

 <p>CD-083100</p>	<p>NEW MEXICO CORRECTIONS DEPARTMENT</p> <p><i>"We commit to the safety and well-being of the people of New Mexico by doing the right thing, always."</i> Courage Responsibility Ethics Dedication - CREDibly serving the public safety of New Mexico</p>	
	<p>ISSUE DATE: 01/14/02</p> <p>EFFECTIVE DATE: 01/14/02</p>	<p>REVIEW/REVISED: 06/09/16</p>
	<p>TITLE: Unit Management</p>	

AUTHORITY:

- A. NMSA 1978, Sections 33-1-6, as amended.
- B. Policy *CD-010100*.

REFERENCES:

- A. ACA Standards 4-4126, *Standards for Adult Correctional Institutions*, 4th Edition.
- B. *Unit Management in Prisons and Jails*, ACA, 1999.

PURPOSE: [4-4126]

- A. To establish a system of Unit Management as an approach to inmate and institutional administration which is designed to improve control and facility management by dividing prison populations into smaller, more manageable groups under the supervision of the Unit Management Team delegated the authority to make decisions regarding security classification, services, and programs for inmates within particular units.
- B. To encourage positive staff/inmate interaction and effective communication.

APPLICABILITY:

All employees and inmates of the New Mexico Corrections Department at designated units.

FORMS:

None

ATTACHMENTS:

- A. **Unit Management Auditing Standards** Attachment (*CD-083101.A*)
- B. **Size and Staffing Patterns** Attachment (*CD-083101.B*) (5 Pages)
- C. **Unit Plans** Attachment (*CD-083101.C*) (5 Pages)
- D. **Inmate Disciplinary Process** Attachment (*CD-083101.D*)
- E. **Unit Stability** Attachment (*CD-083101.E*) (2 Pages)
- F. **Evaluation** Attachment (*CD-083101.F*) (3 Pages)

DEFINITIONS:

- A. Decentralization: The provision of programs and services at the housing unit level rather than the facility level.
- B. Direct Supervision: Correctional supervision that includes minimal physical barriers between the correctional officer and the inmates in the housing unit. To foster better interaction between inmates and unit staff and provide for better security supervision.
- C. EDA: The annual Employee Development and Appraisal (“EDA”) process for all state employees.
- D. Unit: One or more living areas in which inmates are classified and organized into manageable groups. Units may provide general population or specialized housing. Ideally, units consist of housing units grouped around staff offices and multipurpose areas in which programs and services are delivered. Units can be configured to allow for separation of custody levels or groups of inmates who require separation.
- E. Unit Management: A management methodology that provides intensive levels of supervision and service to an inmate population. Its main principle is that a limited number of inmates, housed in physically discrete areas, can be managed more effectively by assigned unit staff than a centralized operation. Its primary goal is to decentralize traditional prison authority and empower key staff to manage inmates in relatively small units and make the majority of decisions for the management of those inmates.
- F. Unit Manager: The supervisor of a housing unit who is responsible for overseeing the daily operation of the unit and the unit team. The Unit Manager must have the capability to make operation decisions, supervise all levels of staff up to, and including, captains, and acts in the capacity of a department head in the facility.
- G. Unit Team: The staff and employees assigned responsibilities within the unit, including treatment, security, programs and support staff that work together to perform the essential functions of the unit, fostering communications, team work and cooperation within the prison.

POLICY:

The New Mexico Corrections Department shall operate prisons using a Unit Management methodology. To enhance public safety through the continuum of custody, control, supervision and program/service delivery, while balancing the concepts of punishment, deterrence, incapacitation and rehabilitation. Operational and physical standards for housing design and operations will guide future construction and renovations to prisons, utilizing the Unit Management concept.



Gregg Marcantel, Secretary of Corrections
New Mexico Corrections Department

06/09/16
Date

 <p>CD-083101</p>	<p>NEW MEXICO CORRECTIONS DEPARTMENT</p> <p><i>"We commit to the safety and well-being of the people of New Mexico by doing the right thing, always."</i> Courage Responsibility Ethics Dedication - CREDibly serving the public safety of New Mexico</p>	
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<p>TITLE: Unit Management</p>		

AUTHORITY:

Policy *CD-083100*

INTRODUCTION:

A. Unit Management Concept:

1. Policy statement.
2. Unit Management overview.
3. Essential elements of Unit Management.
4. Department objectives of Unit Management.

B. Administration:

1. NMCD organizational chart.
2. Roles and responsibilities.

C. Institutional Level Unit Staff:

1. Roles and responsibilities in the facility:
 - a) Unit Manager;
 - b) Unit Security Supervisor (Lieutenant or Sergeant);
 - c) Unit Classification Officer;
 - d) Unit Correctional Officers;
 - e) Education Staff Member;
 - f) Psychologist; and
 - g) Behavioral Health Provider.
2. Supervision and EDA's.
3. Non-Unit Team Roles:
 - a) Shift Commander;
 - b) Classification Supervisor;
 - c) Inmate Employment Coordinator;
 - d) Education Director;
 - e) Behavioral Health Director;
 - f) Behavioral Health Coordinator;

- g) Inmate Disciplinary Staff; and
 - h) STIU Staff.
4. Unit Operations:
- a) Inmate Admissions and Orientation;
 - b) Housing Assignments; and
 - c) Inmate Disciplinary Process.
5. Management of a Unit:
- a) Hours of duty;
 - b) Leave Scheduling;
 - c) Classification Reviews;
 - d) Transfers; and
 - e) Program Evaluation and Reporting Requirements.
6. Unit Staff Orientation and Training:
7. Unit Plan Development.
8. Unit Programs and Schedules:
- a) Unit Staff Meetings;
 - b) Unit Classification Meetings;
 - c) Recreation Activities;
 - d) Education Programs;
 - e) Behavioral Health Programs;
 - f) Addiction Services; and
 - g) Unit Team Meetings.
9. Employee Development and Performance Evaluations.

