



# Operating Procedure

<b>Effective Date</b> November 1, 2018	<b>Number</b> 010.1
<b>Amended</b> 3/1/19	<b>Operating Level</b> Department
<b>Supersedes</b> Operating Procedure 010.1 (10/1/15)	
<b>Authority</b> COV §Title 53.1	

**Subject**

**VIRGINIA DEPARTMENT OF CORRECTIONS  
ADMINISTRATION**

**ACA/PREA Standards**

5-1A-4001, 5-1A-4002, 5-1A-4003, 5-1A-4006, 5-1A-4009, 5-1A-4010, 5-1A-4015, 5-1A-4016, 5-1A-4017, 5-1A-4018, 5-1C-4048, 5-1F-4105, 5-2B-4125, 5-2B-4126, 5-2B-4127, 5-3A-4180; 4-4001, 4-4002, 4-4003, 4-4006, 4-4009, 4-4010, 4-4015, 4-4016, 4-4017, 4-4018, 4-4048, 4-4105, 4-4125, 4-4126, 4-4127, 4-4180; 4-ACRS-7A-01, 4-ACRS-7B-01, 4-ACRS-7B-02, 4-ACRS-7D-01, 4-ACRS-7D-02, 4-ACRS-7D-03, 4-ACRS-7D-34, 4-ACRS-7D-35, 4-ACRS-7D-36; 4-APPFS-2A-01, 4-APPFS-3A-01, 4-APPFS-3A-25, 4-APPFS-3A-26, 4-APPFS-3A-28, 4-APPFS-3A-29, 4-APPFS-3D-01, 4-APPFS-3D-02, 4-APPFS-3D-03, 4-APPFS-3D-04, 4-APPFS-3D-05, 4-APPFS-3D-07, 4-APPFS-3D-08, 4-APPFS-3D-09, 4-APPFS-3D-10, 4-APPFS-3D-14, 2 APPFS-3D-15, 4-APPFS-3D-32, 4-APPFS-3D-33, 4-APPFS-3E-02; 2-CO-1A-01, 2-CO-1A-02, 2-CO-1A-03, 2-CO-1A-04, 2-CO-1A-06, 2-CO-1A-07, 2-CO-1A-09, 2-CO-1A-10, 2-CO-1A-11, 2-CO-1A-12, 2-CO-1A-13, 2-CO-1A-18, 2-CO-1A-19, 2-CO-1A-20, 2-CO-1A-21, 2-CO-1A-22, 2-CO-1A-24, 2-CO-1C-01, 2-CO-1C-17, 2-CO-1F-03, 2-CO-1F-04, 2-CO-1F-05, 2-CO-2B-01

**Incarcerated Offender Access**  
Yes  No

**Public Access** Yes  No   
**Attachments** Yes  No

**Office of Primary Responsibility**  
Office of the Director

**I. PURPOSE**

This operating procedure addresses the establishment and authority of the Department of Corrections, its leadership and organizational structure, defining mission, goals, and objectives, and providing guidance for the management practices of Administration, Institutions, Community Corrections Facilities, and Probation and Parole.

**II. COMPLIANCE**

This operating procedure applies to all units operated by the Department of Corrections (DOC). Practices and procedures must comply with applicable State and Federal laws and regulations, ACA standards, PREA standards, and DOC directives and operating procedures.

**III. DEFINITIONS**

**Community Corrections Facility** - A residential facility operated by the Department of Corrections to provide Community Corrections Alternative Programs

**Facility** - Any institution or Community Corrections facility

**Institution** - A prison facility operated by the Department of Corrections - includes major institutions, field units, and work centers.

**Organizational Unit Head** - The person occupying the highest position in a DOC unit, such as a correctional facility, regional office, probation and parole office, Virginia Correctional Enterprises (VCE), Academy for Staff Development, Corrections Construction Unit, Agribusiness Unit, and individual headquarters unit (i.e. Human Resources, Offender Management, Internal Audit)

**IV. THE VIRGINIA DEPARTMENT OF CORRECTIONS**

**A. Establishment of the DOC**

1. COV §53.1-8 establishes the Department of Corrections as an executive department responsible to the Governor. (5-1A-4001; 4-4001; 4-ACRS-7A-01; 2-CO-1A-01)

