



Illinois Department of Corrections

Administrative Directive

Number: 01.01.105	Title: Local Procedures	Effective: 2/1/2022
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Authorized by:	<i>[Original Authorized Copy on File]</i>	Rob Jeffreys Director
Supersedes:	01.01.105 effective 4/1/2021	

Authority: 730 ILCS 5/3-2-2	Related ACA Standards: 5-ACI-1A-01, 05-06, 14
Referenced Policies: 01.01.101, 01.11.103	Referenced Forms: DOC 0580 – Local Procedure Review and Revision

I. POLICY

The Department shall promote effective management through the establishment and maintenance of local procedures which shall document internal management policies and procedures that are consistent with State and federal law, Department Rules, Administrative Directives, professional standards, legal requirements, settlement consent decrees and any requirements or guidelines mandated by an external agency.

II. PROCEDURE

A. Purpose

The purpose of this directive is to establish a procedure for the development, review, approval, issuance and dissemination of local procedures.

B. Applicability

This directive is applicable to all correctional facilities, offices, programs and parole services within the Department.

C. Facility Reviews

A facility review of this directive shall be conducted at least annually.

D. Designees

Individuals specified in this directive may delegate stated responsibilities to another person or persons unless otherwise directed.

E. Definitions

The following definitions shall be used for the purpose of this directive:

Local Procedure – A written document developed for a specific facility and reviewed by the facility’s Chief Administrative Officer (CAO) or designee. Local procedures shall define operational guidelines for institutional employees, volunteers, individuals in custody and the public but cannot minimize requirements of related Department Rules or Administrative Directives. The term “local procedure” is synonymous with the terms “local policy” and “institutional directive”.

Subject Matter Expert – A facility staff member within an area of operational responsibility that has been assigned reviewer authority for a local policy. The Facility Review Control Officer (FRCO), with approval by the CAO, shall identify the Subject Matter Experts (SME). The purpose of these assignments will be to ensure appropriate input is obtained from the actual area of operation regarding the implementation of any new or revised local procedure.

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F. Development, Review and Revision of Local Procedures

1. Local procedures shall be reviewed:
 - a. When new or revised Department Rules and Administrative Directives are received.
 - (1) Existing local procedures shall be reviewed, and if determined necessary, revised or developed within 30 days of receipt of a new or revised Department Rule or Administrative Directive.
 - (2) If the local procedure must be submitted for approval to someone outside the facility, the required local procedure shall be reviewed and distributed within sixty (60) days of receipt of the new or revised Department Rule or Administrative Directive.
 - b. On an annual basis from the effective date of the procedure or the date of the last annual review, whichever is oldest.
 - (1) On a monthly basis, the FRCO shall identify local procedures requiring annual reviews.
 - (2) Documentation of all annual reviews shall be maintained by the FRCO and signed and dated by the CAO.
 - c. At any time deemed necessary in order to amend or document local procedures.
 - (1) The FRCO shall have the authority to coordinate an immediate local procedure revision outside of the annual review schedule. This type of revision shall be extremely limited to only valid, urgent situations and only after the FRCO has met with and received authorization from the CAO to proceed with the revision.
 - (2) Proposed or revised local procedures may be initiated or requested by any Department Head. Any proposals or revisions of this nature shall be submitted to the FRCO to initiate the local procedure review process.
2. Local Procedure Review Process
 - a. On or about the first business day of the month in which the local procedure is scheduled for annual review, or when a request is made for a new or revised local procedure, the FRCO shall distribute the local procedure, including the Local Procedure Review and Revision, DOC 0580, to the assigned SME for review to determine if a revision is necessary.
 - (1) A DOC 0580 shall be completed for all procedure reviews and revisions.
 - (2) The DOC 0580 shall include revision(s), factors supporting the revision(s) and any anticipated impact to the facility.
 - b. The SME shall have 14 calendar days to review the procedure and determine if any revisions are necessary. The SME shall be responsible for:
 - (1) Carefully proofreading the proposed draft procedure prior to submission for conciseness, clarity, punctuation and grammar.
 - (2) Reviewing the entire procedure for accuracy, not just the revised sections, by utilizing the local procedures writing guidelines in Appendix A.

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NOTE: Additional stakeholders and staff members with knowledge of the subject area may be utilized for input during this time.