PROCEDURES: [4-4126]**A. Unit Management Concept:****1. Unit Management Overview:**

Unit Management is a decentralized, multi-disciplinary approach to inmate and institutional administration designed to improve control and program/service delivery by dividing a large institution population into smaller, more manageable groups in order to improve the overall safety and efficiency of the institution. Typically under Unit Management, a general population unit numbers between 150-250 inmates. Special units number between 75-125 inmates.

Unit Management emphasizes decision-making at the unit level, the involvement of assigned staff in the decision-making process, timely implementation of decisions, and meaningful interaction between staff and inmates.

With the implementation of Unit Management as New Mexico's methodology of inmate management, the NMCD will improve safety and create a better correctional environment for staff and inmates while improving the delivery of services by being responsive to the concerns of staff and needs of inmates.

2. Essential Elements of Unit Management:

- a. *Leadership:* The Central Office, and housing unit, requires a commitment at each of these levels for the successful implementation of Unit Management. Responsible staff must be able to communicate a compelling vision to the staff in an effort to maximize their resources, and maximize the overall commitment to the Unit Management approach.
- b. *Unit Plan and Mission:* Each unit within the facility shall develop a written plan that clearly specifies:
 - 1) The unit's mission and objectives; and
 - 2) The plan for meeting those objectives.
- c. *Adequate Resources:* Time, manpower, budget, and material resources from the department. Personal commitment and individual resolve are resources required from the staff assigned to the units.
- d. *Competent Staff:* Trained and developed staff is critical resources essential to the success of unit management. Competency skills shall include an active commitment to the principles of Unit Management.
- e. *Quality Performance:* Competent staff must deliver quality performance to effect quality management. (Staff Employee evaluations shall be aligned with unit objectives).
- f. *Intra-Departmental Cooperation:* A cooperative effort between various institutional units is critical to the multi-disciplinary approach to inmate management.
- g. *Monitoring and Evaluation:* A systematic evaluation approach determines if goals of Unit Management are being met.
- h. *Analysis and Refinement:* Outcomes need to be evaluated and analyzed with an eye toward refinement of operations, activities, and programs to maximize overall effectiveness and efficiency.

3. Department Objectives of Unit Management:

- a. To divide large numbers of inmates into well-defined, manageable groups, whose members are encouraged to develop a common identity and association with each other and unit staff.
- b. To increase the frequency of contacts and the quality of interaction between staff and inmates by placing decision-making personnel in proximity to those inmates who are being controlled.
- c. To provide better observation of inmates, thereby enabling early detection of problems before they reach critical proportions.
- d. To improve inmate accountability and control by holding inmates accountable for their own decisions and self-control.
- e. To provide program and management strategies/intervention for each inmate, depending upon his or her needs, abilities, or objectives.
- f. To place special emphasis on:
 - Institutional adjustment;
 - Goals set for successful re-entry into NM communities;
 - Work skill acquisition and performance;
 - Interpersonal communications;
 - Positive self-esteem;
 - Self-motivation;
 - Education and training; and
 - Other life-skill acquisitions.

B. Administration:

It is important to understand how unit management fits within the organizational structure of NMCD. Unit Management is a critical function of the NMCD. Extensive coordination is necessary to assure that Unit Management principles are properly interpreted and implemented. The following responsibilities are designated to the Unit Management Coordinator:

1. Developing statewide Unit Management Operational Procedure and monitoring implementation.
2. Coordinating a Unit Manager training program for all newly appointed Unit Managers, including the development of special, discipline relevant training for Unit Managers and other unit staff.
3. Providing technical assistance to institutional staff.

4. Conducting scheduled visits to each institution to audit Unit Management operations to assure compliance with established NMCD policies.
5. Developing a reporting system for unit management and monitoring the unit management program success and analyzing results.

C. Institutional Level Unit Staff:

1. Roles and Responsibilities in the Facility:

- a. Unit Manager: The Unit Manager is the supervisor, coordinator, trainer, and monitor for a multi-disciplinary staff team assigned to work in his or her unit. There is ordinarily only one unit manager per unit. Unit Managers will ensure that quality programs and services are delivered to all the inmates in the unit. The unit manager will also perform additional administrative functions, such as serving as the duty officer. The following areas are some of the obligations of the Unit Manager:
 - 1) Security.
 - 2) Safety and sanitation of the unit.
 - 3) Unit Programs.
 - 4) Human resource development.
 - 5) Supervision.
 - 6) Quality control.
 - 7) Special Management reviews in accordance with policy, to assure valid placements.
 - 8) Inmate Management:
 - a) Conduct interviews with all inmates who are placed in the unit including those from the same facility. These interviews must be held in conjunction with the STIU Coordinator.
 - b) Conduct thorough file reviews on all inmates who are placed in the unit including those from the same facility.
 - c) Conduct interviews with all inmates who are placed in Restrictive Housing, Pre –Hearing Detention or Disciplinary Segregation. These interviews are to be conducted by the Unit Managers from both the sending and receiving units.
 - d) Responsible for handling all minor-level disciplinary reports.
 - e) Provide for incentive-based privileges for inmates.
 - 9) Staff Management:
 - a) Conduct weekly Unit Management Meetings;
 - b) Discuss issues with regard to new policies or directives and issues that arise as a result of Duty Officers report and Wardens’ meetings.
 - c) Discuss issues that arise from inmate contact by various staff members including behavior log information, if applicable.
 - d) Schedule working hours for staff that will accommodate facility needs.

