## I. PURPOSE:

To provide a clear understanding of the conduct required of all staff of the Rhode Island Department of Corrections (RIDOC).
II. **POLICY:**

A. All employees must uphold and abide by Federal, state and local laws and ordinances. All employees must also follow RIGL § 36-14-5, the Code of Ethics for Rhode Island State Employees, and all RIDOC policies, procedures, rules, objectives, and orders.

B. The Director’s authority to promulgate and enforce a Code of Ethics and Conduct derives from his/her powers under RIGL § 42-56-10.

C. Consistent with the Departmental Mission, staff shall not knowingly engage in actions, conduct or associations, either on or off duty, which compromise the authority of any staff member, or which give the appearance of improper influence on the staff member's judgment when making decisions affecting the Department, offenders or staff, or which may bring discredit on the Department or undermine its goals and objectives in any way.

D. All employees are to act at all times in conformity with RIGL § 36-14-1 which states, "It is the policy of the State of Rhode Island that public officials and employees must adhere to the highest standards of ethical conduct, respect the public trust and the rights of all persons, be open, accountable, responsive, avoid the appearance of impropriety, and not use their position for private gain or advantage."

E. Employees who violate this policy are subject to disciplinary action, up to and including termination.

F. This policy also applies to temporary workers, contractors/vendors, volunteers, students and/or interns of the RIDOC. Any of these individuals who violate this policy risk contract termination or termination of their assignment/placement with the RIDOC, as applicable.

III. **DEFINITIONS:**

1. **Family Member** – for the purposes of this policy, the term “family member” means a spouse, a common law or domestic partner, and any dependent children of any public official or public employee as well as a person who is related to any public official or public employee, whether by blood, adoption or marriage, as any of the following: father, mother, son, daughter, brother, sister, grandfather, grandmother, grandson, granddaughter, father-in-law, mother-in-law, brother-in-law, sister-in-law, son-in-law, daughter-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half-brother or half-sister.
2. **Offender** - The respective units of the Department supervise various categories of persons -- pre-trial detainees, sentenced inmates (including incarcerated persons and home confinees), probationers, and parolees. For these reasons, this Code will use the term "offender" to refer to each individual or category within the Department's jurisdictional population.

3. **Employee** - includes all full- and part-time, sworn and civilian, union and non-union, line, supervisory, and managerial personnel. Employees in every unit of the Department are subject to this Code.

**NOTE:** For purposes of this policy, the term “staff” includes all RIDOC employees, as well as those individuals mentioned in Section II.F.

### IV. PROCEDURES:

#### A. Rules and Regulations

1. **Appointment**

   a. Statements or representations made in interviews, during employment or on examination forms found to be false or intentionally misleading may subject the staff member to dismissal from the service of the Department and such cases could be referred to the RI State Police for possible criminal prosecution.

   b. All staff shall have an identification photograph taken and retaken as necessary to maintain Departmental records (please see the most recent version of RIDOC policy 9.23 DOC, [Access to ACI Facilities](#), for further information).

2. **Change of Vital Personal Data**

   a. Staff is responsible for notifying the RIDOC Personnel Office in writing within five (5) calendar days of:

   (1) any change in address and/or telephone number;
   (2) change in marital or family status; and/or
   (3) other information which may affect eligibility for health care coverage or related benefits.
b. Staff shall immediately notify their immediate supervisor of any change in telephone number.

3. Identification

a. Uniformed staff shall always wear their badges and name plates/insignia with their last names while on duty. Non-uniformed staff shall wear Department I.D. badges or building passes provided at the Control Centers of institutions in a visible manner whenever they are within inmate facilities.

NOTE: All civilian staff must also abide by the RI Department of Administration’s State Identification/Access Card policy.

b. Staff shall not make any additions or modifications to any uniform, badge, or other identification/insignia unless authorized by the Director. These rules shall govern the display of the uniform, badge, or other identification/insignia both on and off duty.

c. While on duty, employees shall provide their last names, job titles, and name of immediate supervisor whenever requested.

d. All staff shall strictly adhere to the identification and access procedures established by the Department.

e. No civilian staff member, whether on or off duty, is permitted to carry a badge or other identification stating or implying that s/he is employed by RIDOC unless this identification was issued by the Department or approved by the Director.