- c. If no revision is deemed necessary after reviewing the local procedure:
 - (1) The SME shall complete, sign and date the DOC 0580 and electronically submit to the FRCO for review and approval prior to submitting to the CAO for final approval.
 - (2) The CAO shall sign the annual review page for the local procedure. This shall be done prior to the previous review or the local procedure's effective date, whichever is oldest.
 - d. In the event the SME determines revisions are necessary, he or she shall prepare a draft revision, using track changes in a Word document, and forward the draft and the DOC 0580 to the FRCO.
 - e. Upon receipt of a revised procedure and the corresponding DOC 0580, the FRCO shall review and agree or disagree with the recommended revisions prior to submitting to the CAO.
 - f. Upon review and approval, the FRCO shall assign an effective date and submit the updated local procedure and the DOC 0580 to the CAO for final review and approval.
 - g. Once approved, the FRCO shall facilitate the distribution of the new or revised local procedure to all local procedure manual holders and facility Department Heads as required.
3. Employee and Related Community Agency Participation
- a. Employee input and consideration in policy review and development is vital to the success of local procedure implementation. Employee participation in the formulation of policies, procedures and programs can be achieved through staff meetings, suggestion programs, employee councils or other similar formats.
 - b. Related community agencies with which the institution has contact may be consulted during the local procedure development and planning phase. The local procedure of a facility may affect or be affected by agencies and groups within and outside the Department. Interaction with these organizations, as necessary, creates a forum for coordination and cooperation.
4. All local procedures shall be signed by the CAO prior to issuance in official form.
5. Each local procedure must be in compliance with applicable federal and state laws, Department Rules, Administrative Directives, professional standards, legal requirements, settlement consent decrees and any requirements or guidelines mandated by an external agency.

G. Standardized Local Procedure Format

- 1. All local procedures shall be prepared on the local procedure template as established in Administrative Directive 01.01.101.
- 2. All text shall be formatted in 10 pt. Arial font and paragraphs shall follow the approved outline format below with 5 pt. tabs:

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3. Following the review, the SME or FRCO shall make the changes to the established template version of the procedure. If the previous policy was developed in an outdated or unapproved format, the SME or FRCO is responsible for transitioning the procedure into the current approved format.

H. Assignment of Numbers and Review Frequency

1. All local procedures shall have a facility review frequency and be numbered in the following manner and shall be implemented during the annual review period following the effective date of this policy.
2. The FRCO shall assign a unique number to all local procedures that denotes the section, subsection and subject, and shall coincide with the applicable Administrative Directive from which the local procedure is based on.
 - a. The sections shall be:
 - (1) 01 Administration and General Office
 - (2) 02 Fiscal and Business Management
 - (3) 03 Personnel and Labor Relations
 - (4) 04 Programs and Services
 - (5) 05 Operations
 - b. Within each section shall be two-digit subsections numbered 01, 02, 03, etc. denoting general topics.
 - c. Each subsection shall be further subdivided into specific three-digit subject areas numbered 101, 102, 103, etc.

NOTE: Local procedures not based off an existing Administrative Directive shall begin the subject area numbering sequence with the number zero (0). For example, 001, 002, 003, etc.
3. The FRCO, upon receipt of the local procedure, shall establish the audit schedule, assign internal auditors and incorporate the local procedure into the facility's review schedule in accordance with Administrative Directive 01.11.103.

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I. Rescission Notices

1. In the event a local procedure is no longer required or otherwise should be rescinded, the FRCO shall initiate a DOC 0580 and provide a brief explanation as to the reason the local procedure should be rescinded.
 - a. The local procedure shall be reviewed by the assigned SME.
 - b. The DOC 0580 shall be completed properly, with consideration given to the impact that rescinding the policy would have on the facility.
2. If it is determined appropriate to rescind the local procedure, the FRCO shall note his or her approval on the DOC 0580 and submit to the CAO for final approval.
3. If approved, the local procedure shall be rescinded, and notice provided consistent with this Administrative Directive.

J. Distribution of Local Procedures

1. The CAO may designate additional local procedure manual holders at the facility. It is the responsibility of each designated local procedure manual holder to ensure each manual is maintained and updated on a current and ongoing basis.
2. Local procedures labeled as "Restricted", "Confidential" or "Not for General Distribution" shall only be distributed to the CAO and those local procedure manual holders or staff members as authorized by the CAO.
3. Local procedures derived from Department Rules and Administrative Directives labeled as "Restricted", "Confidential" or "Not for General Distribution" shall also be labeled and considered as "Restricted", "Confidential" or "Not for General Distribution".
4. The CAO may elect to label additional local procedures as "Restricted", "Confidential" or "Not for General Distribution" as deemed necessary.
5. Local procedures are to be filed numerically in the local procedure manuals. The local procedure manual shall be divided into five sections:
 - a. 01 Administration and General Office
 - b. 02 Fiscal and Business Management
 - c. 03 Personnel and Labor Relations
 - d. 04 Programs and Services
 - e. 05 Operations
6. The Assistant Warden of Operations, Assistant Warden of Programs and Business Administrator may further distribute specific local procedures to their staff, as they deem appropriate.
7. Local procedures shall not be distributed to individuals in custody or outside entities, excluding other State agencies, except as authorized by the Freedom of Information Office or Legal Services. Information contained in the local procedures may be communicated in writing in another form such as orientation manuals, bulletins for offenders or via the Character Generator System.

