facilitating meaningful activities inside the unit including recreational activities, community service, and skill-building activities.

5. Administrative Professionals

Administrative professionals shall work at the direction of the unit manager and/or UMC in a unit or a centralized location. The administrative professional shall assist in the filing, scanning, tracking, managing and entering electronic data for unit management staff and inmates.

6. Corrections Officer (unit)

Correction officers shall work under the supervision of the unit manager as well as the shift supervisors supported by the other members of the unit team.
E. Scheduling of Unit Management Staff

1. A minimum of sixty-eight (68) hours of unit management coverage per week, per unit shall be required from unit management staff (excluding administrative professionals and unit correctional officers). There shall be at least thirteen (13) daily hours of unit coverage Monday through Thursday, ending no earlier than 8:00 pm. There should be at least eight (8) hours of unit coverage Friday through Saturday, ending no earlier than 3:00 pm. Only one (1) unit staff member is required for unit coverage. Correctional counselors and case managers are not required to work more than one (1) late night per week and one (1) Saturday every four (4) weeks. Correction counselors and case managers shall not be required to work Sundays. There will be no unit coverage provided on State holidays. Unit managers shall work at least eight (8) hours on one (1) Sunday per month, ending no earlier than 3:00 pm.

2. Staff should be available during periods when inmates are most accessible and should maximize the amount of time spent in the housing areas. While working late nights and on weekends, unit staff shall make rounds throughout all the housing areas under their supervision.

F. Accountability of Unit Staff

1. Sign-In/Sign-Out of Unit Living Areas

All staff members and visitors to the unit shall be required to sign in and out of the unit on the Employee Visit Record Log (DRC6011) maintained by the unit correctional officer. This log shall specify the name of staff or visitor, position, time-in/time-out and purpose of visit. The unit manager shall review the sign-in and sign-out logs to ensure unit staff are maintaining scheduled office hours and tours of the living areas on a weekly basis. The UMC shall review the documents monthly to ensure compliance with this policy.

2. Communication with Security Staff

a. The unit correctional officers shall be issued a copy of the unit staff’s schedules. The schedule shall indicate the hours of duty of each unit employee and acting designation of the unit manager on the week’s schedule. The shift commander’s office shall also receive a copy of the unit schedules. All newly promoted unit managers and captains shall complete a forty (40) hour shadowing with their respective counterpart. Refresher shadowing experiences will be at the discretion of the managing officer.

b. The responsible deputy warden, along with the UMC and security chief, are responsible for ensuring communications with security staff occur by meeting together routinely. The UMC and security chief shall make joint rounds in living, program, and activity areas. The frequency and locations of these rounds shall be identified by the managing officer. The UMC shall also ensure shift supervisors are invited to unit staff meetings when they occur. The responsible deputy warden shall
ensure unit managers and shift captains meet routinely (the meetings may be informal and do not require written record) and unit managers routinely attend roll call to discuss significant incidents and/or procedural changes.

c. The security chief shall ensure unit correctional officers shall be involved in unit functions, such as unit staff meetings and/or classification committees whenever possible. When staff coverage is limited, the UMC shall develop procedures to allow the officer input so that maximum communication can be maintained. Additionally, the unit correctional officer and shift commander’s office shall be advised, in writing, of any unit changes, changes in policy, procedure or decisions affecting unit inmates prior to notification of the inmates. The unit manager shall coordinate such actions with the UMC prior to issuance of any written or verbal exchange with security staff or unit inmates. The responsible deputy warden shall encourage continued accessibility and communications between operations staff by monitoring relations through the UMC and the security chief.

d. The security chief shall ensure all unit managers and the UMC are copied on shift minutes and notes as soon as they are made available and shall notify them, in advance, of any significant changes to security procedures.

