

 <p>ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>DEPARTMENT ORDER MANUAL</p>	<p>CHAPTER: 800</p> <p>INMATE MANAGEMENT</p>	<p>OPR:</p> <p>OPS</p>
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PURPOSE

This Department Order establishes procedures for identifying and safeguarding inmates with legitimate protection needs. While careful classification, appropriate security measures, and preliminary screening for alternate management strategies can serve to reduce the number of such cases, some inmates still require segregation from the general prison population. The methods for accomplishing this goal are comprehensive, professionally executed and legally sound. Public and institutional safety concerns are always the governing elements for staff as they manage these cases.

PROCEDURES

805.01 PROTECTIVE CUSTODY IDENTIFICATION PROCESS

- 1.1 Any inmate may make a written or verbal request for Protective Custody, which staff shall use to initiate a documented review of the inmate's need for protection status. There are two Protective Custody statuses:
 - 1.1.1 Security Threat Groups (STG) Debriefed Protective Custody - All inmates who successfully renounce their membership with an STG and are subsequently approved for this status shall be identified by the STG Debriefed Protective Custody code in Adult Information Management System (AIMS).
 - 1.1.2 Protective Custody - All other inmates approved for Protective Custody placement shall be identified by the Protective Custody code in AIMS.
- 1.2 Any staff member who receives a written or verbal request from an inmate for protection or who becomes aware of a threat to an inmate shall immediately isolate the inmate in a safe, reasonably secure area and notify the Shift Commander.
 - 1.2.1 The Shift Commander or designee shall complete an Information Report, Form 105-2, and have the inmate complete a Protective Custody Inmate Statement, Form 805-1, to identify specifics for Protective Custody.
 - 1.2.1.1 As part of this initial inquiry, the inmate shall be asked to provide written supporting facts on the Protective Custody Inmate Statement form.
 - 1.2.1.2 If an inmate is unable or unwilling to provide such facts when first questioned regarding the request, staff may obtain and record such information at a later time. The inability or unwillingness to identify a specific attacker, or threatening individual, or other potential threat source may not be the sole reason for excluding an inmate from further consideration in initiating the formal protection review process.
 - 1.2.1.3 The Shift Commander or designee shall:
 - 1.2.1.3.1 Make an effort to resolve the inmate's concerns. Changes to cell block or bed assignments, addition of a Do Not House With (DNHW) or mediation shall be considered as options.

1.2.1.3.2 If a resolution is made that allows for movement within the original unit, document circumstances and solutions in AIMS on the DT08 50 comment screen, and complete Unit Administrator Protective Custody Review, Form 805-2, and send to the Protective Custody Unit to be included in the inmate's Protective Custody file.

1.2.1.3.3 If movement within the original unit is not an available resolution and it is determined the inmate requires a Protective Custody review, proceed with the Protective Custody review process as outlined in section 805.02 of this Department Order.

1.2.2 All staff shall be alert to signs that an inmate is in danger and may require protection. Staff shall take steps to protect an inmate even when the inmate does not acknowledge that a threat exists. When staff has information suggesting there may be a threat to that inmate's safety, the inmate shall be isolated as outlined in this section.

805.02 INITIAL PROTECTIVE CUSTODY REVIEW PROCESS

1.1 The Correctional Officer (CO) IV shall track the entire Protective Custody process using the Protective Custody Tracking, Forms 805-9A and 805-9B.

1.2 The Shift Commander shall:

1.2.1 Move the inmate to a detention unit.

1.2.2 Ensure any inmate being considered for placement in the Protective Custody review process that exhibits or makes statements of self-harm be immediately referred to Mental Health Services.

1.2.2.1 Mental health staff shall respond, evaluate and determine the necessary action for these inmates.

1.2.3 Immediately place a Protective Custody hold by annotating the AIMS DT08 PC screen. The Protective Custody hold shall only include the date the review was initiated, staff AIMS Identification Number (SID) and unit AIMS designation. For example: 01/01/01 805 review initiated. SMM4/AOO.

1.2.4 Document each step of the review in AIMS on the DT08 50 screen.

1.2.5 Interview the inmate using the Protective Custody Security Initial Interview, Form 805-4, within one workday.

1.2.6 Place the Information Report, Inmate Statement, Protective Custody Placement/Review Request and Protective Custody Security Initial Interview Forms with the Protective Custody packet and forward to the Deputy Warden within one workday.

- 1.3 The Deputy Warden or designee shall review the initial information gathered by the Shift Commander, and within one workday determine if movement to another general population location would resolve the issue or if the Protective Custody review process needs to continue.
 - 1.3.1 If the Deputy Warden and inmate agree movement to another general population location would resolve the issue, the Deputy Warden shall:
 - 1.3.1.1 Complete the Unit Administrator Protective Custody Review form, clearly indicating the inmate and Deputy Warden agree movement to another general population unit would resolve the issue.
 - 1.3.1.2 Complete the DNHW memo.
 - 1.3.1.3 Ensure the AIMS DT08 50 screen comments are completed.
 - 1.3.1.4 Ensure the documents are scanned to the Central Office Protective Custody Unit (PCU) for review and scheduling of movement to an appropriate location.
 - 1.3.2 If the Deputy Warden determines a complete review is required, or the inmate is not willing to agree that movement to another general population yard would resolve the issue, the Deputy Warden shall document the reasons on the Unit Administrator Protective Custody Review form, and forward documents to the CO IV the same day.
- 1.4 Once an inmate is formally placed in the Protective Custody review process, mental health staff shall be immediately notified with a copy to the Regional Mental Health Director.
 - 1.4.1 Mental health staff shall evaluate/interview every inmate placed in detention/segregation under the Protective Custody placement process within 24, but no more than 72 hours of that placement, in order to determine the risk of self-harm.
 - 1.4.2 All inmates placed in Protective Custody review process shall be contacted by mental health staff at least once of every 30 days.
 - 1.4.3 More frequent contacts as prescribed by mental health staff shall be based upon factors such as; the results of the initial interview/evaluation, specific concerns of mental health staff, referral to Mental Health Services by security staff, the inmate's mental health score or new information.
- 1.5 The CO IV and/or Special Security Unit (SSU), shall review the case, gather pertinent facts to determine if any of the following circumstances are present, and document the results on the Protective Custody Interview Assessment, Form 805-5, and Protective Custody CO IV/SSU Investigative Summary Report, Form 805-6.
 - 1.5.1 Record of being physically assaulted.
 - 1.5.2 Reputation among the inmate population of being an informant or trial witness.