4. Fitness for Duty

a. Each staff member must be present at his/her designated reporting time, alert, properly groomed and attired, and must be physically and mentally prepared to perform his/her duties throughout his/her assigned work shifts/assignments.

b. For reasons of safety, security, and mutual protection of staff, the offender population, and the public, if at any time or for any reason a staff member feels that either s/he or a fellow staff member is unprepared to adequately perform his/her assigned duties, it is the staff member’s responsibility to inform their immediate supervisor and seek relief and/or assistance as soon as possible.
5. **Dissemination of Information**

a. Except when the Director designates otherwise, only the Director or the Chief of Information and Public Relations shall provide statements and/or official information to the media regarding staff, the offender population, or Departmental activities and programs.

b. The executive committees of bargaining units are permitted to speak to the media about legitimate union business or matters which relate to collective bargaining or contract administration but are otherwise subject to the restrictions in Section IV.A.5 of this policy.

c. Confidential or privileged information or information regarding pending investigations (i.e., information the disclosure of which would violate federal or state confidentiality laws, would endanger institutional security, would compromise the integrity of an investigation, and/or would constitute an unwarranted invasion of personal privacy) shall never be disclosed to the media, the public, other agencies, or anyone without a lawful or legitimate need to know through any method including social media (please refer to the most recent version RIDOC policy 3.33 DOC, Social Media Use for more information).

d. Requests to access records concerning staff or a member of the offender population by other Departmental employees, employees of other Federal or state agencies, or members of the public will only be granted subject to the procedures established by the custodian of those records and in accordance with Departmental policy (please see the most recent versions of RIDOC policies 1.07 DOC, Public Access to Departmental Records – Inmate/Offender Information and 3.13 DOC, Personnel Records).

e. Staff shall not discuss Departmental operations with the offender population or within hearing range of the offender population or visitors. Staff shall not permit offender access to Departmental reports, policies, procedures, orders, or memoranda, unless such information is necessary to understand what is expected of him/her or is deemed appropriate by the Director or designee for distribution to the offender population (please see the most recent versions of RIDOC policies 1.07 DOC, Public Access to Departmental Records – Inmate/Offender Information and 5.05 DOC, Inmate Former Inmate Access to Permanent Case Record Information).
B. Professional Relationships

Language which is degrading, abusive, profane, or refers to an individual's race, color, creed, religion, age, sex, ethnicity, national origin, military service, veteran status, marital status, sexual orientation, gender identity or expression, or handicap (or any other status protected by law) in a demeaning or derogatory manner shall not be used in speaking to or about RIDOC staff members, staff of other agencies, members of the public, the offender population, offenders' family members and/or visitors. This prohibition shall also apply to the use of communications via radio or telecommunications equipment, electronic and voice mail, the internet, and all integrated computer networks.

1. With/Among Staff

   a. Relationships among staff, and with the staff of other agencies, shall be characterized by respect, courtesy, patience, and cooperation.

   b. Nepotism and Favoritism

      (1) Staff is forbidden to take part in the selection or promotion of a family member, a member of their household, or an individual with whom they have a relationship of any kind which could give the appearance of favoritism.

      (2) Staff shall not supervise a family member or a member of their household without written approval from the RI Ethics Commission.

      (3) The Department discourages dating/romantic relationships between supervisory staff and subordinates.

      (4) Staff has an affirmative duty to immediately report to their supervisor the existence of a dating/romantic relationship with a subordinate whom they supervise, or if they supervise a family member or a member of their household.

         The supervisor is required to relay the information to his/her respective Assistant Director immediately. Each situation will be evaluated on a case-by-case basis.

      (5) No favoritism will be shown by any staff member to any subordinate or to any temporary worker, contractor/vendor, volunteer, student and/or intern of the RIDOC over whom
the staff member has supervisory authority because of a personal relationship.

