

GEORGIA DEPARTMENT OF CORRECTIONS

Standard Operating Procedures

Functional Area: POLICY & EXECUTIVE PROCEDURE/LEGAL OFFICE - POLICY & PROCEDURE DESK	Reference Number: IC01-0002	Revises Previous Effective Date:
Subject: LOCAL OPERATING PROCEDURES		9/15/04
Authority: DONALD/OWENS/AMIDEO	Effective Date: 10/15/07	Page 1 of 9

I. POLICY:

- A. Each organizational unit, facility, center, section, and office shall prepare and issue whatever guidance is necessary to supplement any Departmental procedures that takes local conditions into account and is required for compliance and completion of the goals and objectives established for its operation.
- B. These local procedures shall not repeat the information contained in the Board Rule or Departmental SOP, but shall act only to supply additional guidance. Local procedures shall not be utilized as a substitute to correct a problem within an SOP, notify the Legal Office - Policy & Procedure Desk (404)656-0893 to initiate an amendment to the SOP.

II. APPLICABILITY:

All facilities, offices, units, and sections operating under GDC management.

III. RELATED DIRECTIVES:

- A. **O.C.G.A.:** 50-18-70
- B. **GDC-Rules:** 125-1-2-.01(c), 125-2-1-.01(a).
- C. **Standard Operating Procedures:** IC01-0001, IVP01-0004.
- D. **ACA Standards:** 2-2010, 3-4001, 3-4013, 3-4013, 3-4015.

IV. DEFINITIONS:

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A. **SUPPLEMENTAL GUIDANCE:** An approved official, written authorization that would permit implementation of local procedures that supplement, without duplicating, the general requirements in any Board Rule or Departmental SOPs.

B. **PROCEDURE VARIANCE:** An approved official, written authorization that would permit implementation of a local procedure that would **CHANGE** requirements set forth in a given Departmental SOP. **A Procedure Variance may not be used to change a requirement set forth in a Rule of the Board of Corrections.**

V. **ATTACHMENTS:**

Attachment # 1 - LOP Format

Attachment # 2 - LOP Numbering System

Attachment # 3 - Supplemental Guidance Request Form

Attachment # 4 - SOP Variance Request Form

Attachment # 5 - Quarterly Procedure Review Form

Attachment # 6 - Annual Procedure Review Form

VI. **PROCEDURE:**

A. The management of each facility, unit, or section shall be responsible for the development of a local procedure to provide supplemental guidance of any Board Rule or Departmental procedure to ensure the accomplishment of goals and objectives established for that facility, unit, or section.

1. LOPs shall be developed and written using the approved Local Operating Procedure Format Word 97 Version # 1, **on diskette. (Attachment 1)** Additional information concerning the format can be obtained from the Legal Office - Policy & Procedure Desk Ph # (404)656-0893.

2. LOP shall be identified by the approved numbering system. **(Attachment 2)**

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3. When it is found that a Standard Operating Procedure (SOP) does not support efforts to accomplish the approved goals and objectives of facility, unit, or section, it is the responsibility of facility, unit, or section management to develop appropriate alternative procedures. These alternatives, to be known as (Name of Facility, Unit, or Section) Local Operating Procedures, must be confined to the operations at the originating facility, unit, or section and must be specific and limited to the operation requiring such action.

B. Development/Revision and Approval of Supplemental Guidance and SOP Variance:

1. Supplemental Guidance Development:

- a. When additional procedural information is required for guidance to supplement procedures or the lack thereof in any Departmental SOPs the facility, unit, or section management shall develop **local operating procedures** using the approved Word 97 format, **on diskette (Attachment 1)**. These procedures shall not repeat **or CHANGE** the information contained in the Board Rule or Departmental SOP, but shall act only to supply additional guidance.

2. Supplement Guidance Approval:

NOTE: The local operating procedure **CAN NOT** be implemented until the facility/center/unit or office has received the signed approval form from the appropriate approving authority.