2. COV §53.1-20 provides for convicted persons to be committed to the custody of the DOC for incarceration. (4-ACRS-7A-01; 2-CO-1A-02)
3. COV §53.1-140 et seq. establish the powers and duties of the DOC Director to divide the Commonwealth of Virginia into Probation and Parole Districts to serve the Virginia Parole Board and the Circuit Courts in the management and supervision of offenders in the community. (4-APPFS-3D-01, 4-APPFS-3D-14)
4. COV §53.1-67.7 and 53.1-67.8 authorize the DOC to establish Community Corrections Facilities (4-ACRS-7A-01)
5. COV §53.1-262 authorizes the DOC to enter into contracts with private correctional agencies for provision of correctional services. COV §53.1-266 and 6 VAC 15-45, *Regulations for Private Management and Operation of Prison Facilities*, establish the legal requirements for prison contractors. (2-CO-1A-03)

#### B. DOC Leadership

1. The Department of Corrections shall be under the supervision and management of the Director to whom all employees or units of management are responsible. (4-APPFS-3D-14; 2-CO-1A-06, 2-CO-1A-10)
2. COV §53.1-9 provides for the Director to be appointed by the Governor, subject to confirmation by each house of the General Assembly to serve a term coincident with that of the Governor and to serve at the pleasure of the Governor. The educational, operational, and administrative qualifications of the Director are taken into consideration by the Governor in determining appointment to the position. (4-APPFS-3D-14, 4-APPFS-3E-02; 2-CO-1A-06, 2-CO-1A-11)
3. COV §53.1-10 defines the powers and duties of the Director. (4-APPFS-3D-02; 2-CO-1A-06)
4. COV §53.1-9 provides for the Director to establish in the DOC such divisions and regional offices as may be necessary and shall appoint heads of these divisions and offices in accordance with Operating Procedure 102.2, *Recruitment, Selection and Appointment*.
5. DOC employees and employees of other public or private organizations providing a service to the DOC are accountable to the Organizational Unit Head of the program in which they work. (2-CO-1C-17)

#### C. DOC Organization

1. The DOC is organized so that similar functions, services, and activities are grouped into administrative subunits. The organizational plan clearly designates lines of responsibility, authority, support, and liaison. This plan is reviewed at least annually and updated if needed. (4-APPFS-3D-03; 2-CO-1A-13)
2. The DOC has a current organizational chart that accurately delineates the structure of authority, responsibility, and accountability within the agency. (5-1C-4048; 4-4048; 4-APPFS-3D-03, 4-APPFS-3E-02; 2-CO-1A-12, 2-CO-1C-01) The current Organizational Chart is displayed on the DOC [Public Website](#).

#### D. Communications

1. The Director will meet at least monthly with all Headquarters department heads and key staff members to ensure open communications. (2-CO-1A-19)
2. Department heads will meet at least monthly with their direct reports for purposes of delegating authority, assigning responsibility, coordinating, and supervising work. (2-CO-1A-18)
3. DOC news, events, and announcements are communicated by the DOC intranet, Agency Newsletters, and email.
4. The DOC Communications Unit provides public information through news releases, the DOC public website, Twitter, and Facebook.

5. The DOC Communications Unit also provides video production services for both internal and public use. The [Video Production Request](#) 010\_F6 should be used to request the Communications Unit to produce a video for informational or training purposes.

#### E. Mission, Goals, and Objectives

1. The Director has ensured the preparation of DOC Mission, Vision, and Values as statements that describe the philosophy, goals, and purposes of the DOC. These statements are reviewed at least annually and updated if needed. (2-CO-1A-04) The current statements are displayed on the DOC [Public Website](#).
2. The Director is responsible for executing the planning function through maintenance of the [Virginia Department of Corrections Strategic Plan](#) as a statement of the Department level long range goals. (2-CO-1A-06)
3. The Director meets with Executive Staff and other key personnel who, based on input from all levels of staff in their area of responsibility, review the [Virginia Department of Corrections Strategic Plan](#) at least annually to update it as needed. (4-APPFS-3D-07; 2-CO-1A-07)
  - a. The [Virginia Department of Corrections Strategic Plan](#) establishes policies and procedures for short- and long-range planning for the achievement of administrative and functional goals. (2-CO-1A-09)
  - b. Part of this review process is the formation of goals, establishing policies and priorities related to them, and translating the goals into measurable objectives for accomplishment by field staff. This planning process addresses the operational, supervision, and service needs of the entire DOC.
4. The elements of the [Virginia Department of Corrections Strategic Plan](#) are broken down into Scorecards as criteria for evaluating overall agency performance. The Scorecards are specific to unit function and appropriate Scorecards are disseminated to all operations and programs. (2-CO-1A-20)