2. With the Public

a. Members of the public, shall always be treated with courtesy, dignity, and respect.

b. It is the duty of staff to assist members of the public, and to answer questions promptly, accurately, and courteously. If a staff member cannot easily obtain the information requested, the staff member shall, whenever possible, explain to the individual how to contact the appropriate source for information.

3. With Offenders, their Family Members and/or Visitors

a. Staff shall protect the civil and legal rights of each member of the offender population.

b. The actions and judgments of staff in the exercise of duties which bring them into contact with the offender population shall not be influenced by personal feelings, attitudes, or prejudices toward an individual or group.

c. Staff shall be firm, fair, and consistent in their conduct toward the offender population.

d. Any use of force against an offender shall be strictly governed by the standards and procedures contained in the Department's policy on the Use of Force. All staff whose work brings them into contact with the offender population are responsible for thoroughly knowing the provisions of the Use of Force policy.

e. Staff is forbidden from directing offenders to perform duties or provide services which are not designated by the Department as official work assignments.

f. Offenders are permitted in staff office areas under supervision and only during official Departmental business or to complete work assignments. Staff shall not allow offenders to linger or remain in these areas after the conclusion of this business.
g. Staff shall make no attempt to influence any outside agency on behalf of any offender by writing letters, testifying, or having any form of contact on behalf of an offender unless approved in writing by the Director or an Assistant Director.

h. Staff shall not knowingly give or receive compensation, gifts, or favors to or from offenders/former offenders or from the immediate families, household members, visitors, representatives, or business associates of offenders/former offenders. Staff shall immediately provide their supervisor with a written report documenting any attempt to offer or receive such compensation, gifts or favors.

The supervisor is required to relay the information to his/her respective Assistant Director immediately.

**NOTE:** Per RIGL § 11-25-18 and the RI Code of Ethics Regulation 36-14-5009, the receipt of gifts, rewards, services, gratuities from an offender or anyone on an offender’s behalf, is a criminal offense and upon conviction, punishable up to thirty (30) days imprisonment and immediate dismissal from employment.

i. Staff shall not establish associations or relationships which bring discredit, or could have the appearance of impropriety, to the Department, or which compromises their ability to perform their jobs. These relationships shall include, but are not limited to, offenders, visitors, or family members of offenders.

j. Staff shall provide their supervisor with written notification of any personal associations or relationships with any current offenders or visitors to current offenders. The duty to report arises at the time the staff member discovers the connection.

The supervisor is required to relay the information to the Office of Inspection immediately.

k. Staff is prohibited from dating, marrying, or otherwise developing or engaging in romantic, physical, or sexual relationships and/or any cohabitation, friendship, or social media contact of any kind with offenders of the Department with whom the employees have contact on the job, or over whom the employee has control or decision-making authority.
l. Staff has an affirmative duty to provide their supervisor with written notification of any dating, marriage, romantic, physical, or sexual relationship and/or any cohabitation, friendship, or social media contact of any kind with a former offender who has been under the Department’s supervision within the past two (2) years. The duty to report arises at the time the staff member discovers the connection.

The supervisor is required to relay the information to the Office of Inspection immediately.

m. Staff is prohibited from dating, marrying, or otherwise developing or engaging in romantic, physical, or sexual relationships and/or any cohabitation, friendship, or social media contact of any kind with individuals on the visiting list of an offender with whom the employees have contact on the job, or over whom the employees have control or decision-making authority.

n. Staff has an affirmative duty to provide their supervisor with written notification of any dating, marriage, romantic, physical, or sexual relationship and/or any cohabitation, friendship, or social media contact of any kind with an individual on an offender’s visiting list when the offender has been incarcerated within the past two (2) years. The duty to report arises at the time the staff member discovers the connection.

The supervisor is required to relay the information to the Office of Inspection immediately.

o. RIDOC maintains a zero tolerance for staff sexual misconduct/harassment toward offenders, their family members, and/or visitors [please see the most recent version of RIDOC policy 9.49 DOC, PREA (Prison Rape Elimination Act) Policy].