- 1.5.3 Record of being-threatened, verbally abused, or harassed.
 - 1.5.4 Sexually assaulted, threatened, abused, or harassed.
 - 1.5.5 Threats by verified STG's or other gang or group.
 - 1.5.6 Former criminal justice official or been involved in activity directly supporting criminal justice actions resulting in threats, verbal abuse, or harassment.
 - 1.5.7 Convicted of a crime repugnant to the inmate population resulting in threats, verbal abuse, or harassment.
 - 1.5.8 Physical size, build or age producing a risk from the general population.
 - 1.5.9 Gender change issues producing a risk from the general population.
 - 1.5.10 Unspecified or generalized threat or fear, or repeated Protective Custody request previously reviewed and denied containing no new, relevant information.
 - 1.5.11 The incident that occurred that caused the request.
 - 1.5.12 The names of any inmate(s) who may have assaulted or threatened the inmate.
 - 1.5.13 Specific noticeable marks consistent with a physical altercation.
 - 1.5.14 Where and when any such act(s) occurred.
 - 1.5.15 Any medical treatment offered, and if the inmate was transported to medical for treatment.
 - 1.5.16 Photographs of the injury and assault or weapon.
 - 1.5.17 Any other relevant information.
- 1.6 All information shall be forwarded to the Deputy Warden or designee within five workdays from the date the Deputy Warden completed the Unit Administrator Protective Custody Review form.
- 1.6.1 The following forms shall be completed and forwarded to the Deputy Warden or designee within five workdays for review and evaluation:
 - 1.6.1.1 Information Report form.
 - 1.6.1.2 Protective Custody Placement/Review Request form.
 - 1.6.1.3 Protective Custody Inmate Statement form.
 - 1.6.1.4 Unit Administrator Protective Custody Review form.
 - 1.6.1.5 Protective Custody Interview Assessment form.

- 1.6.1.6 Protective Custody Security Initial Interview form.
- 1.6.1.7 Protective Custody CO IV Investigative Summary form.
- 1.6.1.8 Any additional supporting documentation to include disciplinary reports, CIU reports, Information Reports and photographs.
- 1.6.2 It is the responsibility of the inmate to fully cooperate in the investigation process. If it is determined that an inmate has willingly withheld or falsified information, he/she shall be subject to disciplinary action. Additionally, although the lack of information provided by the inmate is not enough to preclude processing the Protective Custody review, the lack of information could be a primary factor in determining whether a threat exists.
- 1.6.3 The SSU and/or CO IV can request an extension, not to exceed five workdays, through the Deputy Warden or designee. The reason for the extension shall be documented on the AIMS DT08 50 screen.
- 1.6.4 The Deputy Warden or designee shall review the initial information gathered by Shift Commander, SSU and the CO IV. Within five workdays, the Deputy Warden or designee shall determine if the circumstances indicate that a protection issue exists and document those findings on the Protective Custody Decision Worksheet, Form 805-7, and the Protective Custody Placement Review Request form as outlined in section 805.03 of this Department Order.
- 1.7 The Deputy Warden or designee shall recommend the inmate for Protective Custody, alternative placement to another unit, or denial and annotate the AIMS DT08 50 screen.
 - 1.7.1 Copies of all reports generated under this section shall be forwarded to the Protective Custody Unit Administrator (PCA).
- 1.8 If the Deputy Warden or designee determines additional information is required and an immediate solution cannot be made, forward all documents to the CO IV to continue the Protective Custody investigation process as outlined in section 805.03 of this Department Order.
 - 1.8.1 The SSU Officer and CO IV designated by the Deputy Warden or designee shall begin the investigation within one workday from the date and time the Deputy Warden or designee requests further review and document on the AIMS DT08 50 screen.
 - 1.8.2 The investigation shall be completed within ten workdays from the date the CO IV and SSU begins the investigation. One additional extension of five workdays may be authorized by the Deputy Warden or designee based on exceptional circumstances (e.g., witness unavailable, delay in receiving needed documents to conclude the investigation, etc.). Staffing issues do not meet the "exceptional" circumstances standard.
 - 1.8.3 Any pertinent information gathered during the Deputy Warden or designee interview shall be reviewed, investigated and additional interviews conducted with the inmate as deemed necessary.