#### F. Evaluation and Monitoring of DOC Performance and Progress

1. Operations Efficiency Measures Reporting data should be reported at least quarterly to review summaries of the characteristics, movement, and status of the offender population and assess and document achievement of goals and objectives. (4-APPFS-3D-08; 2-CO-1F-05)
2. The Director and Executive Staff monitor *Operations Efficiency Measures* reports and reports from those responsible for the management information system and research programs to measure performance and progress toward achieving previously identified program objectives at least annually, and program changes are implemented in response to findings as necessary. (4-APPFS-3D-08; 2-CO-1A-21, 2-CO-1F-03, 2-CO-1F-04)
3. The Director oversees publication of the *Management Information Summary Annual Report* as review of DOC operations and programs that includes goals, objectives, outcome measurements, programs, budget, major developments, and plans. The report describes facility functions and services furnished to the Courts, Parole Board, offenders, and the community. (4-APPFS-3D-10; 2-CO-1A-22, 2-CO-1A-24)

### V. VIRGINIA DEPARTMENT OF CORRECTIONS FACILITIES

#### A. Facilities Leadership

1. A Chief of Corrections Operations, who reports to the Director, oversees all field operations of the Department of Corrections.
2. The Commonwealth is divided into regions, each of which is headed by a Regional Operations Chief who reports to the Chief of Corrections Operations.
3. The Regional Operations Chief is supported by a Regional Administrator for Institutions, Regional Administrator for Community Corrections, Regional Managers, and assigned specialist and clerical staff.

4. Each institution and Community Corrections facility is headed by a Warden or Superintendent (Facility Unit Head) selected in accordance with Operating Procedure 102.2, *Recruitment, Selection and Appointment*, and approved by the Director. The Facility Unit Head (Warden or Superintendent) is in charge of all offenders, personnel, volunteers, programs, and activities connected with the facility. (5-1A-4006; 4-4006; 2-CO-1C-17)
5. To be considered qualified, a Facility Unit Head must possess significant related administrative experience and demonstrated administrative ability and leadership. A bachelor's degree in criminal justice or related field is a preferred qualification. The Department of Human Resource Management stipulates the degree qualification may be satisfied by completion of a career development program that includes work-related experience, training, or college credits at a level of achievement equivalent to the bachelor's degree. (5-1A-4009, 4-4009; 4-ACRS-7B-01)
6. All professional staff comply with applicable state and federal licensure, certification, or registration requirements. Verification of current credentials is on file in the employing Organizational Unit. (4-ACRS-7B-02)

#### B. Facilities Organization

1. Each facility shall maintain a written document describing the facility's organization including an organizational chart that groups similar functions, services, and activities in administrative sub-units. This document is reviewed annually and updated as needed. (5-1A-4010; 4-4010; 4-ACRS-7D-03)
2. Each facility shall be organized into management units. (5-2B-4127, 4-4127)
  - a. The maximum size of a single management unit is variable and is based on the characteristics of its offender population.
  - b. The exact size of each management unit is determined by
    - i. The security classification of the offender occupants (higher security levels require smaller unit size)
    - ii. The ability of staff to complete regular security checks, maintain visual and auditory contact, maintain personal contact and interaction with offenders, and be aware of unit conditions.