- 10) Security Responsibilities:
 - a) Attend all security briefings to communicate any on-going issues.
 - b) Meet informally with security staff during shift changes, at Control Centers and during Unit inspections.

- b. Unit Security Supervisor (Lt. or Sgt.): The Security Supervisor functions under the Unit Manager's direct supervision. The paramount responsibility of the Security Supervisor is to ensure that all aspects of security within the unit meet requirements for the custody level of the inmates housed in the unit. The Security Supervisor will deal with the day-to-day operational aspects of the unit. He or she must be readily accessible to the inmates in the Unit. Other duties include:
 - 1) Ensuring the security mechanisms of the Unit work properly.
 - 2) Ensuring the practices of the security staff meet the security needs of the Unit (i.e.: cell searches, counts, caustic control, etc).
 - 3) Interviewing and orienting inmates newly admitted to the Unit.
 - 4) Develop a general knowledge of the inmates in the Unit.
 - 5) Participating in the Unit Management Team meetings.
 - 6) Reviewing training opportunities for the security staff.
 - 7) Ensuring compliance with property policies.
 - 8) Assisting other Unit personnel at the direction of the Unit Manager.
 - 9) Ensuring adequate supplies of hygiene and cleaning materials for the unit.

- c. Unit Classification Officer: Unit Classification Officers are responsible for all the case management matters for the inmates assigned in their unit. They must be readily accessible to assigned inmates in the unit. Other duties include, but are not limited to:
 - 1) Interacting daily with inmates.
 - 2) Custody reviews.
 - 3) Reviewing inmate progress.
 - 4) Attending Unit Management Team meetings.
 - 5) Processing inmate good time credits.
 - 6) Parole/Discharge preparation.
 - 7) Providing back up for other classification officers in their absence.

- d. Unit Correctional Officers: The unit officers have the primary responsibility for matters relating to the operation of his or her assigned housing unit, to include inmate accountability, sanitation, and inmate compliance with the rules and regulations. The officer's duties include but are not limited to:
 - 1) Performing counts.
 - 2) Performing searches.
 - 3) Inspecting cells.
 - 4) Supervising inmate porters in his or her pod.
 - 5) Preparing inmate incentive payroll.
 - 6) Making inmate good time recommendations.

- 7) Maintaining post logs and inmate behavior logs.
 - 8) Interacting with inmates.
 - 9) Maintaining presence in the unit.
- e. Education Staff: The education staff members assigned to the units is professional supervision of the Director of Education. However, the day-to-day decisions in the unit require that they may receive operational direction from the Unit Manager. The Unit Management role with regards to the education staff includes:
- 1) Contributing to the Unit Team decisions.
 - 2) Providing updates on the education progress of individual inmates.
 - 3) Making recommendations for intervention on difficult to manage inmates.
 - 4) Notifying the team when inmates complete required programs.
 - 5) Developing strategies for inmates whose education performance is below expectations.
 - 6) Coordinating with the registrar in the assignment of inmates to education programs.
 - 7) Verifying program assignments on the unit's inmate roster.
- f. Unit Psychologist: The psychologist receives professional supervision from the Behavioral Health Bureau Chief, and is responsible for the performance of diagnostic, therapeutic, and evaluative functions relating to psychological services. Because the behavior of inmates in the unit impacts the operation of the unit, he or she will receive operational direction from the Unit Manager. The Unit Management role with regards to the psychologist includes:
- 1) Making recommendations for brief intervention on difficult to manage inmates.
 - 2) Identifying those inmates who are on case management or treatment plan, to the Unit Management Team.
 - 3) Contributing to Unit Team decisions.
 - 4) Notifying the team when inmates complete required programs;
 - 5) Developing in coordination with the Unit Management Team strategies for inmates whose adjustment in the unit does not meet expectations.
 - 6) Verifying inmate program assignments on the unit's inmate roster.
 - 7) Providing intervention consistent with the standards of care;
 - 8) Monitoring inmates who act out (food strikes, etc.).
- g. Behavioral Health Provider: The addiction services provider will receive direct supervision from the addictions services coordinator, and coordinate substance abuse programs, such as Alcoholics Anonymous, Narcotics Anonymous, and Relapse Prevention Counseling Groups. Because of the impact of services on the operation of the unit, they will receive operational supervision from the Unit Manager. The Unit Management role with regards to the addiction services provider includes:
- 1) Developing in coordination with the Unit Management Team strategies for inmates whose addictions create management challenges in the unit.

- 2) Contributing to Unit Team decisions.
- 3) Notifying the team when inmates complete required programs.
- 4) Verifying inmate program assignments on the unit's inmate roster.
- 5) Providing intervention consistent with the standards of care.
- 6) Monitoring inmates who act out (food strikes, etc.).

2. Supervision and EDA's:

<u>POSITION:</u>	<u>SUPERVISED BY:</u>	<u>RATER:</u>	<u>REVIEWER:</u>
Unit Manager	Deputy Warden	Deputy Warden	Warden
Security Supervisor	Unit Manager	Unit Manager	Deputy Warden
Classification Officer	Unit Manager	Unit Manager	Classification Supervisor
Unit Corr. Officers	Security Supervisor	Security Supervisor	Unit Manager
Education Provider	Director of Education	Director of Education	Education Bureau Chief
Psychologist	Director of B.H.	Director of B.H.	B.H. Bureau Chief
Behavioral Health	B.H. Coordinator	B.H. Coordinator	B.H. Bureau Chief

3. Non-Unit Team Roles:

- a. *Shift Commander:* Serves as an advisor, consultant, and monitor for the Unit Managers in matters pertaining to unit security. The Unit Managers and Shift Commanders are expected to maintain a cooperative working relationship, especially since they have areas of responsibility that overlap. The Shift Commander is also responsible for the coordination and management of all other security areas (other than the housing units) on his shift, except during the off duty hours of Unit Management personnel when the Shift Commander is responsible for monitoring unit activity and making initial decisions to ensure that safety, security, and order is maintained.
- b. *Classification Supervisor:* Serves as an advisor, consultant, and auditor for Unit Managers in matters pertaining to inmate case management. Classification Supervisors will also perform the following:
 - 1) Monitoring data integrity on the CMIS.
 - 2) Coordinating special projects from Central Office.
 - 3) Assisting with the training of new Classification Officers.
 - 4) Providing training on new classification procedures as they are developed.
 - 5) Supervising records staff and manage records procedures.
 - 6) Tracking inmate referrals for transfer to other facilities.