C. Reporting Requirements

1. Provision of Information

   a. Staff shall immediately report any information received, either on or off duty, which may have an impact on the safety or security of staff, the offender population, or Departmental operations. Even if a staff member is uncertain about the significance of information received, s/he shall immediately report it to his/her supervisor.
The supervisor shall immediately relay the information to the Office of Inspection.

b. Staff shall immediately report to their supervisor any criminal conduct which they observe on duty or of which they have direct or indirect knowledge.

The supervisor shall immediately relay the information to the Office of Inspection.

This provision shall not be construed as relieving staff of their obligation to provide any other reports required by Departmental policy (see the most recent version of RIDOC policy 9.31 DOC, Reporting of Events for more information).

If, for any reason, staff fear that providing this information to their supervisor may place them at risk of personal harm, s/he may report this information directly to his/her program/unit/facility manager, the Assistant Director who oversees their respective division, or the Director.

c. Staff shall provide timely, accurate, truthful, and complete information, including written reports, relating to Departmental operations whenever required by their supervisor, a superior, shift commander, facility/unit/program manager, Assistant Director, the Office of Inspection, or the Director or his/her designee.

**NOTE:** A superior, shift commander, facility/unit/program manager, Assistant Director, the Office of Inspection, or the Director or his/her designee may include an individual who is not necessarily in the staff member’s chain-of-command.

2. **Contact with Law Enforcement and Administrative Agencies**

a. Staff is required to provide their supervisor with **written** notification of any contact with law enforcement authorities (whether or not a police report was generated) as well as any arrests, any notice of arraignment dates issued, and/or any summons to appear before a court or a Traffic Tribunal for any reason within twenty-four (24) hours of the incident.
**EXCEPTION:** An exception is allowed for minor traffic citations that do not result in arrest, arraignment, summons to appear before a court or a Traffic Tribunal, and/or loss of driver’s license.

The supervisor shall relay the information to the Office of Inspection immediately.

b. Staff is required to provide their supervisor with written notification of Restraining Orders (RO), No Contact Orders (NCO’s), drivers’ license suspensions/expiration/revocation or any professional license suspensions/expiration/revocation issued against them.

The supervisor shall relay the information to the Office of Inspection immediately.

**NOTE:** This includes any sanctions resulting from a breathalyzer refusal.

Drivers’ license or professional license suspension/expiration/revocation notifications shall apply to staff who need a specific license in the performance of their duties.

c. These notifications shall be submitted no later than at the beginning of the next working day after the contact with law enforcement, arrest, receipt of notice of arraignment date and/or summons, issuance of a RO/NCO, or drivers’ or professional license suspension/expiration/revocation. This requirement is applicable to those staff members on administrative leave, vacation, or utilizing sick time. Staff members on Worker’s Compensation leave shall be required to report said contact on the next business day.

D. **Examples of Misconduct Subject to Disciplinary Action**

This section describes specific instances of misconduct which may subject an employee to disciplinary measures, up to and including termination and could result in referral to law enforcement for possible criminal charges and prosecution. However, nothing in this section precludes the Department from taking the full range of disciplinary measures against an employee who violates the other sections of this policy.
1. **Conduct Unbecoming a Correctional Employee**
   
a. Misconduct, on or off duty, which violates federal, state, or local criminal codes, and breathalyzer refusal.

b. Any activity on or off duty which undermines the work or authority of the staff member or other employees, brings discredit on the Department, compromises the Department's mission or operations, or adversely affects the public trust.

   **NOTE:** This includes using social media in a manner that is inconsistent with the most recent version of RIDOC policy 3.33 DOC, [Social Media Use](#).

c. Abuse of position for personal gain or benefit.

2. **Tardiness, Absenteeism, and Abuse of Sick Leave**
   
a. Failure to arrive on time for work.

b. Failure to report for work without prior leave authorization.

c. Failure to return from a scheduled break in a timely manner.

d. Departure from duty without authorization prior to the completion of a shift, from an assigned office or duties or failure to report to an assigned field destination.

e. Abuse or fraudulent use of sick leave.