#### C. Facilities Communication

1. The Facility Unit Head shall attend periodic regional and statewide DOC meetings to facilitate communication, establish policy, and ensure conformity to legal and fiscal requirements. (4-ACRS-7D-34)
2. The Facility Unit Head will hold regular meetings with all department heads conducted at least monthly. (5-1A-4015; 4-4015; 4-ACRS-7D-35, 4-ACRS-7D-36)
3. Department heads will hold regular meetings with their key staff members conducted at least monthly. (5-1A-4015; 4-4015)
4. Formal meetings should be documented in written minutes to be provided to all eligible members of the meeting group including those unable to attend the meeting.
5. There will be adequate two-way communication among all levels of staff and offenders. The communication may consist of employee advisory committee meetings, employee suggestion programs, focus groups, memos, face-to-face meetings, offender advisory committee meetings, request forms, informal complaints, grievances, etc. (5-1A-4016; 4-4016; 4-ACRS-7D-36)
6. Facilities with an offender advisory committee should maintain an Implementation Memorandum to provide facility specific information on:
  - a. Functions of the committee
  - b. Eligibility, recruitment, selection, appointment, and removal of offender representatives
  - c. Term of office for committee members
  - d. Committee officers selection and duties

- e. Frequency and duration of committee meetings
  - f. Agenda preparation, submission, and approval
  - g. Preparation and posting of meeting minutes
  - h. The committee should focus on broad issues impacting the offender population and not individual personal issues.
7. Staff at all levels are encouraged to provide relevant information, ideas and any suggestions for improvement in the operation of the facility to supervisory staff, either verbally, at staff meetings, or in writing.
  8. The facility should encourage staff and offender interaction. The facility should have a management system that provides staff with the authority to make decisions, the ability to make recommendations regarding security, classification, services, and programs for offenders. (5-2B-4126; 4-4126)
  9. The Administrative Duty Officer will tour the facility compound during the scheduled duty week in accordance with Operating Procedure 401.3, *Administrative Duty Coverage*. Other staff is encouraged to maintain appropriate professional personal contact and interaction with offenders. (5-3A-4180; 4-4180)
  10. To the extent possible, the facility physical plant design facilitates personal contact and interaction between staff and offenders. (5-2B-4125; 4-4125; 2-CO-2B-01)
  11. Prior to the beginning of each shift, the off-going Shift Commander shall brief the oncoming Shift Commander regarding facility status, incidents, etc. A pass-down log or similar device may be used to document information passed from one shift to another.
  12. Prior to the beginning of each shift, the Shift Commander will conduct a briefing with security staff.
    - a. The briefing should include a review of the off-going shift status, a discussion of security instructions and procedures (including routine and emergency post assignments), an inspection of Officers, and an opportunity for Officer questions and feedback.
    - b. Each Shift Commander should document roll call discussion and presentations (e, g, using a briefing logbook, briefing minutes, or daily report log).
  13. Bulletin boards should be placed at strategic locations throughout the facility to communicate information to staff and offenders.
  14. All employees with DOC computer accounts should check their electronic messaging each working day for retrieval of any incoming information.
- D. Facility Mission, Goals, and Objectives
1. Each facility shall complete a [Unit Mission](#) 010\_F4 annually delineating the facility's mission within the context of the Department of Corrections. (5-1A-4002; 4-4002) The mission statement should list the top five programs and services available in the facility such as:
    - a. Security level designation
    - b. Male or female offenders
    - c. Reception units
    - d. Re-entry, prerelease units
    - e. Separate units for special offenders
    - f. Therapeutic Community drug treatment programs
  2. The Facility Unit Head shall formulate measurable objectives at least annually to document the facility's goals in support of the [Virginia Department of Corrections Strategic Plan](#) goals. (5-1A-4003; 4-4003; 4-ACRS-7D-01)
    - a. These objectives shall be specific and defined in writing using [Unit Objectives](#) 010\_F5 to serve as the facility's criteria for evaluating overall performance. (5-1F-4105; 4-4105)
    - b. An objective is a statement that describes the unit's short-term plan of action for accomplishing



the larger goal. The acronym S.M.A.R.T. is used to describe the criteria of a well-written objective:

- i. Specific - should be clear, action-based statement of what you intend to do
  - ii. Measurable - should quantify progress toward achieving your objective
  - iii. Achievable - should be feasible and within your control while still challenging
  - iv. Relevant - should be related to your daily functions and duties
  - v. Timed - should have a target date for accomplishing, possibly with interim deadlines along the way
- c. The Unit should develop one or two objectives with measures that support each of the five main goals of the [Virginia Department of Corrections Strategic Plan](#).