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8. Each facility within the Department shall upload and maintain the current version of each established local procedure and corresponding Table of Contents for their respective facility to a designated shared location or as directed. Only signed, finalized local procedures shall be uploaded and maintained. No working or draft versions of any local procedures shall be uploaded to the designated site.

NOTE: Local procedures labeled “Restricted”, “Confidential” or “Not for General Distribution” shall not be uploaded to the designated shared location.

K. Interpretation and Communication of Local Procedures

1. The CAO shall designate staff members responsible for the interpretation and communication of local procedures.
2. Department heads shall review and communicate the contents of the local procedures to their staff to ensure adequate information is disseminated through department heads to line staff.
3. Local procedures shall be periodically reviewed with staff during administrative and departmental staff meetings, briefings and roll calls.

NOTE: Volunteers shall be advised of a new or revised local procedure by the department head to whom they are assigned.

L. Maintenance of Local Procedures

1. The FRCO shall initiate and track the review of all local procedures.
2. A complete Table of Contents shall be maintained with each local procedure manual. The Table of Contents shall:
 - a. List all existing local procedures and include the current effective date for each directive.
 - b. Be updated each month that new, revised or amended procedures are issued or when procedures are rescinded.
3. All local procedure manual holders, except the local procedure manual maintained by the CAO with original copies, shall destroy all superseded and rescinded procedures. The FRCO shall maintain the signed original copies of all new, revised, amended, superseded and rescinded local procedures in a historical file.

M. Department Rules and Administrative Directives Serving as Established Facility Policy and Procedure

In the event local procedures do not exist for Department Rules, Administrative Directives, Fiscal Procedures or other department procedures, these documents shall stand as institutional policy and local procedure. All staff are responsible for ensuring compliance with requirements outlined in these rules, directives and procedures.

N. Adult Parole, Corrections Training Academy and Correctional Industries Local Policies

Local Procedures specific to the Parole Division, Corrections Training Academy and the Illinois Correctional Industries (ICI) are exempt from the local procedure review and revision process. The CAO for each unit may develop their own policy review process; however, they shall be converted to the Local Procedure Template during their next revision and shall adhere to annual review, security policy access, distribution including the uploading of each signed local procedure to the designated shared location and retention requirements.

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Appendix A

Local Procedure Writing Guidelines

1. Review the entire procedure for accuracy. As a SME or Department Head, you are responsible for all language in the procedure. Do not just focus on a specific section as there may be other language in the procedure that needs updated as well.
2. Pay attention to the deadline for policy revisions as it enables other staff members to conduct their reviews and make necessary revisions prior to the deadline, avoiding the possibility of future non-compliance.
3. Local procedure drafts must be developed using the most current, up-to-date Local Procedure Template. If the previous procedure was developed in an outdated template, the SME is responsible for transitioning the procedure into the current approved template.
4. Local procedure text shall be formatted in Microsoft Word, Arial, size 10 font.
5. When revising a procedure, strike out old language using the automated "Track Changes" function and add new language.
6. Review the use of the term "should or may" vs. the term "shall". Using the term "should or may" implies that you should do something but it is not always required, whereas "shall" implies that you must do it.
7. Review the use of various terms such as "Major" as that position is now "Shift Supervisor" and "Superintendent" is now "Unit Superintendent."
8. Any related Administrative Directive or Local Procedure/Institutional Directive must be properly cited in the header of the procedure.
9. Definitions must be listed in alphabetical order.
10. When using an acronym, the SME must first write out the entire title within the body of the policy, immediately followed by the acronym in parenthesis. Only then may an acronym be used throughout the remainder of the directive. Example: Subject Matter Expert (SME).
11. When referring to another department policy within the body of a procedure, the full name of the related policy and policy number must be cited in the following format, as an example: "The Facility Review Control Officer shall ensure that all documents detailed in Administrative Directive 01.01.101 Administrative Directives, are included."
12. When referring to a Department or local form within the body of a procedure, the full name of the form and form number must be cited. All Department and local forms cited within the policy must be listed in the header of the policy under "Referenced Forms". Do not list forms that are not referenced in the policy.