

Idaho Department of Correction 	<b>Standard          Operating          Procedure</b>  <b>Division of          Prisons</b>  <b>Institutional          Programs          and          Activities</b>	<b>Control Number:</b> 611.02.01.001	<b>Version:</b> 2.7	<b>Page Number:</b> 1 of 8
		<b>Title:</b> Vocational Work Projects: Financial and Administrative Procedures for		<b>Adopted:</b> 12-5-2001  <b>Reviewed:</b> 10-19-2010

This document was approved by Pam Sonnen, chief of the Division of Prisons, on  
10/19/10 (signature on file).

## BOARD OF CORRECTION IDAPA RULE NUMBER 611

Business with Inmates and Labor of Inmates

## POLICY STATEMENT NUMBER 611

Work Projects

## POLICY DOCUMENT NUMBER 611

Work Projects

## DEFINITIONS

**Agency:** Any federal, state, or local government agency, or public or private nonprofit public service organization with which the Department has a Human Resource Agreement (HRA).

**Human Resource Agreement (HRA):** An agreement negotiated between the Idaho Department of Correction (IDOC) and an agency for the use of offender work crews. HRAs are ongoing agreements outlining the broad responsibilities of each party that must be signed by the director of the IDOC and the agency's contracting authority.

**Vocational Work Project:** A public vocational work project performed by offender work crews for outside agencies in conjunction with a Human Resource Agreement (HRA).

**Vocational Work Project Lieutenant:** A Department employee assigned as a correctional supervisor, responsible for managing the facility vocational work project section.

**Vocational Work Project Manager:** A Department employee, as assigned by the chief of the Division of Prisons, responsible for overseeing statewide work projects and prison industry enterprise (PIE) programs, to include fiscal accountability, budget development, and facility adherence to requirements set forth within Idaho Department of Correction (IDOC) work projects policies and standard operating procedures (SOPs).

**Work and Financial Plan:** A written agreement between an Idaho Department of Correction (IDOC) facility and an agency for the completion of a specific work project. These agreements must be signed by the work project manager, contract manager, facility head, and an agency representative.

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**PURPOSE**

The purpose of this standard operating procedure (SOP) is to establish standardized procedures within the Division of Prisons for contracting work projects, developing annual budgets, and purchasing.

**SCOPE**

This SOP applies to all IDOC facilities that operate vocational work projects to include offenders, facility staff, and division administrative staff.

**RESPONSIBILITY**

Facility heads are responsible for implementing and ensuring that staff members follow the procedures and practices provided herein.

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**GENERAL REQUIREMENTS**

**1. Introduction**

Vocational work projects are intended to provide a broad range of constructive work opportunities for offenders **and** contribute to the public good. Vocational work projects are not intended to compete with the private sector.

It is the intent of the Department that vocational work projects usually charge for services to offset the cost to the taxpayers.

**2. Budget Development**

Vocational work projects budgets are developed using standard Department fiscal policies, SOPs, and practices. Vocational work projects budgets may include monies from the general fund, grants, and revenues. The State Legislature must grant spending authority before revenue money can be included in a State budget. However, when spending

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authority is granted, the revenue must be received and credited to the facility account before it can be spent.

All exceptions to allocating, encumbering, or spending revenue funds that exceed a facility's cash balance must have prior approval of the vocational work project manager and the Department fiscal unit.

Facility heads will:

- Jointly develop annual vocational work projects budgets with the vocational work project manager;
- Manage expenditures within allocations; and
- Adhere to the standards, guidelines, and practices set forth herein.

The vocational work project manager will:

- Jointly develop annual vocational work projects budgets with each facility;
- Approve spending plans;
- Set spending authority limits;
- Monitor revenue receipts;
- Manage expenditures within allocations;
- Approve all purchases, encumbrances, and expenditures from revenue and vocational work project accounts;
- Communicate problems and concerns regarding budgets to facility heads; and
- Report problems and concerns to upper management.

### 3. Cost Analysis

Operational costs must be established in order to complete a cost/revenue analysis. The vocational work project manager will establish annual costs in the following areas:

- Equipment,
- Fuel and oil,
- Staff clothing,
- Personnel (both offender and staff costs),
- Offender clothing,
- Offender meals,
- Incidental costs, and
- Vehicle use and mileage.