- 1.8.4 The inmate shall complete a Protective Custody Inmate Statement form if the inmate request is to be released to general population.
 - 1.8.4.1 The Deputy Warden shall review the inmate's request and determine if the inmate should return to the unit.
 - 1.8.4.2 If it is determined the inmate can return to the unit, the Deputy Warden shall ensure the Protective Custody Inmate Statement form and the Unit Administrator Protective Custody Review form are completed, requesting the process be terminated and documented on the AIMS DT08 50 screen. All documents shall be forwarded to the PCA for final decision and the documentation placed in the Protective Custody file(s).
 - 1.8.4.3 If the PCA determines the inmate should not return to the unit at this time, this process shall continue.
- 1.8.5 The CO IV may request a mental health assessment if the inmate exhibits or displays unusual or bizarre behavior. An Information Report, Form 105-2, shall be completed by the CO IV documenting this request.
- 1.8.6 Other individuals, such as staff, inmates, agencies, etc. may be interviewed as needed.
- 1.8.7 Any previous Protective Custody reviews conducted for the inmate shall be reviewed and considered.
- 1.8.8 An overview of the inmate's history of being a victim of assault, injuries sustained from it, and discipline record shall be reviewed and considered.
- 1.8.9 A summary of the inmate interview and investigation findings shall be documented on the Protective Custody Investigative Summary Report. Attempts to identify potential witnesses, assailants, and the like shall be documented in the summary.
- 1.9 If it is determined that a criminal investigation is required, CIU will be notified to conduct an independent criminal investigation.

805.03 PROTECTIVE CUSTODY REVIEW PROCESS - RECOMMENDATION

- 1.1 The Deputy Warden or designee shall:
 - 1.1.1 Review the case documentation and make a final field recommendation using the Protective Custody Decision Worksheet form and the Protective Custody Placement Review Request form and forward it to the PCA within five workdays.
 - 1.1.2 The following criteria shall be taken into consideration when making the final decision:
 - 1.1.2.1 Number of times the inmate has been through the process.

- 1.1.2.2 Was the inmate a victim of an assault which was not serious or life threatening?
- 1.1.2.3 Was the inmate a victim of an assault which was serious or life threatening?
- 1.1.2.4 Was there more than one assailant?
- 1.1.2.5 Did the inmate provide court testimony or provide information to law enforcement officials which has been discovered by other inmates?
- 1.1.2.6 Is there a verified STG related threat against the inmate?
- 1.1.2.7 Has the inmate been in Protective Custody placement before (Arizona Department of Corrections (ADC), County Jail other jurisdiction)?
- 1.1.2.8 High profile crime that may jeopardize the inmate's safety.
- 1.1.2.9 Was the inmate employed as a law enforcement/corrections officer or related field?

805.04 PROTECTIVE CUSTODY UNIT (PCU) REVIEW PROCESS

- 1.1 Within ten workdays of receipt, the Central Office PCU staff shall:
 - 1.1.1 Review the case documentation to ensure the file is complete.
 - 1.1.2 If the file is not complete, determine information required and recommend the file be returned to the Deputy Warden.
 - 1.1.3 If the file is complete, review case information, complete the Protective Custody Decision Worksheet form and forward a recommendation to the PCA for Committee Review.
- 1.2 As designated, the PCA or Protective Custody Committee shall:
 - 1.2.1 Review the documentation.
 - 1.2.2 Make a final decision within seven workdays as to whether a threat to the inmate exists.
 - 1.2.3 If additional information is required or needs to be provided, notify the institution of information required and document the request on the AIMS DT08 50 screen that the decision is held in abeyance until additional information is received from the institution. The institution shall have five workdays from date of the request to provide the requested information.
- 1.3 The PCA shall ensure a written explanation as to the rationale for the Protective Custody decision is provided if it is different from the Deputy Warden's recommendation.

- 1.4 The PCA or Protective Custody Committee shall notify the Deputy Warden or designee of the unit where the inmate is housed as soon as possible of the decision, but no more than three workdays from the date of the decision.
- 1.5 Protective Custody Committee
 - 1.5.1 The PCA or designee shall chair the Protective Custody Committee.
 - 1.5.2 The following staff are required to participate in a Protective Custody Committee meeting:
 - 1.5.2.1 STG Investigator or designee.
 - 1.5.2.2 An Offender Services CO IV.

805.05 INITIAL PROTECTIVE CUSTODY REVIEW PROCESS - INMATE APPEAL

- 1.1 The Deputy Warden or designee shall:
 - 1.1.1 Within three workdays, notify the inmate of the PCA or Protective Custody Committee's decision. This notification shall be annotated on the AIMS comment DT08 50 screen.
 - 1.1.2 Ensure the inmate signs and dates the decision advisory document and acknowledges being advised of the right to appeal using the Protective Custody Placement Review Request form.
 - 1.1.3 Ensure the inmate is provided with an Inmate Letter, Form 916-1, to appeal. The inmate shall have three workdays to complete the appeal and submit it to a staff member in the detention unit, who shall promptly forward the appeal to the assigned CO IV for processing. The detention staff member receiving the appeal from the inmate shall sign (print) and date the appeal prior to forwarding to the CO IV. The appeal shall be limited to one page.
 - 1.1.4 Ensure the appeal time frames commence when the inmate signs the Protective Custody Placement Review Request form.
 - 1.1.5 If the inmate elects to appeal, notify the PCA of the date of service and that an appeal will be forthcoming. The inmate's decision to appeal or not appeal shall be documented on the AIMS DT08 50 screen. The date of the inmate's decision shall be listed to document the inmate's appeal timeframes.
 - 1.1.6 After obtaining the inmate's signature, scan and email or fax the Protective Custody Placement Review Request to the PCA for information purposes and forward the original to the PCU staff for inclusion in the Protective Custody file.
 - 1.1.7 If the inmate waives the right to appeal, ensure the process of making an institution assignment is continued as outlined in section 805.09 of this Department Order.