- a. The completed supplemental guidance request form **(Attachment 3)** accompanied by the proposed LOP is then submitted to:

- 1) The Warden/Superintendent or Chief Probation officer will review and recommend approval of the LOP. If recommended the LOP is submitted to the Director of Facility Operation or

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Probation Operations, as appropriate
(Central Office).

- 2) The Director of Facilities or Probation Operations, as appropriate, will review and give final approval. This level is the only approving authority for supplemental guidance LOPs.
- b. The manager, at each level, shall review the proposed LOP to insure it is in accordance with State Law, the GDC Board Rules, the Departmental SOPs and in the approved format. If the proposed LOP is found not to be in compliance, it shall be returned to the originating unit or section with an explanation of non-compliance. If recommended or approved management will sign the supplemental guidance request form (**Attachment 3**) and forward it to the next level or return it to the unit or section, as appropriate.
- c. **When the request for Supplemental Guidance is approved:**
- 1) The original Supplemental Guidance Request Form (Attachment 3), signed by management, shall be placed in the SOP Manual, of the facility, unit, or section, as a cover sheet to its related LOP.
- d. **The approved LOP is:**
- 1) printed, on colored paper, by the facility, unit, or section staff, (can be any other color than white)
 - 2) distribute to appropriate personnel charged with its implementation,
 - 3) placed in the facility, unit, or section's "SOP Manual" behind the SOP the LOP was based on.

3. SOP Variance Development:

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- a. If any Departmental SOP, or any part thereof, is not appropriate for implementation, or its requirements cannot be met, the facility, unit, or section management shall request in writing a procedure variance to all or part of the SOP that is not appropriate. The Procedure Variance Request form (**Attachment 4**) must be used when submitting such a request. A proposed LOP, to replace all or part of any Departmental SOP, shall accompany the variance request. The LOP shall be written in the approved format.
- b. The variance request must state specifically what part of the SOP is inappropriate or cannot be met and why, and what procedures should be used to replace it.
- c. **A procedure variance CAN NOT be used to change any requirement set forth in a Board of Corrections Rule.**

4. SOP Variance Approval:

NOTE: Procedure Variance LOPs MUST be reapproved annually. These procedure are only effective for one calendar year from the date they go enforce. That means a Procedure Variance LOP must be reapproved as setforth by this section every 12 months.

NOTE: The local operating procedure **CAN NOT** be implemented until the facility/center/unit or office has received the signed approval form from the appropriate approving authority.

- a. The completed procedure variance request and the proposed LOP to replace the SOP, or appropriate part thereof, is then submitted to:
 - 1) The Facility/Unit/Section Manager will review and recommend approval of the LOP. If recommended the LOP is submitted to the Director of Facility or Probation Operations, as appropriate..

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- 2) The Director of Facilities or Probation Operations, as appropriate, will review and recommend.
 - 3) The LOP is then submitted to the Division Director for final approval. This level is the only approving authority for Procedure Variance LOPs.
- b. The manager, at each level, shall review the proposed LOP to insure it is in accordance with State Law, the GDC Board Rules, the Departmental SOPs and in the approved format. If the proposed LOP is found not to be in compliance, it shall be returned to the originating unit or section with an explanation of non-compliance. If recommended or approved management will sign the SOP Variance request form **(Attachment 4)** and forward it to the next level or return it to the unit or section, as appropriate.
- c. **When the request for Procedure Variance is approved:**
- 1) The original Procedure Variance Request Form (Attachment 4), signed by management, shall be placed in the SOP Manual, of the facility, unit, or section, as a cover sheet to its related LOP.
- d. **The approved LOP is:**
- 1) printed, on colored paper, by the facility, unit, or section staff, (can be any other color than white)
 - 2) distribute to appropriate personnel charged with its implementation,
 - 3) placed in the facility, unit, or section's "SOP Manual" behind the SOP the LOP was based on. The signed original Procedure Variance Request Form **(Attachment 4)** shall

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also be placed in the Departmental SOP Manual, of the facility, unit, or section, as a cover sheet to LOP.