3. **Dereliction of Duty**
   
a. Sleeping on duty.

b. Leaving a post unattended without proper notification or relief.

c. Inattentiveness, including but not limited to reading, writing, using a computer, watching television, excessively using the telephone for personal calls, playing cards or other games of chance, and/or gambling/betting while on duty, unless the activity is job-related and authorized by a superior.
d. Creating a distraction for other employees which jeopardizes the security or order of Departmental operations.

e. Failure to follow policies, standard operating procedures (SOPs), protocols, and post orders.

f. Carelessness, negligence, or poor performance overall.

4. Insubordination

a. Failure or refusal to follow a lawful order or directive, whether verbal or written, from a supervisor, superior, shift commander, facility/unit/program manager, Assistant Director, the Office of Inspection, or the Director or his/her designee, or otherwise communicated through the chain of command.

b. Failure or refusal to attend, cooperate with or answer questions truthfully during an interview or in a requested report with a supervisor, superior, shift commander, facility/unit/program manager, Assistant Director, the Office of Inspection, or the Director or his/her designee.

c. Abusive behavior toward a supervisor, superior, shift commander, facility/unit/program manager, Assistant Director, the Office of Inspection, or the Director or his/her designee, including but not limited to displaying a disrespectful, insulting, or threatening attitude by use of language, expressions, or gestures.

d. Impeding, obstructing, or otherwise interfering with an official investigation of the Department or other law enforcement, administrative or regulatory agency.

5. Unauthorized Physical Contact

1. Expressing (explicitly or implicitly) a present or future attempt or threat to inflict injury upon or to cause harm against staff, members of the offender population, visitors and/or members of the public, either on- or off-duty.

2. Fighting with fellow staff members.

3. Inappropriate/excessive use of force against a member of the offender population, visitors and/or a member of the public.
4. Horseplay with other staff, members of the offender population, visitors and/or members of the public.

6. Harassment
   
a. Language, written communication, or gestures which ridicule, taunt, embarrass, insult, or provoke a staff member, member of the offender population, visitor and/or member of the public for reasons including, but not limited to, race, color, creed, religion, age, sex, ethnicity, national origin, military service, veteran status, marital status, sexual orientation, gender identity or expression, or handicap (or any other status protected by law).

b. Sexual harassment is defined/described as:

   (1) Any unwelcome sexual advances or requests for sexual favors or any other verbal or physical conduct of a sexual nature when submission to such conduct or such advances or requests is made either explicitly or implicitly a term or condition of an individual's employment;

   (2) An unwelcome sexual advance, request for sexual favors, and/or other verbal or physical conduct of a sexual nature when submission to or rejection of such conduct by an individual is used as a basis for employment decisions affecting such individual; or

   (3) Advances are considered unwelcome or unwanted if they were uninvited and offensive or unwarranted from the standpoint of the individual to whom they were made.

   (4) Conduct so infused with hostility towards members of one sex that it alters the conditions of employment, interferes with an individual’s work performance, or creates an intimidating, hostile, or offensive working environment. Please see the most recent version of RIDOC policy 3.05 DOC, Sexual Harassment for further information.

NOTE: Pursuant to Final PREA Standard 115.17 the agency shall not hire or promote anyone who may have contact with inmates, and shall not enlist the services of any contractor who may have contact with inmates, who has engaged in
sexual misconduct in a prison, jail, lockup, community confinement facility, juvenile facility or other institution (as defined in 42 U.S.C. 1997); or who has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse; or who has been civilly or administratively adjudicated to have engaged in such activity.

(a) The agency shall ask all applicants and employees who may have contact with offenders directly about previous misconduct (as described in the paragraph above) in written applications or interviews for hiring or promotions, and in any interviews or written self-evaluations conducted as part of reviews of current employees.

(b) The RIDOC also imposes upon employees a continuing affirmative duty to disclose any such misconduct.