e. The responsible deputy warden shall conduct a monthly Operations meeting at the facility. Suggested topics for review include the following: Significant Incidents, Violence Patterns, Institutional Department Updates, After Action Reports, Memorandums of Understanding, Institutional Projects, Operations Plans and any other item which the responsible deputy warden deems appropriate. Minutes from these meetings shall be maintained. The following individuals are required to attend (if unavailable, a designee may be used but only when the individual is not physically at the facility):

i. All Deputy Wardens;
ii. Unit Management Chief;
iii. Security Chief;
iv. All Unit Managers;
v. Maintenance Supervisor;
vi. Mental Health Administrator/Manager;
vii. Health Care Administrator;
viii. Shift/Special Deputy Supervisors (as available);
ix. Food Service Supervisor;
x. Commissary Supervisor;
xi. Recreation Supervisor;

xii. Inspector;
xiii. Recovery Services Supervisor;
xiv. Other staff as assigned by the Managing Officer.

f. The purpose of the meeting is to ensure all information is communicated effectively to all key supervisors and a single institutional operations team is formed. This meeting may be combined with other required meetings to cover multiple topics if records are kept for each of the topics covered. Information from the Operations
meeting, including after-action reports, shall be shared with all staff, unless privacy/safety/security concerns require confidentiality.

3. Communication with the inmates

Unit management staff shall conduct town hall meetings at least quarterly to maintain good communication with the inmates and staff working in the units.

G. After Action Reports

Unit managers are responsible for completing After Action Reports on all significant incidents and acts of violence occurring in their units. These reports need not to be in a written form but are required to be presented during the Operations meetings and should be noted in the minutes.

H. Unit Meetings

Unit managers are responsible for ensuring monthly unit meetings are occurring in the unit they supervise. The UMC or unit manager may determine more frequent meetings are required. Guidelines for monthly unit meetings include:

1. An agenda should be completed in advance and distributed to all unit staff, including correction officers on all the shifts who are permanently assigned to the unit;
2. Minutes of the meeting should be taken and distributed to all attendees, as well as a copy placed in the Post Information Manual;
3. At least one (1) meeting shall be held on a shift other than 1st each quarter;
4. The security chief shall plan for officers to attend at least portions of the meetings;
5. Correctional officers unable to attend have a mechanism whereby they may provide input;
6. Staff from service providers in the institution are invited when agenda items refer to them;
7. Security supervisors should be invited to the meetings and the security chief should ensures they are made available whenever possible.

I. Unit Plans

1. The unit management team, under the direction of the unit manager, is responsible for drafting the Unit Plan and submitting it to the UMC for approval. Every unit plan shall be reviewed quarterly by the unit management team to determine if the unit objectives are being met. A formal review and update is to take place annually with the unit manager, UMC, and the responsible deputy warden. The managing officer shall review and sign off on each Unit Plan initially and annually.

2. Unit Plans must be compliant with all requirements in the Ohio Plan and include, at a minimum, the following items:

   a. Description of the unit;
   b. The objectives/mission of the unit;
   c. The staff in the unit and their job responsibilities;
   d. Unit rules;
   e. In-Unit Routines and Schedules;
f. In-Unit Activities and Programs;
g. Unit Forms, Documents and Records (including meeting minutes);
h. Sanitation and Safety Inspection Plans;
i. Written expectation for rounds in the units, including frequencies.

J. Memorandums of Understanding (MOU)

1. The managing officer of the facility is responsible for ensuring all inmate service departments have up-to-date Memorandums of Understanding (MOU) with the unit management teams. The purpose of the MOU is to outline service expectations and ensure all departments recognize unit management staff as the primary individuals responsible for ensuring services are delivered to inmates. The MOU shall recognize the unit manager and the unit management team as pivotal in organizing and delivering services. In addition, the MOU shall clearly outline the services to be provided and methods to resolve issues.

2. Department supervisors are responsible for training all their staff on the MOU pertaining to the area under their supervision and the MOU shall be readily accessible to all staff working in the area so it may be referenced when needed.

3. An MOU between unit management and the following service departments shall be required. The managing officer may require additional MOUs at their discretion:

   a. Business Office/Cashiers;
   b. Commissary;
   c. Education;
   d. Food Service;
   e. Laundry;
   f. Mailroom;
   g. Maintenance;
   h. Medical;
   i. Mental Health;
   j. Recovery Services;
   k. Recreation;
   l. Quartermaster;
   m. Warehouse/Administration;
   n. Vault;
   o. Visiting.

Related Department Forms:

Individual Restrictive Housing Record Sheet  DRC4118
Employee Visit Record Log  DRC6011