The vocational work project manager will transmit the annualized costs to facility heads **and** vocational work project lieutenant in an electronic **or** written format within the first (1<sup>st</sup>) quarter of each year.

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#### 4. Purchasing

All purchasing will follow directive [147.06.06.004](#), *Purchasing and Contracting*.

The vocational work project lieutenant will:

- Ensure that all vocational work projects follow fiscal policy,
- Acquire the facility head's approval for Purchase Orders, and
- Transmit a copy of the Purchase Order to the vocational work project manager for review.

The work project manager will:

- Review all vocational work projects purchases to ensure they meet State and Department fiscal guidelines;
- Review the facility budget to ensure that the cash balance is sufficient to cover the purchase, encumbrance, or expenditure;
- Approve or deny the Purchase Order; and
- Transmit the Purchase Order back to the facility for processing.

#### 5. Human Resource Agreement

**Note:** Appendix A, [Human Resource Agreement](#) (HRA), must be completed and approved before a vocational work project can begin. After five (5) years, a new HRA must be completed between the Department and the contracting agency.

**Note:** As identified hereinafter, a contract manager shall be recognized as a Division of Management Services employee, assigned by the chief of the Division of Management Services—in consultation with the chief of the Division of Prisons, who is responsible for drafting and executing all contractual documents, maintaining the official contract records, and auditing facility compliance with the application of this SOP.

When establishing an HRA, the following process steps shall be followed.

Functional Roles and Responsibilities	Step	Tasks
Contract Manager	1	<ul style="list-style-type: none"> <li>• Ensure that the contracting agency meets the requirements of a non-profit organization <b>or</b> governmental agency.</li> <li>• Acquire 501(c)(3) tax-exempt documentation for all non-profit organizations.</li> <li>• Forward two (2) HRAs to the contracting agency's authorized representative for signature approval.</li> </ul>
		<p><b>Note:</b> Any modifications made to an existing HRA must be reviewed by the deputy attorneys general (DAGs) who represent the Idaho Department of Correction (IDOC) prior to any reviews and/or signatures being obtained.</p> <p><b>Note:</b> The authorized representative will need to sign both HRAs and return them to the contract manager.</p>

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Functional Roles and Responsibilities	Step	Tasks
<b>Contract Manager</b>	<b>2</b>	After obtaining the authorized representative's signature approval, forward the HRAs to the director of the Idaho Department of Correction (IDOC).
<b>Director of the IDOC</b>	<b>3</b>	<ul style="list-style-type: none"> <li>• Review the HRAs and approve or deny. <ul style="list-style-type: none"> <li>◆ <b>Approve</b> – sign the HRAs.</li> <li>◆ <b>Deny</b> – do not sign the HRAs.</li> </ul> </li> <li>• Return the HRAs to the contract manager.</li> </ul>
<b>Contract Manger</b>	<b>4</b>	<p>If the Director:</p> <ul style="list-style-type: none"> <li>• <b>Approved</b> the HRAs – make one (1) copy of the signed HRA and forward it to the vocational work project lieutenant; send one (1) of the original signed HRAs to the contracting agency; and maintain one (1) original signed HRA in the official contract file (located at central office).</li> <li>• <b>Denied</b> the HRAs – make two (2) copies of the HRA and forward one (1) copy to the facility head and one (1) copy to the vocational work project manager; and return the original signed HRAs to the contracting agency citing the reason(s) they were not approved. (<b>Note:</b> The process ends here until the issues are resolved. The facility head and vocational work project manager may work with the contracting agency to resolve the issues and resubmit to the contract manager for consideration.)</li> </ul>

## 6. Work Project Development

After an HRA is established, the vocational work project lieutenant will develop vocational work projects with approved agencies. The vocational work project manager, with assistance from facility heads, will evaluate vocational work projects based on the following considerations:

- Project suitability to include, without limitations, security risks, safety of offenders and staff, benefit to the public, public perception, and required expertise; and
- Cost/benefit to include, without limitations, public service, public relations, potential cost savings to taxpayers, potential for teaching vocational or other habilitation skills to the offenders, project sustainability, and potential financial and liability risks to the Department.