- 1.2 Within 15 workdays from receipt of the appeal, the Security Operations Administrator or designee shall review the appeal and case information (current and prior) and ensure a response is formulated. The decision shall then be forwarded to the PCA who shall forward the decision to the unit Deputy Warden.
 - 1.2.1 The Deputy Warden of the location where the inmate is housed shall ensure the inmate is served the appeal decision within three workdays of receipt. The inmate shall sign and date the appeal decision when served by the staff.
 - 1.2.2 The PCA shall determine what transfers or other actions are required and ensure the actions take place. The result of the appeal decision shall be documented on the AIMS DT08 50 screen.
 - 1.2.3 The decision from the Security Operations Administrator or designee is final.
- 1.3 Once a Protective Custody decision has been completed and appeals exhausted, staff shall take appropriate disciplinary and classification actions if the inmate refuses to enter general population. These actions may eventually result in inmate placement in a more restrictive custody assignment. An inmate's unwillingness to enter general population following completion of the review and appeal process does not constitute evidence of a need for protection.
- 1.4 When inmates are denied Protective Custody or approved for alternate placement, staff shall immediately notify the mental health staff.
 - 1.4.1 Those inmates denied Protective Custody or approved for alternate placement must be seen and evaluated by mental health staff within 24 to 72 hours of the notice of the decision to the inmate. A copy of this notice shall be forwarded to the Regional Mental Health Director.
 - 1.4.2 The CO IV or designee shall document the notification on the AIMS DT08 50 comment screen.

805.06 REMOVAL FROM PROTECTIVE CUSTODY

- 1.1 Voluntary Removal from Protective Custody
 - 1.1.1 Any inmate may voluntarily request removal from Protective Custody by submitting a written request, via Inmate Letter form to the Deputy Warden or designee.
 - 1.1.2 The CO IV and/or the SSU shall:
 - 1.1.2.1 Interview the inmate.
 - 1.1.2.2 Review the case and gather pertinent facts to determine if the inmate could safely be returned to general population.
 - 1.1.2.3 Document the results on the Protective Custody CO IV/SSU Investigative Summary Report form.

- 1.1.3 All information shall be forwarded to the Deputy Warden or designee to include, but not limited to:
 - 1.1.3.1 Inmate Letter form.
 - 1.1.3.2 Protective Custody CO IV/SSU Investigative Summary form.
 - 1.1.3.3 Any additional supporting documentation to include disciplinary reports, CIU reports, Information Reports, SSU Reports and photographs.
- 1.1.4 The Deputy Warden or designee shall recommend approval or denial of the request, after considering facts presented by the inmate, information contained in the Protective Custody file, the CO IV/SSU interview and any other supporting documentation on the Voluntary Protective Custody Removal Review, Form 805-10 and forward the packet to the PCA.
- 1.1.5 The Protective Custody Committee shall review the removal packet and determine, based upon an assessment of all investigative information, and the recommendation from the Deputy Warden, if the inmate is to be removed from Protective Custody status.
- 1.1.6 The decision of the PCA is final and the inmate may not appeal.
- 1.1.7 The unit CO IV or designee shall verbally advise the inmate of the PCA decision and make a comment on the AIMS DT08 50 screen indicating that the inmate was advised of the decision.
- 1.2 Administrative Removal from Protective Custody
 - 1.2.1 At any time the Warden can request an inmate be removed from Protective Custody based on assaultive or predatory behavior.
 - 1.2.2 The CO IV and/or SSU shall:
 - 1.2.2.1 Review the case and gather pertinent facts to determine if the inmate could safely be returned to general population.
 - 1.2.2.2 Document the facts on the Protective Custody CO IV/SSU Investigative Summary Report form.
 - 1.2.3 All information shall be forwarded to the Deputy Warden or designee to include, but not limited to:
 - 1.2.3.1 Protective Custody CO IV/SSU Investigative Summary form.
 - 1.2.3.2 Any additional supporting documentation to include disciplinary reports, CIU reports, Information Reports, SSU Reports and photographs.

- 1.2.4 The Deputy Warden or designee shall recommend approval or denial of the request, after considering facts presented by the inmate, information contained in the Protective Custody file, the CO IV/SSU interview and any other supporting documentation on the Administrative Protective Custody Removal Review, Form 805-11 and forward the packet to the Warden.
- 1.2.5 The Warden shall:
 - 1.2.5.1 Review the packet and the Deputy Warden's recommendation.
 - 1.2.5.2 Recommend approval or denial on the Administrative Protective Custody Removal Review form.
 - 1.2.5.2.1 If the Warden determines on the basis of a review of all documentation and evidence that the inmate shall remain in Protective Custody, the process is complete and the packet shall be sent to the PCA for placement in the Protective Custody file.
 - 1.2.5.2.2 If the Warden determines there is substantial reason to believe the inmate should be removed from Protective Custody status and could safely be housed in a general population unit, the full packet, containing the Warden's rationale on the Administrative Protective Custody Removal Review form, shall be forwarded to the PCA for a Protective Custody Committee review.
- 1.2.6 The Protective Custody Committee shall determine, based upon an assessment of all investigative information, and the detailed recommendations of the CO IV/SSU, Deputy Warden and Warden, if the inmate is to be removed from Protective Custody status.
 - 1.2.6.1 The Protective Custody Committee shall recommend approval or denial on the Administrative Protective Custody Removal Review form and forward the full packet to the Division Director for Offender Operations, or designee for final approval or denial.
 - 1.2.6.2 The Division Director for Offender Operations or designee shall document the final approval or denial for removal from Protective Custody status on the Administrative Protective Custody Removal Review form and forward to the PCA for processing.
 - 1.2.6.3 The decision of the Division Director for Offender Operations or designee is final and the inmate may not appeal.
 - 1.2.6.4 The unit CO IV or designee shall verbally advise the inmate of the Division Director for Offender Operations or designee's decision and shall make a comment on the AIMS DT08 50 screen indicating that the inmate was advised of the decision.