- 4) A copy of the approved Procedure Variance Request Form (**Attachment 4**) with authorizing signatures and the LOP shall also be forwarded to the Manager of Inspections and Policies (Central Office).

C. **Annual Review of Local Operating Procedures:** The following annual review procedure applies to Supplemental Guidance LOPs. All Procedure Variance LOPs are to be reapproved annually as outlined in section VI.B.4 of this SOP.

1. All LOPs are to be reviewed, as needed, but at least annually by the facility, unit or section management. On a quarterly basis, at least twenty five percent (25%) of all local operating procedures shall be reviewed to assure appropriate content, consistency with other Departmental directives, and continued usefulness in the accomplishment of facility, unit, or section goals and objectives.
2. Upon completion of each quarterly review the facility, unit, or section management shall notify the Field Operations Manager in writing (**Attachment 5**) that the quarterly review has been completed. Documentation identifying any additions, deletions, or editing of LOPs will be attached to the document (**Attachment 5**).
3. Following the fourth quarter review the facility, unit, or section management shall forward an annual report to the Field Operations Manager to advise that all LOPs have been reviewed at some time during the year. The report is comprised of the previous four Quarterly Review Procedure Report (**Attachment 5**)
4. **Procedure Variance LOPs MUST be reapproved annually. These procedure are only effective for one calendar year from the date they go enforce. This means a**

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Procedure Variance LOP must be approved as setforth in section VI.B.4 of this SOP every 12 months.

a. If the LOP being reviewed is an Procedure Variance it shall be evaluated as to continued need. If the review determines that the facility, unit, or section can now operate within the SOP, the variance request shall be rescinded in writing by memo and forwarded to the appropriate managers. The originating manager will retain a copy of the memo in his/her subject files for permanent retention. A copy of the memo shall also be forwarded to the Manager of Inspections and Policies.

5. When a Supplemental Guidance local procedure (LOP) has been reviewed and determined to be appropriate for implementation or continued implementation at the facility, unit, or section, it must be noted on an Annual LOP Procedure Review form (**Attachment 6**) by management signature and filed as a cover sheet with the LOP.

6. Following dissemination of approved new and revised local procedures to authorized staff, and/or volunteers; a reasonable lead-time will be granted for implementation, instruction and adjustment without noncompliance penalty when possible.

D. RETENTION SCHEDULE FOR LOCAL OPERATING PROCEDURES

1. Each facility, section, or unit will retain all LOPs which have been replaced by revised or updated LOPs. A separate file, identified by LOP reference number, shall be maintained for each LOP in this category. Outdated LOPs will be placed in the file of its respective reference number and ordered chronologically according to effective date. As written operational procedures are mandated to be retained by state law, these file shall be maintained locally for 5 years from the date the LOP is superceded then destroyed.

E. RELEASE OF INFORMATION CONTAINED IN STANDARD OPERATING PROCEDURES OR LOCAL OPERATING PROCEDURE

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1. Release of information contained in the policy and procedure of the Georgia Department of Corrections shall be accomplished only in accordance with the Policy and Procedure Access Listing located under the Policy and Procedure Link on Captiva. Should you have a question or require additional information please contact Jim Allen at the Department of Correction Legal Office at 404-656-0962.

F. TRAINING

1. The Legal Office - Policy & Procedure Desk, will offer training on the Local Operating Procedure Process and Computer Format on an as needed basis. Requests should be made to this office. **See section VI.A.1**

VII. RECORD RETENTION:

- A. **Attachment 3 - Supplemental Guidance Request** - Form with original signatures shall to filed with the LOP while LOP is enforce, then archived with the LOP once superseded.
- B. **Attachment 4 - Procedure Variance Request** - Form with original signatures shall to filed with the LOP while LOP is enforce, then archived with the LOP once superseded.
- C. **Attachment 5 - Quarterly LOP Review** - Retain for 12 months from date of Manager's signature, then destroy.
- D. **Attachment 6 - Annual LOP Review** - Form with original signatures shall to filed with the LOP while LOP is enforce, then archived with the LOP once superseded.