- c. *Inmate Employment Coordinator*: The inmate employment coordinator will provide information to Unit Managers on job availability and payroll processing. They will coordinate with the Unit Managers on the timely delivery of payroll documentation and assignment changes. The decision regarding job assignments or changes is the responsibility of the Unit Team.
- d. *Education Director*: The Education Director will coordinate program delivery with the Unit Managers, and provide technical assistance on education issues in the unit. They will continue to provide professional supervision to education staff.
- e. *Behavioral Health Director*: The Behavioral Health Director will coordinate program delivery with the Unit Managers and provide technical assistance on Mental Health issues in the unit. They will continue to provide professional supervision to the Unit Psychologists.
- f. *Behavioral Health Coordinator*: The Behavioral Health Coordinator will coordinate program delivery with the Unit Managers and provide technical assistance on addiction services issues in the unit. They will continue to provide professional supervision to the addictions services provider.
- g. *Inmate Disciplinary Staff*: The Disciplinary Investigators and Hearing Officers will coordinate actions regarding disciplinary incidents with the Unit Manager. Inmate rule infractions will be reported to the Unit Manager, who will follow up on pending disciplinary actions. Disciplinary staff will also advise team members of changes in disciplinary policy and provide necessary training to unit staff.
- h. *Security Threat Intelligence Unit*: The STIU staff will serve as the point of contact for collection and dissemination of Security Threat information. Unit Managers will need to inform the STIU coordinator of pending shakedowns, and arrange for STIU staff to be in the unit to assist during unit shakedowns.

STIU staff also needs to participate in Unit Team meetings to facilitate the flow of intelligence and identify Security Threat leaders in the unit. The objective is to develop two-way communication between the officers in the unit and the STIU staff.

4. Unit Operations:

- a. *Inmate Admission and Orientation*: Upon arrival at the institution, inmates will be assigned to a permanent unit as soon as is possible. This will enable a Classification Officer to be assigned and prepare necessary reports, visiting lists, etc. Inmates will be oriented by a member of the Unit Management Team to the institution (including all centralized services) and the assigned unit. Each unit should develop an orientation program.
- b. *Housing Assignments*: Assignment to a particular housing unit is largely dependant upon an inmate's classification as determined by the Classification Scoring

Instrument. This will ensure that the level of security in the housing unit is adequate for the inmate's custody designation.

- c. *Inmate Disciplinary Process*: The processing of Category A offenses remains the domain of Disciplinary Staff. They establish a reporting process whereby Unit Managers are informed of reports generated and sanctions delivered. The Unit Management Teams shall process of Category B offenses. When minor reports are generated, the due process requirements delineated in the disciplinary policy need to be maintained, (investigation, notice of hearing, etc.).

5. Management of a Unit:

- a. *Hours of Duty*: Unit Managers are responsible for establishing working hours for the unit staff. Every unit will have evening and weekend staff coverage of their unit in addition to the assigned unit correctional officers. All unit staff will be scheduled for evening and weekend coverage to become familiar with the total unit operation. The presence of senior unit staff also contributes to better control of the inmates and consistency in the management of services. Staff should meet the needs of the unit, not the needs of staff.

It is the responsibility of the Unit Manager to establish a schedule to ensure coverage within the unit by members of the Unit Management Team of at least 12 hours, Monday through Friday, and eight hours on Saturday and Sunday. Unit Managers should be scheduled so that at least one is scheduled eight hours on Saturday, eight hours on Sunday, and Holidays on a rotational basis. Unit Managers are also expected to work some evenings, (a minimum of once per week).

- b. *Leave Schedule*: Authorizations for annual leave by members of the Unit Management Team will provide for uninterrupted services while ensuring that employees are granted annual leave. Correctional Officers shall be approved only by Roster Management. Unit Managers will schedule annual leave in advance for all other employees for whom they have supervisory responsibility.

The Deputy Warden will approve the Unit Manager's leave in advance. The Unit Manager will appoint an acting unit manager in his/her absence on a rotating basis, from the housing unit security supervisors to the Classification Officers.

- c. *Classification Reviews*: Reviews of inmate classification actions that require a committee action and the inmate's presence will be scheduled, (through the unit secretary) by the Classification Officer. The Unit Manager will chair those hearings and the committee panel should also include the security supervisor. This is the venue for custody reviews, program assignments, good time awards and forfeitures, and transfer reviews. The Unit Management Team should meet at least weekly to manage these specific issues.
- d. *Transfers*: Transfers between units (and the reasons for those transfers) will be mutually approved by the Unit Managers of the Units involved. In the case of after-

hours emergency moves made by shift supervisors, the Unit Managers need to review the move upon reporting for duty. As always, the Warden (or designee) has final approval for all unit moves.

Recommendations by the Unit Management Team for inmate transfers to other institutions will be routed to the classification department of the Office of Offender Management Services for review and final approval (or denial) through the established classification policy.