7. **Substance Use and Abuse**

   a. The presence or consumption of alcohol, marijuana, and/or a controlled substance on Departmental premises, in Departmental vehicles, or in public view (including posting videos or images on the internet) while either wearing a uniform or article of clothing with Department identifying insignia (e.g., badge or patch) or otherwise giving the appearance or impression that the staff member is on duty, is prohibited.

   **EXCEPTION:** There is an exception when carrying alcohol in an unopened and sealed container in the employee's vehicle.

   b. The presence or consumption of controlled substances is prohibited unless they are being taken pursuant to a valid medical prescription. A staff member who works in a secure area or in proximity to the offender population and has in his/her possession prescription medication must take steps to assure that these substances are stored in such a way that they are not accessible to the offender population. Officers working a weapons post may not be in the possession of a
weapon while under the influence of any medication that impairs judgment.

**NOTE:** The Rhode Island Medical Marijuana Act at RIGL § 21-28.6-7 and the Rhode Island Cannabis Act RIGL § 21-28.11-29 specifically states that it does not permit:

1. “any person to undertake any task under the influence of marijuana, when doing so would constitute negligence or professional malpractice.”

2. the smoking or vaporizing of marijuana “in a correctional facility; or public place.”

c. Employees who are dependent on drugs or alcohol are encouraged to present themselves, in confidence, to the Rhode Island Employee Assistance Program, the Department's Peer Support Unit or a licensed treatment facility. Employees who voluntarily **seek such assistance or are actively in treatment** to overcome drug or alcohol dependency are not subject to discipline under Section IV.D.7. However, staff always remains accountable for their performance and may still be subject to disciplinary action for violating other sections of this Code.

8. **Dishonesty**

   Fraudulent practices include but are not limited to:

   a. Theft.
   
   b. Providing false or misleading statements or representations, either verbal or written, or material omissions of required or requested information, on any official forms, reports, logs, affidavits, or other documents.
   
   c. Falsifying/misrepresenting time and attendance.
   
   d. Feigning illness or injury, falsely reporting oneself as ill or injured, or otherwise deceiving or attempting to deceive any official or the Department as to the condition of one’s health.
9. **Misuse of State Property**

Fraudulent practices include but are not limited to:

a. Using or misusing state property, either by intention or through negligence, in a manner which causes damage or injury, unnecessarily diminishes its value, or unnecessarily expends or wastes resources.

b. Making use of Departmental letterhead, official stamps, postage, photocopying machines, materials, equipment, supplies, or other property for personal reasons.

c. Engaging in any of the following activities without the permission of the administrator responsible for the work unit:
   
   (1) Lending, borrowing, selling, or duplicating state property, including, but not limited to, security items.

   (2) Affixing or posting religious material, political/campaign signs and stickers, or other material that could be considered offensive anywhere within or on any Departmental building or property.

   (3) Posting, altering, or removal of material or information contained in Departmental files, records, databases, and/or on State bulletin boards.

   (4) Removing state property from Departmental premises without proper permission.

b. Marking, scarring, defacing, or vandalizing any Departmental building or property.

c. Failing to immediately surrender all State property in a staff member’s possession upon separation from service or when otherwise directed.

10. **Conveying Contraband**

a. Introducing unauthorized and/or illegal items into correctional facilities. For more information, including examples of unauthorized items, please see the most recent version of RIDOC policy 9.18 DOC,
Introduction of Unauthorized Items into the Adult Correctional Institutions.

b. Conveying or allowing conveyance of any unauthorized items to or from offenders or any authorized items, to or from offenders in a manner other than that permitted by Departmental policy, directives, or post orders.

c. Staff shall permit inspection by superiors or other staff designated by the Director of packages, envelopes, briefcases, or other containers which are being taken into or out of secure facilities.

11. Unauthorized Possession/Misuse of Weapon

The unauthorized possession of weapons as well as the improper use or storage of authorized weapons or the inability, due to operation of law, to legally possess or use a firearm.

12. Criminal Disposition

A finding or verdict of guilt, or plea of guilty or nolo contendere, to a criminal charge.