#### E. Evaluation and Monitoring of Facilities Performance and Progress

1. *DOC Operations Efficiency Measures* document findings for the facility to annually assess achievement of goals and objectives. As necessary, program changes are implemented in response to findings. (5-1A-4017; 4-4017; 4-ACRS-7D-02)
2. Additional evaluations of facility performance will be through an annual *Security Readiness Assessment* (see Operating Procedure 030.3, *Monitoring and Assessment of DOC Performance and Progress*), annual Program Evaluations (see Operating Procedure 841.1, *Offender Programs and Services*), audits conducted by the DOC Compliance and Accreditation Unit or American Correctional Association, and audits related to the Prison Rape Elimination Act (PREA). (5-1A-4017, 5-1F-4105; 4-4017, 4-4105)
3. Facility population data shall be maintained on a “real time” basis in VACORIS to be available to all levels of the DOC. (5-1A-4018; 4-4018)
4. Major incidents are reported to the DOC Operations and Logistics Unit (OLU) Operations Center and documented in VACORIS by noon of the next working day per Operating Procedure 038.1, *Reporting Serious or Unusual Incidents*. The OLU Operations Center reports incidents to the appropriate executive and administrative staff either by immediate notification or daily briefing reports. (5-1A-4018; 4-4018)
5. The institution shall report its activities to the regional office at least quarterly. These reports may be by memorandum or electronic means using the *Institutional Status Report* in the VACORIS incident module and shall include major developments in each department or administrative unit, assessment of staff and offender morale, and major problems and plans for solving them. (5-1A-4018, 4-4018)

### VI. VIRGINIA DEPARTMENT OF CORRECTIONS PROBATION AND PAROLE

#### A. Probation and Parole Leadership

1. A Chief of Corrections Operations, who reports to the Director, oversees all field operations of the Department of Corrections.
2. The Commonwealth is divided into regions, each of which is headed by a Regional Operations Chief who reports to the Chief of Corrections Operations.
3. The Regional Operations Chief is supported by a Regional Administrator for Community Corrections, Regional Managers, and assigned specialist and clerical staff.
4. A Chief Probation and Parole (P&P) Officer, who reports to the assigned Regional Administrator for Community Corrections, heads each Probation and Parole (P&P) District.
  - a. Each P&P District has one or more Deputy Chief P&P Officers who report to the Chief P&P Officer.
  - b. Each Deputy Chief P&P Officer supervises an assigned group of P&P Officers and Surveillance Officers.
  - c. Senior P&P Officers who report to the Chief or Deputy Chief P&P Officer may supervise an

assigned group of P&P Officers and Surveillance Officers

- d. Additional support and specialist staff are assigned based on unit needs and available resources.
5. There is a written description and organizational chart that reflects the current structure of authority, responsibility, and accountability within the P&P District. Similar functions, services, and activities should be grouped into administrative sub-units. These documents are reviewed at least annually and are updated as needed. (4-APPFS-3D-03)
6. The DOC provides the administrative and clerical support needed at all levels to accomplish probation and parole goals. (4-APPFS-3A-28)

#### B. Probation and Parole Organization

1. Each Probation and Parole Unit is headed by an administrator with the following preferred qualifications: a bachelor's degree with coursework in criminal justice or a related human services field, significant related experience, and demonstrated administrative ability and leadership. The Department of Human Resource Management stipulates that the degree qualification may be satisfied by completion of a career development program that includes work-related experience, training, or college credits at a level of achievement equivalent to the bachelor's degree. (4-APPFS-3D-15)
2. The preferred qualifications for an entry-level P&P Officer are a minimum of a bachelor's degree with coursework in criminal justice or a related human services field or completion of a career development program that includes work-related experience, training, or college credits providing a level of achievement equivalent to a bachelor's degree. (4-APPFS-3A-01)
3. Field staff who have caseloads will report to a supervisor who is trained in the supervisory function to provide ongoing reviews of field supervision and staff compliance with policies and procedures. (4-APPFS-3A-26)
4. There is a written workload formula that allocates work to field staff and supervisors to accomplish its stated goals. (4-APPFS-3A-25)