805.07 RE-INCARCERATED INMATES

- 1.1 An inmate who was previously incarcerated in the Department and was released while in Protective Custody during the most recent incarceration shall be placed back into Protective Custody, unless the inmate was a debriefed STG member. The AIMS DT08 50 screen shall be annotated upon the inmate's return to custody.
 - 1.1.1 Re-incarcerated inmates who, during their previous incarceration were denied Protective Custody or approved for "alternate placement" are not required to be reviewed by the Protective Custody review process.
 - 1.1.2 The inmate may re-initiate the process by verbal or written request as outlined in section 805.01 of this Department Order providing the inmate relays new verifiable information regarding their perceived safety concern.
 - 1.1.3 On a case-by-case basis, previously approved Protective Custody inmates whose criminal activities while on release status may pose a significant risk to the safety and security of a Protective Custody unit shall undergo a new full review to determine their appropriate custody level/security needs.
 - 1.1.4 Staff processing re-incarcerated inmates at intake who identify a security concern shall notify the PCA who shall determine whether a new full investigation is to be conducted.
- 1.2 Inmates who were released prior to the completion of the Protective Custody review shall have the process continued from the point of interruption and isolated from other general population inmates until the process is completed.

805.08 SECURITY THREAT GROUP DEBRIEFED INMATES

- 1.1 Inmates that successfully debrief from a STG shall not require a formal review. The Protective Custody status will only require the Protective Custody – Security Threat Group Debrief Placement, Form 805-8, to be completed. This form shall be completed by the unit Deputy Warden and forwarded to the PCA with the accompanying support documentation, for final disposition.
- 1.2 A STG debriefed inmate shall have a STG Unit report completed upon return to custody to verify non-involvement in gang activities while on release.
 - 1.2.1 The inmate may be returned to Protective Custody status pending the findings of STG Unit.
 - 1.2.2 If the findings demonstrate verified STG gang activity, the inmate shall be considered for re-validation as outlined in Department Order #806, Security Threat Group (STGs).

805.09 CENTRAL CLASSIFICATION/MOVEMENT

- 1.1 The PCU staff shall determine appropriate placement based on the inmate's custody level and Protective Custody status, enter the travel order on AIMS and forward the travel order to Central Office Movement staff for scheduling.

- 1.2 The Central Office Movement staff shall schedule the inmate for movement based on the travel order initiated by PCU staff.
- 1.3 If the approved location needs to be changed, Central Office Movement shall staff the issue with the PCA and/or Classification Manager to determine the most appropriate location.
- 1.4 When completed the file shall be scanned to the shared drive, maintained and secured by the Protective Custody Unit.

805.10 DO NOT HOUSE WITH DOCUMENTATION

- 1.1 Any recommendations regarding changes to the inmate's DNHW screens, in conjunction with a Protective Custody review, will be completed by the CO IV and submitted in memo format, through the unit Deputy Warden and included with the Protective Custody file.
- 1.2 Documentation used to verify Do Not House With (DNHW) and or the No Housing Restriction (NR) issues shall consist of any staff generated document that specifies the rationale as to who and why a DNHW is listed.
- 1.3 For clarification, the following source documents may include, but are not limited to:
 - 1.3.1 AIMS comments.
 - 1.3.2 CIU/SSU or other confidential reports.
 - 1.3.3 Other/outside agency documents.
 - 1.3.4 Protective Custody Interview Assessment form.
 - 1.3.5 Information Reports/Significant Incident Reports.
 - 1.3.6 Memos and letters.
 - 1.3.7 The inmate's Master and Institution files.
 - 1.3.8 Prior Protective Custody files and documents.
- 1.4 If the source document contains the "who" and "why" there does not need to be a corresponding Information Report documenting the required information. Prior Protective Custody source documents do not need to be duplicated within the same Protective Custody file(s) for subsequent reviews for the same inmate.
- 1.5 A Confidential Informant Reliability Assessment Questionnaire is to be completed for each confidential informant.
- 1.6 The following steps shall be completed prior to submission of the DNHW memo:
 - 1.6.1 Compare the AIMS DI37 screens to the DT08 DN/NR screen to ensure all inmates have been addressed.

- 1.6.2 Review all other AIMS DT08 comments to determine if an inmate may be a potential threat to the inmate and has not been listed on the AIMS DI37 screens and addressed in a previous review.
- 1.6.3 Locate source documents for all inmates identified which support the addition/continuation/removal utilizing the following:
 - 1.6.3.1 Institution file/DNHW folder (all volumes).
 - 1.6.3.2 Protective Custody file if applicable.
 - 1.6.3.3 Master record file.
 - 1.6.3.4 CIU, SSU and STG files.
 - 1.6.3.5 AIMS.
- 1.6.4 Source documents found in the file of another inmate shall be copied and placed in the file of the inmate for which the current review is being conducted.
- 1.6.5 Only in cases where no source documents can be located, as outlined in 1.6.3 of this section, does an interview need to be conducted with both inmates, to ascertain the possible issues. The interview shall be documented on an Information Report.
 - 1.6.5.1 In cases where one inmate has been released or is inactive, the interview will still be documented on the Information Report indicating the inmate is inactive, however, the inmate will remain listed as a DNHW until further verification can be obtained.
 - 1.6.5.2 In these cases, an AIMS DT08 10 comment is entered on the inmate indicating that the interview was not completed. If the inmate returns, an interview will be completed and documented on a DNHW memo. The memo shall indicate the determination on status of the DNHW issue.
- 1.6.6 If at any time staff becomes aware of the verified death of an inmate, the staff shall notify the PCA or the Classification Manager via email so that the AIMS DI37 screen can be updated.
- 1.7 Mediation Process - The mediation process shall be followed when the transfer of an inmate with a DNHW conflict listed on the AIMS DI37 screen to a unit appropriate for their custody is prevented due to the DNHW limitation. Once an inmate is approved for Protective Custody status, DNHW removals may be resolved through the mediation process, for example, an inmate housed at SMU I tying up a max custody bed.
 - 1.7.1 All inmates listed on the AIMS DI37 DNHW screen shall be reviewed at each maximum custody review and/or Corrections Plan review and prior to Protective Custody Placement for possible removal.