- e. *Program Evaluation and Unit Reporting Requirements:* The objective of Unit Management is to improve safety and create a better correctional environment for staff and inmates. In order to facilitate a meaningful assessment, information collection must be consistent and accurate. It cannot be a “hit and miss” proposition.

The Unit Manager needs to assure the input of relevant classification data into the CMIS, and coordinate the reporting of disciplinary information, Security Threat information, incident information, and random drug test results with centralized staff for input into CMIS.

Each Unit Manager needs to establish a process to assess the effectiveness of his/her team by review of relevant data. A summary of this review needs to be sent by each Unit Manager to his or her respective Warden with any recommendations for improvement. These reports are submitted for review to the Unit Management Coordinator.

An annual report needs to be prepared by each Unit Manager for review by the Unit Management Coordinator. This data will be reviewed and analyzed by the Adult Prisons Division for significant trends, problematic as well as those which are positive in nature, and will be carefully appraised for future refinements and/or implications.

6. Unit Staff Orientation and Training:

- a. Orientation of staff, upon initial assignment to any shift in the unit, is to be accomplished by the Unit Manager. Consultants, volunteers, student interns, and other individuals used by the unit for service to inmates or staff should also be oriented to the unit.
- b. It is the responsibility of the Unit Manager to develop, in writing, the unit staff orientation program for all staff members who are assigned to his or her unit. The orientation program shall include the following:
- 1) Initial Orientation:
 - Staff introductions;
 - Unit Tour;

- Position description, performance standards, and rating process;
- Annual leave procedures;
- Specific unit job expectations; and
- Staff roles within the unit.

2) Unit Orientation:

- Unit Plan;
- Unit rules and regulations;
- Unit officer logs, search/shakedown logs, post orders;
- Security procedures for files, computers, copiers, etc.;
- Team meeting schedule; and
- Unit program activities;
- Program statements and/or objectives;
- Safety and sanitation expectations;
- Fire safety/escape and other emergency procedure;
- Unit administrative remedy procedures;
- Unit security; and
- Unit communications protocols.

3) Unit Procedures:

- Intake procedures;
- Admission and orientation process;
- Classification overview;
- Parole progress reports; and
- Inmate transfers.

7. Unit Plan Development:

The New Mexico Corrections Department's policy statement on Unit Management is applicable to all designated institutions. Additionally, each institution will develop a statement that reflects the purpose and objectives of the institution. It is not necessary that the Unit Plan contain this same information.

Each institution will publish a general inmate manual that covers those areas applicable to the entire inmate population, (i.e. mail, commissary, classification, education, etc.). This manual will also contain a clause that the change of any issue, or programming that a unit may adopt, will be specifically addressed in each unit's plan. The unit plan must elaborate on those things that deviate from NMCD or institutional policies and procedures.

A Unit Plan should contain specific information that pertains to a particular unit that makes it unique. Information that is standard for the Department or the institution should not be addressed.

a. Unit Description:

- 1) A brief narrative of the unit's mission or purpose.
- 2) A unit's physical description;
 - a) Location;
 - b) Type of Unit (Classification level, Mental Health, Geriatric, etc.);
 - c) Selection criteria;
 - d) Staffing pattern;
 - e) Program emphasis; and
 - f) Bed capacity.

b. Unit Objectives:

Objectives should be specific to the unit and relate to the mission, purpose, or type of unit. For instance, if a unit's mission is specific to substance abuse, then the unit's objectives should include eliminating the inmate's dependence on controlled substances.

c. Programs and Services:

- 1) Admission and Orientation (Inmate Unit Manual);
- 2) Behavioral Health programs (individual and group);
- 3) Classification (process and meetings);
- 4) Recreation;
- 5) Phone calls;
- 6) Substance abuse programs;
- 7) Education Resource Center services;
- 8) Inmate self-help organizations;
- 9) Education information;
- 10) Religious programs;
- 11) Visiting;
- 12) Special events;
- 13) Mail and packages;
- 14) Inmate Property;
- 15) Commissary;
- 16) Laundry;
- 17) Barber shop;
- 18) Medical/Dental services; and
- 19) Grievance procedure.

d. Operations and Schedules:

- 1) Fire drill and evacuation plans;
- 2) Sanitation;

- 3) Showers;
- 4) Recreation schedule;
- 5) Meal schedule;
- 6) Count schedule;
- 7) Staff roles and availability.

e. Staffing:

- 1) Positions and roles;
 - a) Unit Manager;
 - b) Classification Officer;
 - c) Security Supervisor;
 - d) Correctional Officers;
 - e) Other assigned staff.
- 2) Current work schedule.
- 3) Table of Organization and lines of Authority;
 - a) Chain of command;
 - b) Performance evaluations responsibilities;
 - c) Leave approval.
- 4) Staff Training;
 - a) Unit orientation;
 - b) Staff meeting and in-service training;
 - c) Recording, reporting, and documentation.
- 5) Intra-departmental coordination;
 - a) Administration;
 - b) Business office;
 - c) Education;
 - d) Physical Plant Services;
 - e) Medical;
 - f) Mental Health;
 - g) Addiction Services;
 - h) Recreation;
 - i) Religion;
 - j) Shift security;
 - k) Volunteers;
 - l) Food Service;
 - m) Laundry.

f. Emergency Plans:

- 1) Mass evacuation and fire drill plans;
- 2) Escape;
- 3) Suicide prevention;
- 4) Mass disturbance;
- 5) Hostage;
- 6) Natural Disaster;
- 7) Bomb threat; and
- 8) Adverse job actions.

g. Data Collection and Records:

1) Unit files

- a) Progress reports;
- b) Incident reports.