#### C. Probation and Parole Communication

1. The Director ensures that P&P field services data is collected, recorded, organized, processed, and reported through VACORIS for information management purposes. (4-APPFS-3D-32)
2. The Chief Technology Officer and the Research and Management Services Administrator shall forward, at a minimum, quarterly reports to the Director as needed in addition to reports available in VACORIS. (4-APPFS-3D-33)
3. The Chief P&P Officer or designee regularly attends meetings with DOC administrators to facilitate communication, establish policy, and ensure conformity to legal and fiscal requirements.
4. All employees should participate in staff meetings to ensure that staff are fully informed about matters which impact their job duties and to solicit their input on issues, problems, opportunities, policies, procedures, programs, and services. Such meetings are to be conducted at least monthly. (4-APPFS-3A-29)
  - a. All new or revised policies, procedures, protocols, and general guidance should be disseminated to all affected staff, volunteers, service providers, and offenders when appropriate as soon as possible after receipt and addressed at staff meetings.
  - b. General summaries of the meetings shall be compiled and maintained by the Chief P&P Officer or designated meeting coordinator.

#### D. Probation and Parole Mission, Goals, and Objectives

1. The Director ensures the preparation of a DOC mission statement and long range Probation and Parole field services goals that are reviewed at least annually and updated if needed. The [Virginia Department of Corrections Strategic Plan](#) documents practical and specific plans to achieve long-

range goals. (4-APPFS-2A-01, 4-APPFS-3D-04)

2. The Director or designee, with input from staff, is responsible for the formation of P&P field services goals, establishing policies and priorities related to them, and translating the goals into measurable objectives for accomplishment by field staff. This planning process addresses the supervision and service needs of the agency. (4-APPFS-3D-05)
3. The P&P District's Unit Mission 010\_F4 affirms that the supervision program is to provide necessary services to the offender with the goal of reducing the probability of continued criminal behavior on the part of the offender. (4-APPFS-2A-01)
4. Each P&P District should use the Unit Objectives 010\_F5 to establish measurable goals and objectives that support DOC goals and objectives. The objectives are reviewed at least annually and updated as needed. (4-APPFS-3D-04)

#### E. Evaluation and Monitoring of P&P Performance and Progress

1. There is an internal system for assessing and documenting achievement of DOC Probation and Parole field services and P&P District goals and objectives. Performance is reviewed at least annually, and program changes are implemented in response to findings as necessary. (4-APPFS-3D-08)
2. Inspections, assessments, and audits are conducted to ensure:
  - a. Safe work environment (See Operating Procedure 910.1, *Community Corrections Office and Staff Safety and Security*.)
  - b. Program and service effectiveness
  - c. Identification and action on opportunities or deficiencies including workload imbalances
  - d. Compliance with applicable standards, policies, procedures, protocols, and regulations
    - i. All P&P Districts will be inspected, assessed, or audited every calendar year unless exempted by the Chief of Corrections Operations or higher authority. (4-APPFS-3D-09)
    - ii. American Correctional Association accreditation audits will be conducted at least every three years for Probation and Parole field services.
    - iii. Each Regional Administrator will develop procedures and assign staff as needed to carry out the inspections, assessments, and audits.
    - iv. The inspections, assessments, and audits may cover any operational area of the affected organizational unit and may be conducted at any time, as needed.
      - (a) Summary reports should be forwarded to the Regional Administrator within 10 working days after the completion of the inspection, assessment, or audit.
      - (b) The next level of supervision shall take the necessary steps to develop and follow-up the corrective actions until any deficiencies have been corrected.
      - (c) One copy of the annual program review report shall be provided to the Manager, Compliance and Accreditation Unit.
3. Community Operational Assessments will be performed annually in accordance with Operating Procedure 030.3, *Monitoring and Assessment of DOC Performance and Progress*.

#### VII. REFERENCES

Operating Procedure 030.3, *Monitoring and Assessment of DOC Performance and Progress*

Operating Procedure 038.1, *Reporting Serious or Unusual Incidents*

Operating Procedure 102.2, *Recruitment, Selection, and Appointment*

Operating Procedure 401.3, *Administrative Duty Coverage*

Operating Procedure 841.1, *Offender Programs and Services*

Operating Procedure 910.1, *Community Corrections Office and Staff Safety and Security*

[Virginia Department of Corrections Strategic Plan](#)



VIII. FORM CITATIONS

[Unit Mission](#) 010\_F4

[Unit Objectives](#) 010\_F5

[Video Production Request](#) 010\_F6

IX. REVIEW DATE

The office of primary responsibility shall review this operating procedure annually and re-write it no later than three years after the effective date.

*Signature Copy on File*

Harold W. Clarke, Director

**9/17/18**

Date