**Note:** The facility head and vocational work project manager will jointly approve projects before contracting.

### ***Documentation: Work Project Development***

#### **Work and Financial Plan**

Appendix B, *Work and Financial Plan*, describes vocational work projects and includes:

- The exact specifications of the vocational work project;

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- The number of offenders assigned;
- The number of vocational work project staff required;
- The expected time frame for completion;
- The staff and offender training to be completed;
- The types of materials, tools, and equipment required **and** who will provide them; and
- The compensation rates for offender workers, staff, vehicles, tools, and equipment provided by the Department.

### Cost and Revenue Analysis

To determine if the project is cost effective, a financial analysis must be performed using appendix C, *Cost and Revenue Analysis*.

### Risk Assessment

The vocational work project manager (or designee) must complete appendix D, *Risk Assessment*, to identify anticipated risks and special considerations that may need to be addressed. The projects lieutenant will review all risk assessments before submitting the project packet for approval.

### Process Steps: Work Project Development

When developing an initial vocational work project, the following process steps shall be followed:

Functional Roles and Responsibilities	Step	Tasks
Vocational Work Projects Lieutenant	1	Complete and submit the following documents to the facility head and vocational work project manager for approval: <ul style="list-style-type: none"> <li>• Appendix B, <a href="#">Work and Financial Plan</a>,</li> <li>• Appendix C, <i>Cost and Revenue Analysis</i>, and</li> <li>• Appendix D, <i>Risk Assessment</i>,</li> </ul>
Facility Head and Vocational Work Project Manager	2	<ul style="list-style-type: none"> <li>• Review all documents and approve or deny.               <ul style="list-style-type: none"> <li>◆ <b>Approve</b> – sign the documents and forward to the contract manager.</li> <li>◆ <b>Deny</b> – do not sign the documents. The facility head will consult with the vocational work project manager for any recommendations that might make the project acceptable for approval. (<b>Note:</b> The process ends here until the project is deemed acceptable for approval. The vocational work project lieutenant may work with the contracting agency to modify the project and resubmit to the facility head for consideration.)</li> </ul> </li> </ul>

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Functional Roles and Responsibilities	Step	Tasks
<b>Contract Manager</b>	<b>3</b>	<ul style="list-style-type: none"> <li>• Ensure that a <i>Human Resource Agreement</i> (HRA) exists before the <i>Work and Financial Plan</i> is executed.</li> <li>• Complete the contracting process with the contracting agency.</li> <li>• Notify the facility head when the contract has been completed.</li> <li>• File and maintain original documents.</li> </ul>

## 7. Equipment and Tools

The facility head will designate a secure area as a tool cache. All tools will be marked, inventoried, issued, and returned in accordance with SOP [509.02.01.001.01](#), *Tool Control*.

The vocational work project lieutenant will maintain an inventory of all equipment and tools assigned to the vocational work project section.

Each day, vocational work project staff will complete an inventory sheet for equipment and tools removed from the facility. Vocational work project staff will ensure the tools are accounted for and secured at the end of the day.

**Note:** Running inventories can be maintained on equipment that is assigned for extended periods. Broken tools and equipment will be noted on the inventory and the broken tool/item will be turned into the vocational project manager. Vocational work project staff members will report lost or missing tools immediately upon their return to the facility.

The vocational work project lieutenant will ensure that a physical inventory of all equipment and tools is conducted **and** reconciled each month.

**Note:** New tools will be added to the inventory before they are put into use. Broken and lost tools will be removed from the inventory.

If the inventory cannot be reconciled, the vocational work project lieutenant will contact the facility head. The facility head will document the loss, make adjustments to the fixed asset inventory (if necessary), and if the value of the loss exceeds five hundred dollars (\$500), transmit a *105 Incident Notification Report* to the Operations Incident Report Group (see SOP [105.02.01.001](#), *Reporting and Investigation of Major Incidents*).

The vocational work project lieutenant will request repair or replacement of broken tools as necessary.

All vehicles are required to meet current U.S. Department of Transportation (DOT) standards for transporting personnel and materials.

## REFERENCES

Appendix A, [Human Resource Agreement](#)

Appendix B, [Work and Financial Plan](#)

Appendix C, *Cost and Revenue Analysis*

Appendix D, *Risk Assessment*

Directive [147.06.06.004](#), *Purchasing and Contracting*

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Standard Operating Procedure [105.02.01.001](#), *Reporting and Investigation of Major Incidents*

Standard Operating Procedure [509.02.01.001.01](#), *Tool Control*

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