2) Unit reports

- a) Count slips;
- b) Sanitation inspections;
- c) Maintenance requests and preventive maintenance inspections.

- (1) Work schedules;
- (2) Logs;
- (3) Audit requirements.

d) Unit files management

- (1) Access;
- (2) Security;
- (3) Accountability.

8. Unit Programs and Schedules:

- a. *Unit Staff meetings:* Unit staff meetings are scheduled weekly, include all Management Team staff, and are chaired by the Deputy Warden. Items from the Warden's meetings are discussed and plans for the implementation of new initiatives are introduced. New program statements, institutional procedure changes, and operational memorandums issued during the week are reviewed. Each member of the Unit Management Team has time to provide input into the meeting. Minutes are kept and disseminated.
- b. *Deputy Warden's briefing:* The Deputy Warden and Unit Managers should also meet briefly every morning to review any incidents that happened within the past 24 hours.

Critical incidents that require a response or investigation can be delegated to the Unit Managers, with a date for completion

- c. *Unit Team Meetings*: The Unit Team meeting is the essential element of the unit operation in making decisions that are consistent with sound correctional practices, and are conducive to continuity and team cohesion. It is a multi-disciplinary approach to unit management to ensure professional input from all aspects of the unit that affect an inmate's confinement. Operational decisions specific to the unit are made at these meetings. They may also meet on an unscheduled basis to resolve any specific inmate management issues.
 - d. *Unit Classification meetings*: Meetings are held weekly and scheduled to accommodate inmate participation as required by policy. Unit correctional officers and multi-disciplinary team members should be included as Unit team members for input and training.
 - e. *Recreation activities*: Unit staff in conjunction with institutional recreation staff will plan and implement unit recreation activities based on the time of year, weather conditions, and resource availability.
 - f. *Education programs*: Unit staff will coordinate with the Director of Education, and teachers allocated to the unit, to implement education schedules that meet Unit Plan objectives
 - g. *Behavioral Health programs*: Unit staff will implement a schedule that allows inmates to have access to the psychologist assigned to the unit. Unit staff will also schedule group programs, dependent on custody level and unit plan objectives, for inmates assigned to the unit.
 - h. *Addictions Services*: Unit staff will coordinate with the addiction services coordinator to ensure that inmates, dependent on custody level and unit plan objectives, have access to addictions services resources.
9. Employee Developments and Performance Evaluation:

Unit Managers should constantly assess strengths and weaknesses of their staff. While evaluation and formal training are governed by SPO rules and NMCD policy, the use of staff meetings, audit close outs, unit in-service training, and opportunity for acting capacities, and recognition for superior work are excellent methods of fostering personal development. Whenever possible, cross training of unit staff is encouraged.

Specific training requirements for all institutional staff have been designated by the NMCD based on ACA standards. Coordination with the institutional training staff should be maintained to assure that all unit staff has met their annual qualification. Optional training should be scheduled as individual needs dictate. Training is an ongoing effort, and unit staff needs are to be reviewed for necessary training and development.

The Employee Evaluations is mandated for all employees in the New Mexico Corrections Department. This process allows supervisors and employees to come together to discuss goals, objectives, and expected performance throughout the year. It will assist the Unit Manager by improving communication with staff and allow for planning future goals and programming for that unit. The table of supervision on page 9 establishes responsibility for completion and review of performance of housing unit staff.



Gregg Marcantel, Secretary of Corrections
New Mexico Corrections Department

06/09/16
Date

**New Mexico Corrections Department
Unit Management Auditing Standards**

The following instrument is to be used to evaluate the activities of unit management services and/or the performance of individual staff. The standards in this instrument are aligned with the New Mexico Corrections Department's Unit Management Operations Procedure.

When evaluating the performance of the Unit Management Team or the performance of individual staff members, the auditor should consult the sources of information that have been identified after each standard. Other appropriate sources should be considered if necessary to properly score a particular standard.

EXTENT OF COMPLIANCE

The degree to which a Unit Management Team and/or a particular member comply with each standard is measured in the following manner:

FULL COMPLIANCE:	The specified activity is performed actually or essentially at all times.
SUBSTANTIAL COMPLIANCE:	The specified activity is performed the majority of the time, but not to an extent greater than that which could be considered full compliance
PARTIAL COMPLIANCE:	The specified activity is performed a minority of the time, but to an extent greater than that which could be considered non-compliance.
NON-COMPLIANCE:	The specified activity is not performed. This does not relate to situations where the standard is not applicable to the team or staff member that is being audited

New Mexico Corrections Department
Size and Staffing Patterns

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.01.01 General population units are of between 150-250 inmates, and no less than 125 inmates.				
.01.02 Units are physically organized to enhance the delivery of services and make optimal use of the space they occupy.				
.01.03 Each unit has an assigned Unit Manager.				
.01.04 Each unit has a minimum of two Classification Officers.				
.01.05 Each unit has one Security Supervisor.				
.01.06 Unit staff, including the Unit Managers, Classification Officers, and Security Supervisors shares the responsibility for evening and weekend coverage of the unit.				
.01.07 Unit Managers schedule the coverage of their units by Classification Officers and Security Supervisors at least twelve hours Monday through Friday. <ul style="list-style-type: none"> • Examine the Unit's work schedule. 				
.01.08 Unit Managers schedule the coverage of their units by Classification Officers and Security Supervisors at least eight hours on Saturdays, Sundays, and Holidays. (Include Unit Manager.) <ul style="list-style-type: none"> • Examine the Unit's work schedule. 				