- 1.7.1.1 Both the sending and receiving units shall confirm the approved DNHW reasons. If the documentation does not justify that the inmate should remain on the DNHW list, the inmate may be interviewed. Reason(s) to keep the inmate on the DNHW list or reason(s) for removal of the inmate from the DNHW list shall be documented.
- 1.7.1.2 If the inmate clearly should remain on the DNHW list based on written documentation, a comment shall be made on the AIMS DT08 10 screen for both inmates. Both inmates' names and numbers shall be documented. Comments shall also be annotated on the AIMS DT08 50 screen if the inmates are approved for Protective Custody. For example: 05/15/08: Attempt made to mediate housing conflict between inmate A and receiving unit inmate B was unsuccessful, inmate will remain on the inmate's DNHW list. EFVH/CC.
- 1.7.2 Sending Unit - If the inmate is to be transferred the sending unit shall:
 - 1.7.2.1 Conduct an interview and document that the inmate has no issue that would prevent them from being housed in the receiving unit with the inmate listed on the DNHW list. The inmate shall sign a written statement to this effect on the Inmate Letter form.
 - 1.7.2.2 Contact the receiving unit and advise them that they are attempting to mediate the DNHW issues between the two inmates.
- 1.7.3 Receiving Unit - If the inmate is to be received, the receiving unit shall:
 - 1.7.3.1 Follow the same process outlined in 1.7.2.1 of this section, interview and document if both inmates agree to house together, with the receiving unit inmate completing the Inmate Letter form.
 - 1.7.3.2 If the inmate in the receiving unit refuses to be housed with the inmate being transferred, a comment shall be placed on the AIMS DT08 10 screen and the DT08 50 screen on both inmates, documenting the unsuccessful mediation. The movement shall not be scheduled.
- 1.7.4 Successful Mediation - If both inmates agree to be housed together in the same unit and be removed from the DNHW list, the sending unit shall contact Central Office Classification to schedule the movement. All documentation shall be sent with the inmate to the receiving unit.
 - 1.7.4.1 Upon arrival at the receiving unit, the Deputy Warden or designee shall conduct a face to face mediation between the inmates. Until the mediation is completed, the inmate from the sending unit shall be placed in a Detention bed pending the completion of the mediation process.

- 1.7.4.2 If there are no issues presented and co-existence on the same unit is not an issue, the receiving unit shall combine Information Reports, Inmate Letter form and any other supporting information generated from both inmates. Both inmates shall complete post mediation Inmate Letters indicating there were no issues presented during the mediation. The AIMS DT08 10 and DT08 50 comments shall be annotated for both inmates indicating successful mediation.
- 1.7.4.3 All supporting documentation shall be used to generate a new DNHW memo to request removal of the DNHW restriction between the two inmates.
- 1.7.4.4 The receiving unit Deputy Warden or designee shall sign the DNHW removal memo with a recommendation and supporting rationale and forward the memo and supporting documentation to the PCA for final decision.
- 1.7.4.5 The PCA or designee shall review the supporting documentation and approve, deny or request additional information within two workdays. If the decision is to deny the removal request, the process outlined in 1.7.5 of this section shall be implemented. If the decision is to remove the DNHW as submitted, comments shall be placed on the AIMS DI37, DT08 10, and DT08 50 screens and Central Office Movement notified of the decision.
- 1.7.5 Unsuccessful Mediation - If mediation is unsuccessful, the inmate received shall be placed in Detention. Central Office Movement shall be notified via email by the receiving unit.
 - 1.7.5.1 The inmate shall be placed in detention pending movement back to the unit of origin.
 - 1.7.5.2 The receiving unit shall place comments to this effect on the AIMS DT08 10 comment screen for both inmates. For example: 5/15/08: Face to face mediation unsuccessful, inmate (inmate and number) to be returned to originating unit. EVCJ/CC.
 - 1.7.5.3 The receiving unit shall notify the sending unit that inmate (name and ADC Number) is pending return to their unit based on the unsuccessful mediation.
- 1.8 The Administrator shall submit a memo to the PCA including all source documentation used to establish the DNHW entry. The lack of or insufficient source documentation does not preclude the application of sound correctional practice as a rationale to continue a previously added DNHW. In this instance the rationale shall be documented on an Information Report reflecting the decision and signed by the Deputy Warden or Administrator.
- 1.9 The transfer of an inmate to the AIMS DI37 NR screen, documentation shall consist of:
 - 1.9.1 A detailed explanation on the reason(s) or circumstance(s) that required the inmate to be listed on the DNHW screen.

- 1.9.2 An explanation why the inmates are not currently, nor should be considered, a risk to each other in the future.
- 1.10 All instances where inmates are involved in assaults, fights or threats must be evaluated for the possible need for a DNHW addition.
- 1.11 The PCU staff shall have the responsibility of adding or transferring inmates to the appropriate AIMS DI37 screen based upon the documentation provided by the Deputy Warden and final approval of the PCA.
- 1.12 The AIMS DI37 – DNHW screen shall be used:
 - 1.12.1 To identify those inmates who have been verified as having legitimate housing issues and therefore cannot be housed together.
 - 1.12.2 For those inmates who are currently listed on the DNHW screen and, through investigations, have been determined to pose no current housing issue.
 - 1.12.3 As a historical record for those inmates who were previously annotated on the DNHW screen but are believed to no longer present a threat to the inmate.
- 1.13 Verified deceased inmates will be transferred to the AIMS DI37 NR screen.

