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DONAL CAMPBELL
COMMISSIONER

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ADMINISTRATIVE REGULATION
NUMBER 018

OPR: RESEARCH AND PLANNING

INSTITUTIONAL STANDARD OPERATING PROCEDURES

I. GENERAL

This Alabama Department of Corrections (ADOC) Administrative Regulation (AR) establishes responsibilities, policies, and procedures for developing Standard Operating Procedures (SOPs).

II. POLICY

It is the policy of the ADOC that each institution/facility shall operate within the parameters specified and set forth by the laws of the State of Alabama in conjunction with the policies and directives of the ADOC Commissioner.

III. DEFINITION (S) AND ACRONYM(S)

- A. Office of Primary Responsibility (OPR): The Office of Primary Responsibility is that Warden/Director, Deputy Commissioner staff unit, office, or activity having functional responsibility for the program, procedure, law, rule, or regulation matter.
- B. Staff Accountability Log: A record indicating an officer has read, and understands the SOPs for a security assignment.
- C. Standard Operating Procedure (SOP): Policies and procedures set forth by local orders and implemented by the Warden/Director of each institution/facility.

IV. RESPONSIBILITIES

- A. It is the responsibility of the Warden of each institution to:
 - 1. Plan, direct, control, and otherwise manage his/her respective institution in such a manner as to ensure the effective accomplishment of its mission.
 - 2. Implement and promulgate local orders, procedures, and policies through the publication of Standard Operating Procedures (SOPs).

- B. All ADOC employees, contract personnel, and visitors are responsible for complying with each institution's SOPs.
- C. The Research and Planning Division shall maintain copies of all institutional SOPs and changes.

V. PROCEDURES

- A. SOPs shall be typed and placed in loose-leaf binders to facilitate the addition of new SOPs, and to make changes to existing SOPs.
- B. The SOP binders shall have an index, which provides a system for numbering the SOPs, identifying the institutional OPR, the date the SOP was published, and the annual review/update.
- C. SOPs shall include, but are not limited to the following:
 - 1. ADOC/Institutional mission
 - 2. Physical plant description and site location
 - 3. Organizational chart with a brief description of key offices/institutional divisions
 - 4. Staffing/manpower requirements
- D. Written policy shall establish a requirement that SOPs are current, complete, and available at each security post unless security would be compromised. SOPs are sensitive documents and shall be maintained in a secure area and not shown to inmates or other unauthorized persons.
- E. Written SOPs shall specify the duties of each post and the procedures to be followed for carrying out the assignment.
- F. Written policy shall establish a system to ensure that officers sign and date ADOC Form 018-A, Staff Accountability Log, prior to assuming a post to indicate they have read and understand the SOP for that assignment. This process shall be repeated every three months. ADOC Form 018-A shall be maintained for three years.
- G. Copies of SOPs shall be made available for all employees.
- H. SOPs shall contain the following instructions:
 - 1. Any employee taken hostage or otherwise under duress is without authority, regardless of rank.

2. SOPs cannot cover every incident or eventuality. Employees assigned to any post shall use good judgement paying careful attention to the general and specific issues and details related to post assignments.
- I. SOPs shall follow the format of Annex A, Standard Operating Procedure Format.
 - J. One copy of each SOP and all changes or revisions shall be provided to the Research and Planning Division.
 - K. It is extremely important that SOPs be maintained up-to-date:
 1. Changes to the document must be made as they occur.
 2. Periodic reviews should be scheduled to ensure that practices and procedures are effective, and in agreement with laws, regulations, and established standards.
 3. Review-input should be solicited throughout the staff.
 - L. SOPs shall be updated annually.
 - M. Each “retired” SOP shall be archived for a minimum of three years for reference in legal challenges.

VI. DISPOSITION

Any forms will be disposed of and retained according to the Departmental Records Disposition Authority (RDA).

VII. FORMS

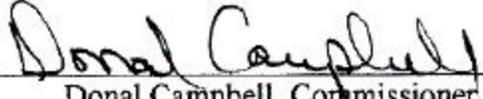
ADOC Form 018-A, Staff Accountability Log

VIII. SUPERCEDES

This regulation supercedes AR 018, dated March 19, 1985.

IX. PERFORMANCE

- A. Code of Alabama 1975, Section 14-1-1 and 14-1-2
- B. ACA Standards: 4-4178 and 4-4179



 Donal Campbell, Commissioner

ANNEX(S):

Annex A – Standard Operating Procedure(s) Format

STANDARD OPERATING PROCEDURE(S) FORMAT

I. GENERAL

This section is a short paragraph of what the Standard Operating Procedure (SOP) is doing. The following will be used at the beginning of the first sentence in the “General” section: *“This Alabama Department of Corrections (ADOC) Institutional Standard Operating Procedure (SOP) establishes the responsibilities, policies, and procedures for...”*

II. POLICY

This section provides a quick description of the policy statement. This statement should not exceed one or two sentences.

III. DEFINITION(S) and ACRONYM(S)

This section identifies the terms and/or acronyms used throughout the SOP.

IV. RESPONSIBILITIES

This section identifies who is responsible for performing specific tasks and/or ensuring other employees accomplish specific tasks.

V. PROCEDURES

This section identifies the duties of each post and the procedures to be followed to carry out the assignment.

VI. DISPOSITION

There are no forms used in the development and implementation of SOPs.

VII. FORMS

Administrative Regulations are the sole authority for the development of forms.

VIII. SUPERCEDES

This section is a statement that identifies what this SOP or change supercedes.

IX. PERFORMANCE

This section identifies the AR(s), which provides the authority for the SOP.

Annex A to AR 018 – March 29, 2005