New Mexico Corrections Department
Size and Staffing Patterns

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
<p>.01.09</p> <p>Shift Commanders ensure that all posts, including relief factors are filled in the units.</p> <ul style="list-style-type: none"> Examine the Unit's work schedule. Interview Shift Commander. 				
<p>.01.10</p> <p>Each unit has a line of authority that has been reviewed and approved by the Warden and Deputy Warden.</p> <ul style="list-style-type: none"> Examine the Unit Plan 				
<p>.01.11</p> <p>The Unit Manager and Chief of Security are supervised by the same supervisor.</p> <ul style="list-style-type: none"> Interview Deputy Warden 				
<p>.01.12</p> <p>The Unit Manager is a department head and coordinates all staffing and operations in the unit.</p> <ul style="list-style-type: none"> Interview Unit Manager. Interview Deputy Warden. 				
<p>.01.13</p> <p>The Unit Manager is responsible for security policies, programming, safety and sanitation, and supervision of inmates in the unit.</p> <ul style="list-style-type: none"> Interview Unit Manager. 				
<p>.01.14</p> <p>The Unit Manager is responsible for directing, scheduling, training, and evaluation of unit staff.</p> <ul style="list-style-type: none"> Interview Unit Manager. 				
<p>.01.15</p> <p>The Unit Manager regularly schedules unit team meetings.</p> <ul style="list-style-type: none"> Interview Unit Manager. 				

New Mexico Corrections Department
Size and Staffing Patterns

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
<p>.01.16</p> <p>The unit Classification Officer facilitates the assignment of inmates to programs in the unit.</p> <ul style="list-style-type: none"> • Interview Unit Manager. 				
<p>.01.17</p> <p>The unit Classification Officer completes classification, re-classification instruments as required.</p>				
<p>.01.18</p> <p>The unit Classification Officer processes requests for visiting applications, completes documentation for special visits, and forwards them to the Unit Manager for approval.</p>				
<p>.01.19</p> <p>The unit Classification Officer attends Unit Management Team meetings and provides relevant information that is pertinent to the issues reviewed.</p>				
<p>.01.20</p> <p>The unit Classification Officer assists the Unit Manager with administrative functions.</p>				
<p>.01.21</p> <p>The unit Classification Officer assists inmates on the caseloads of other Case Managers when their Classification Officers are on leave.</p>				
<p>.01.22</p> <p>The unit Classification Officer serves, in rotation, as the acting Unit Manager in the absence of the Unit Manager.</p> <ul style="list-style-type: none"> • Review memos making the acting assignment. 				
<p>.01.23</p> <p>The unit Classification Officer makes regularly scheduled rounds in the unit.</p> <ul style="list-style-type: none"> • Review sign-in logs. 				

New Mexico Corrections Department
Size and Staffing Patterns

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.01.24 The unit Security Supervisor makes regularly scheduled rounds in the unit. <ul style="list-style-type: none"> Review the sign-in logs. 				
.01.25 The unit Security Supervisor serves on Unit Team classification reviews.				
.01.26 The unit Security Supervisor regularly inspects the unit and recommends to the Unit Manager methods for maintaining a safe and clean living environment.				
.01.27 The unit Security Supervisor directs the work of the unit correctional officers.				
.01.28 The unit Security Supervisor serves as acting Unit Manager in the absence of the Unit Manager on a rotating basis.				
.01.29 The unit Security Supervisor assists the unit Correctional Officer with custody duties as needed.				
.01.30 The unit Security Supervisor regularly visits the work areas of inmates assigned to the unit to resolve concerns and provide coordination with work supervisors.				
.01.31 The unit Security Supervisor is responsible for performance evaluations of Correctional Officers assigned to the unit.				

New Mexico Corrections Department
Unit Plans

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.02.01 The unit Security Supervisor makes regularly scheduled rounds in the unit. <ul style="list-style-type: none"> • Review the sign-in logs. 				
.02.02 The unit Security Supervisor serves on Unit Team classification reviews.				
.02.03 The unit Security Supervisor regularly inspects the unit and recommends to the Unit Manager methods for maintaining a safe and clean living environment.				
.02.04 The unit Security Supervisor directs the work of the unit correctional officers.				
.02.05 The Unit Plan outlines the criteria for placement of inmates in the unit.				
.02.06 The Unit Plan describes the staffing pattern for the unit.				
.02.07 The Unit Plan identifies the bed capacity for the unit.				
.02.08 The Unit Plan describes the inmate programs in the unit.				
.02.09 The Unit objectives are specific and clearly related to the mission of the unit.				

New Mexico Corrections Department
Unit Plans

	Full Compliance	Substantial Compliance	Partial Compliance	Non-Compliance
.02.10 The Unit Plan explains the admission and orientation process for inmates received in the unit.				
.02.11 The Unit Plan identifies the meeting schedule of the Unit Management Team.				
.02.12 The Unit Plan has a recreation schedule.				
.02.13 The Unit Plan has a process allowing inmates to have access to phone calls.				
.02.14 The Unit Plan provides for Addictions Services programs.				
.02.15 The Unit Plan details inmate access to the Education Resource Centers.				
.02.16 The Unit Plan details the provisions for inmate self-help groups.				
.02.17 The Unit Plan details the provisions for inmate religious groups.				
.02.18 The Unit Plan details the provision for inmate access to Mental Health staff and programs.				
.02.19 The Unit Plan details the provision for inmate access to the Unit Classification Officer.				
.02.20 The Unit Plan shows the visiting schedule and explains the visiting process.				