IMPLEMENTATION

The Division Director for Offender Operations shall:

- In coordination with the Staff Development and Training Administrator, ensure the initial and in-service training is conducted as follows:
 - Includes the provisions of this Department Order.
 - Emphasizes professionalism in dealing with Protective Custody cases.
 - Instructs all correctional staff on how the process works (clear guidelines as what they should do), how they can positively impact protection related scenarios, and to make decisions based on sound correctional judgment.
 - Includes information on statutes and agency policies regulating the release of official information.
 - Is provided to all Wardens, Deputy Wardens, Administrators, Investigations staff, Classification staff, and to any other Department employees directly involved in the Protective Custody process, or in supervising or managing inmates requiring protection.
- Ensure inmates receive an orientation upon entering the Department that familiarizes them with the basic protections and procedures instituted and available under this Department Order.

The Inspector General shall ensure the appropriate content from the Implementation of this Department Order is reviewed as part of the Department's regular inspection program as outlined in Department Order #606, Internal Inspections Program.

DEFINITIONS

ASSAULT – Refer to Department Order #803, Inmate Discipline Procedure.

INITIAL PROTECTIVE CUSTODY REVIEW – The review of an inmate to determine his/her need for Protective Custody.

PROTECTIVE CUSTODY ADMINISTRATOR – The position in central office established to oversee the Protective Custody process statewide and having the authority to make final Protective Custody decisions.

PROTECTIVE CUSTODY COMMITTEE - A committee of central office staff, comprised a Chairperson (PCA) and at least two committee members (STG Investigator or designee, and an Offender Services CO IV) responsible for making final Protective Custody decisions for those cases referred by the PCA.

PROTECTIVE CUSTODY UNIT - Central office staff responsible for reviewing Protective Custody cases and making recommendations to the PCA regarding inmates' existing need for protection.

REINCARCERATED INMATE – A newly received inmate who was previously incarcerated in the Department and was approved or pending review for Protective Custody during the most recent incarceration.

{Original Signature on File}

Charles L. Ryan
Director

ATTACHMENT

Attachment A, ADC Protective Custody Initiation and Investigation Flowchart

Attachment B, File Format for Protective Custody Files

FORMS LISTING

805-1, Protective Custody Inmate Statement

805-2, Unit Administrator Protective Custody Review

805-3, Protective Custody Placement Review Request

805-4, Protective Custody Security Initial Interview

805-5, Protective Custody Interview Assessment

805-6, Protective Custody CO IV/SSU Investigative Summary Report

805-7, Protective Custody Decision Worksheet

805-8, Protective Custody Security Threat Group Debriefed Placement

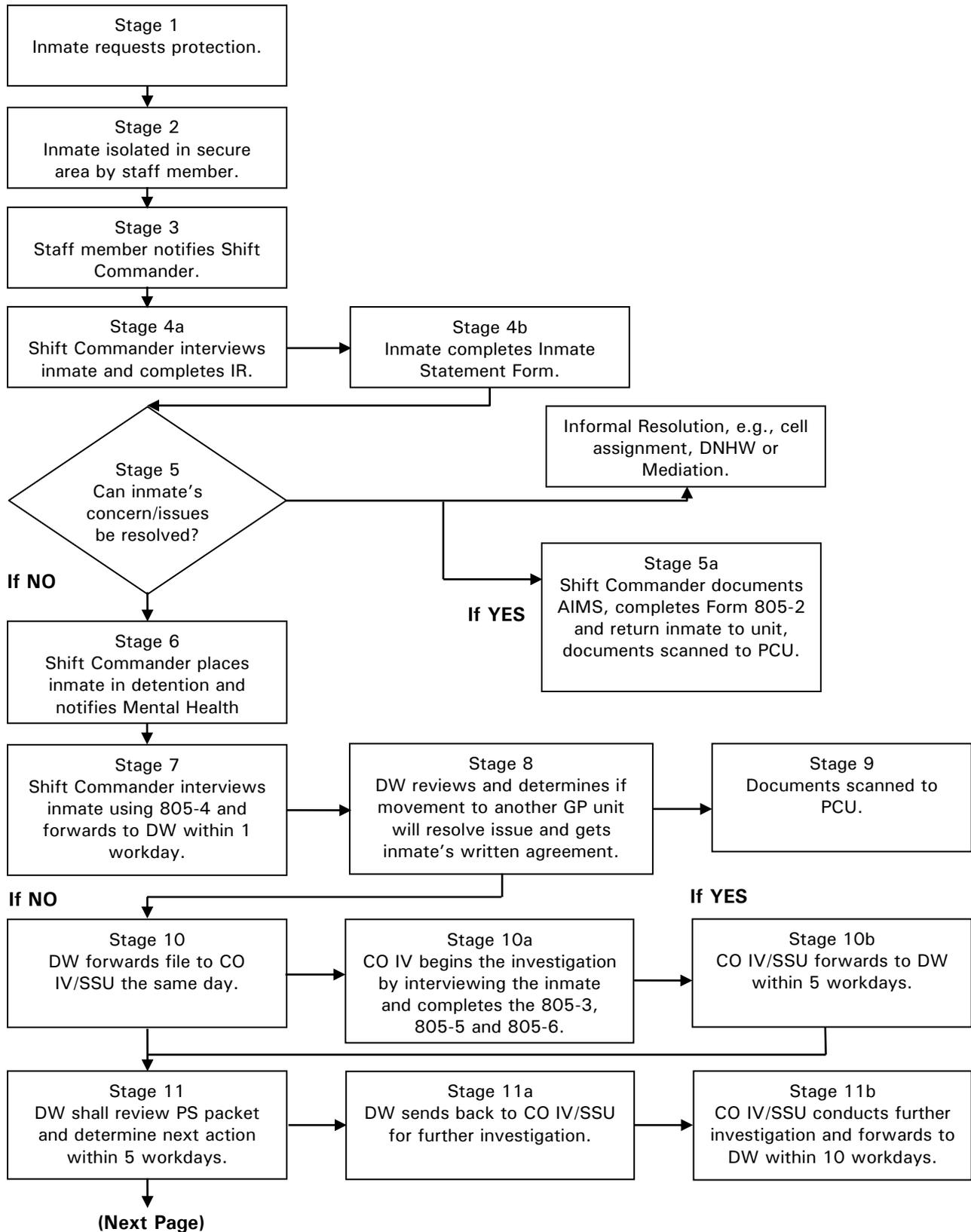
805-9A, Protective Custody Tracking Form - A