New Mexico Corrections Department
Unit Plans

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.02.21 The Unit Plans outlines the criteria for special events.				
.02.22 The Unit Plan explains features that are unique to the unit.				
.02.23 The Unit Plan explains the disciplinary process.				
.02.24 The Unit Plan has a schedule for sanitation inspections.				
.02.25 The Unit Plan has a schedule for inmate leisure time.				
.02.26 The Unit Plan schedules shower inspections.				
.02.27 The Unit Plan schedules a daily wake up call for inmates.				
.02.28 The Unit Plan shows scheduled count times.				
.02.29 The Unit Plan explains staff roles in the unit.				
.02.30 The Unit Plan has a fire evacuation plan and schedule of fire drills.				
.02.31 The Unit Plan describes the responsibility of staff in the event of an escape.				

New Mexico Corrections Department
Unit Plans

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.02.32 The Unit Plans describes the responsibility of staff in the event of a fight.				
.02.33 The Unit Plan describes the responsibility of staff in the event of a homicide.				
.02.34 The Unit Plan describes the responsibility of staff in the event of a suicide attempt.				
.02.35 The Unit Plan describes the responsibility of staff in the event of a disturbance.				
.02.36 The Unit Plan describes the responsibility of staff in the event of a hostage situation.				
.02.37 The Unit Plan describes the responsibility of staff in the event of a natural disaster, (power outages, heat loss, etc.)				
.02.38 The Unit Plan requires written documentation for counts.				
.02.39 The Unit Plan requires scheduled written reports for sanitation inspections.				
.02.40 The Unit Plan has a written work schedule for staff.				
.02.41 The Unit Plan requires written post logs and has a schedule for storing them.				
.02.42 The Unit Plan explains when incident reports are required.				

New Mexico Corrections Department
Unit Plans

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.02.43 The Unit Plans shows who has access to unit files.				
.02.44 The Unit Plan shows security procedures for accessing unit files.				
.02.45 The Unit Plan an accountability procedure for unit files.				
.02.46 The Unit Plan restricts inmate access to unit files.				
.02.47 The Unit Plan assigns responsibility for files.				
.02.48 The Unit Plan is reviewed and approved by the Deputy Warden and the Warden no less than once annually and as needed.				
.02.49 Unit Managers are responsible for developing, modifying, and submitting Unit Plans for administrative review.				

New Mexico Corrections Department
Inmate Disciplinary Process

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.03.01 The Unit Management Team processes Category B misconduct reports.				
.03.02 The Unit Manager designates staff in the unit to process Category B misconduct reports, (Review Officers and Hearing Officers).				
.03.03 The staff member designated as the Hearing Officer hears each Category B misconduct report written for inmates in the unit.				
.03.04 Category A misconduct reports are processed by the institutional disciplinary staff.				
.03.05 All dispositions on misconduct reports are reviewed by the Unit Manager or his Designee.				
.03.06 Due process requirements outlined in CD policy are followed on all misconduct reports processed by unit staff.				
.03.07 The Unit Plan specifies how misconduct report dispositions are reported to unit staff for implementation.				

New Mexico Corrections Department
Unit Stability

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.04.01 Once an inmate is assigned to the unit, he/she is moved only upon administrative reasons.				
.04.02 Inmate movement between units requires mutual agreement by the respective Unit Managers.				
.04.03 Inmate placement in disciplinary segregation is tracked for beginning and end dates.				
.04.04 Unit Management Staff continue to provide services to inmates in disciplinary segregation subject to NMCD disciplinary policy.				
.04.05 The Inmate Employment Coordinator has input into inmate job assignments.				
.04.06 The committee that assigns inmate jobs consists of the Unit Manager, Case Manager, and Security Supervisor.				
04.07 The final authority on inmate job assignments rests with the Unit Management Team.				
.04.08 Teachers, psychologists, and addictions services staff are included in the program assignment decisions for education, mental health, and addictions services program assignments respectively.				
.04.09 The Master Control Center Staff make initial housing assignments upon inmate arrival at the institution.				

New Mexico Corrections Department
Unit Stability

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.04.10 Each unit provides orientation for inmates assigned to their units.				
.04.11 The orientation contains a component on the unit rules.				
.04.12 The orientation contains a component on laundry.				
.04.13 The orientation contains a component on medical services.				
.04.14 The orientation contains a component on canteen/property.				
.04.15 The orientation contains a component on mental health services.				
04.16 The orientation contains a component on addiction services.				
.04.17 The orientation contains a component on inmate job assignments.				
.04.18 The orientation contains a component on education programs.				
.04.19 The orientation contains a component on access to Education Resource Services.				

New Mexico Corrections Department
Unit Stability

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.04.20 The orientation contains a component on recreation programs.				
.04.21 The orientation contains a component on inmate self-help groups.				
.04.22 The orientation includes an inmate handbook.				

New Mexico Corrections Department
Evaluation

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.05.01 Inmate grievances are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management.				
.05.02 Classification appeals are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.03 Disciplinary reports are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.04 Use of force reports are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.05 Incidents of assaults are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.06 Reports on the confiscation of weapons during shakedowns are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
05.07 Escapes and escape attempts are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.08 Sanitation reports of the units are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				

New Mexico Corrections Department
Evaluation

	Full Compliance	Substantial Compliance	Partial Compliance	Non-Compliance
.05.09 Disciplinary actions on staff are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management.				
.05.10 Quality control reports are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.11 Unit Team meeting minutes are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.12 Employee grievances are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.13 Key control audits are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.14 Staff training records are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
05.15 Employee absenteeism is reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.16 Unit Plans are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				

New Mexico Corrections Department
Evaluation

	Full Compliance	Substantial Compliance	Partial Compliance	Non- Compliance
.05.17 Overtime reports are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management.				
.05.18 Institutional programs are reviewed at least annually by the Deputy Warden and the Warden to determine the relative effectiveness of unit management practices.				
.05.19 Each unit submits monthly reports to the Deputy Warden and the Warden for review by the Unit Management Coordinator.				