805-9B, Protective Custody Tracking Form – B

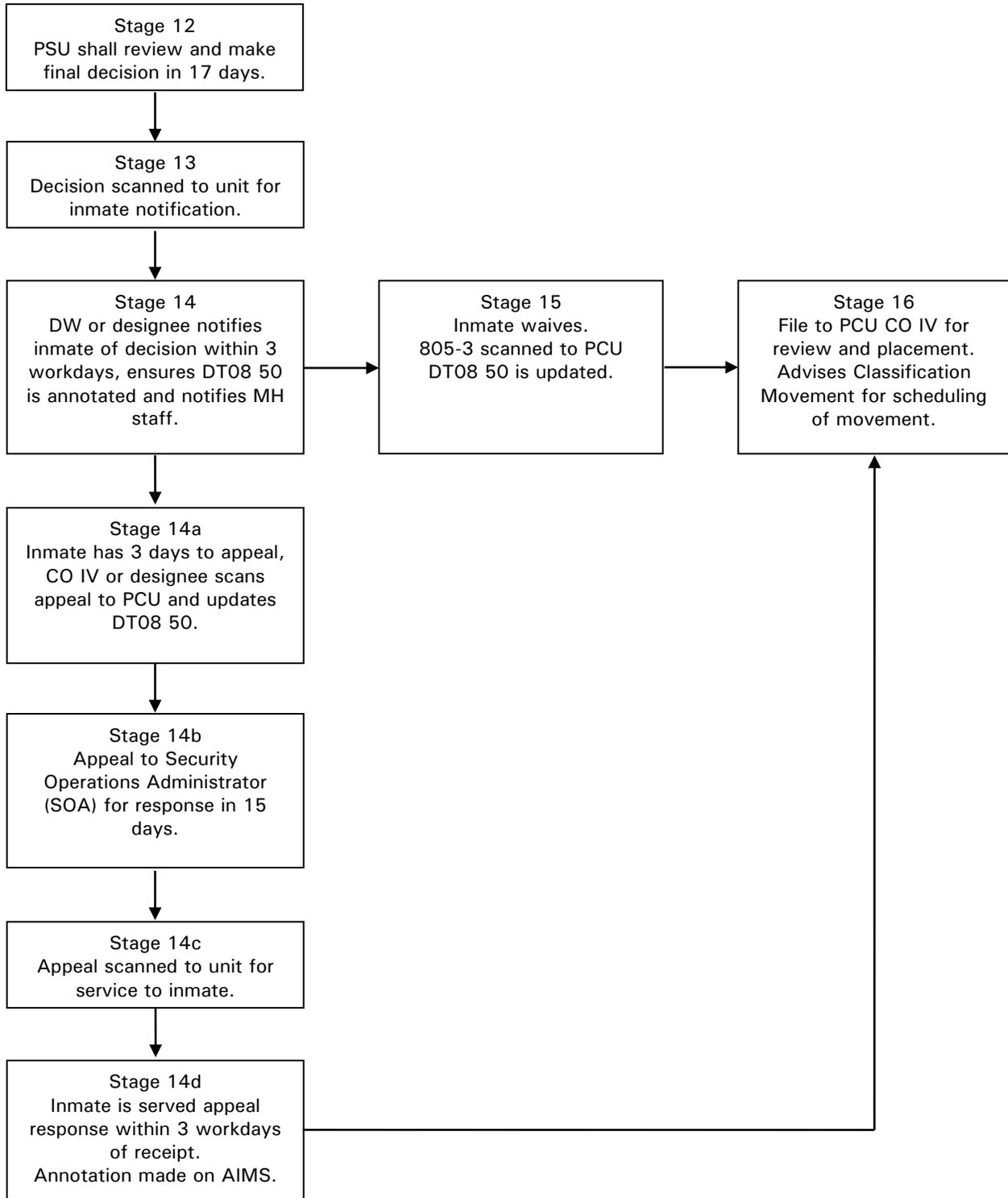
805-10, Voluntary Protective Custody Removal Review

805-11, Administrative Protective Custody Removal Review

ADC PROTECTIVE CUSTODY INITIATION AND INVESTIGATION FLOWCHART



ADC PROTECTIVE CUSTODY DECISION AND APPEAL FLOWCHART



FILE FORMAT

PROTECTIVE CUSTODY FILES

LEFT SIDE

Protective Custody Tracking Form-A, Form 805-9A
Protective Custody CO IV/SSU Investigative Summary Report, Form 805-6
Unit Administrator Protective Custody Review, Form 805-2
Protective Custody Security Threat Group Debrief Placement, Form 805-8 (if applicable)

RIGHT SIDE

Protective Custody Review Request, Form 805-3
Protective Custody Decision Worksheet, Form 805-7
Protective Custody Tracking Form-B, Form 805-9B
Do Not House With memorandum
Protective Custody Inmate Statement, Form 805-1
Protective Custody Security Initial Interview, Form 805-4
Protective Custody Interview Assessment, Form 805-5
Information Report(s), Form 105-2
Supporting Documentation/Photo's
Assignment to Investigative Detention / Form No. 2A, 803-7