

CHAPTER: 800

Inmate Management

DEPARTMENT ORDER:

**811 – Individual Inmate Assessments and
Reviews**

**OFFICE OF PRIMARY
RESPONSIBILITY:**

**OPS
IP&R
IG**

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ACCESS

Contains Restricted Section(s)

Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

A handwritten signature in black ink, appearing to read "David Shinn", is written over a horizontal line.

David Shinn, Director

TABLE OF CONTENTS

| | |
|--|----------|
| EXPECTED PRACTICES..... | 1 |
| PURPOSE..... | 1 |
| PROCEDURES..... | 1 |
| 1.0 ASSESSMENT AND REVIEW - TYPES..... | 1 |
| 2.0 ASSESSMENT AND REVIEW – DESCRIPTIONS AND REQUIREMENTS | 2 |
| 3.0 CORRECTIONS PLAN – OVERVIEW..... | 6 |
| 4.0 CORRECTIONS PLAN – ELEMENT..... | 7 |
| 5.0 CORRECTIONS PLAN – PROCESS..... | 8 |
| DEFINITIONS/GLOSSARY..... | 9 |
| FORMS LIST..... | 9 |

EXPECTED PRACTICES

American Correctional Association (ACA) Expected Practices: 5-ACI-3D-10, 5-ACI-5A-02, 5-ACI-5B-03, and 5-ACI-5B-09

PURPOSE

This Department Order establishes the assessments and reviews required to be conducted by specified staff to identify rehabilitative activities and treatment opportunities for the inmate to participate in during their term of incarceration. The Inmate Corrections Plan is designed to provide the inmate an individualized “program road map” to ensure inmates choose to intentionally engage in positive activities focused on personal growth and change to the greatest extent possible which will lead to successful reentry. {5-ACI-5A-02} *[Revision – April 1, 2022]*

PROCEDURES

1.0 ASSESSMENT AND REVIEW - TYPES

1.1 The inmate shall receive a variety of assessments and/or reviews during the reception process at intake or at the permanent facility to include, but not limited to:

1.1.1 Reception Center Intake

1.1.1.1 Substance Abuse Screening

1.1.1.2 Academic Education Testing

1.1.1.3 Criminal Thinking Testing

1.1.1.4 Criminal History Review, including legal aspects of the case

1.1.1.5 Escape History Review

1.1.1.6 Offense Circumstances Synopsis

1.1.1.7 Prison Rape Elimination Act (PREA) Screening

1.1.1.8 Medical, Dental, and Mental Health

1.1.1.9 Psychological Evaluation

1.1.1.10 Social History

1.1.1.11 Recreational preference and needs

1.1.1.12 Pre-institutional assessment information

1.1.1.13 Recommendations from staff

1.1.1.14 Orientation

1.1.2 Permanent Facility

1.1.2.1 Employment and Work Skill History

- 1.1.2.2 Criminal History Review
- 1.1.2.3 Criminal Thinking Testing
- 1.1.2.4 Escape History Reviews
- 1.1.2.5 Life Planning Review
- 1.1.2.6 Corrections Plan review and interview with inmate
- 1.1.2.7 PREA Screening
- 1.1.2.8 Other assessments or reviews as required
- 1.1.2.9 Orientation

2.0 ASSESSMENT AND REVIEW – DESCRIPTIONS AND REQUIREMENTS

- 2.1 Substance Abuse Screening – Education staff shall administer a Substance Abuse screening on all inmates during the reception process, utilizing the approved instrument available on the automated Testing Center.
- 2.2 Academic Education Testing – Reception Center Intake Education staff shall administer to all inmates, with the exception of Criminal Aliens, an Academic Education screening utilizing the approved automated instrument.
- 2.3 Criminal Thinking Testing – Education staff shall conduct a Criminal Thinking test on all inmates during the reception process, utilizing the approved instrument available on the automated Testing Center.
 - 2.3.1 Additionally, inmates assigned to the Cognitive Restructuring self-improvement program shall receive a Criminal Thinking test at the time of enrollment and then at the conclusion of the program. The Correctional Officer (CO) III shall update the score-sheets in the automated application.
- 2.4 Criminal History Review – A CO III shall review the Pre-sentence Investigation Report (PSI) and/or criminal history to determine the inmate’s criminal history record and document key information on the Arizona Correctional Information System (ACIS) Arrest and Escape History screen, as outlined in the Inmate Classification Technical Manual.
- 2.5 Escape History Review – A CO III shall review the Pre-Sentence Investigation Reports (PSI) and/or criminal history to determine the inmate’s escape history record and document key information on the ACIS Arrest and Escape History screen, as outlined in the Inmate Classification Technical Manual.
- 2.6 Employment and Work Skill History Reviews – A CO III shall obtain the employment and work skill history from reviewing the PSI, inmate, or other reliable sources. This information shall be documented on the ACIS Inmate Employment History screen during the orientation period at the first permanent facility following receipt from reception and prior to the inmate’s initial Corrections Plan.

- 2.6.1 The employment and work history information shall be reviewed and updated, as applicable, during subsequent Corrections Plan reviews.
- 2.7 Corrections Plan Reviews – The CO III shall conduct an in person interview with the inmate. The Corrections Plan review shall be conducted whenever the inmate is received at a new unit, and no less than annually.
- 2.8 Life Planning Reviews – The CO III shall conduct an in person interview with the inmate and document the information on ACIS.
- 2.9 Offense Synopsis – The CO III shall document the circumstances of all current offenses in ACIS for each inmate during the reception process.
- 2.10 PREA Risk Assessment Screening – The PREA Risk Assessment Screening shall be comprised of an approved automated PREA questionnaire and other documented information. Education staff at Reception Center Intake shall administer a PREA questionnaire to all inmates within three workdays of being received. However, a questionnaire may be conducted by an individual interview in a private area in lieu of the Testing Center questionnaire, as needed. Inmates may not be disciplined for refusing to answer, or for not disclosing complete information in response to questions asked in accordance with 2.10.1.1, 2.10.1.7, 2.10.1.8 and 2.10.1.9 of this section.
 - 2.10.1 The PREA Risk Assessment Screening shall consider the following criteria to assess inmates for risk of sexual victimization:
 - 2.10.1.1 Whether the inmate has a mental, physical, or developmental disability
 - 2.10.1.2 The age and physical build of the inmate
 - 2.10.1.3 Whether the inmate has previously been incarcerated
 - 2.10.1.4 Whether the inmate’s criminal history is exclusively nonviolent
 - 2.10.1.5 Whether the inmate has prior convictions for sex offenses against an adult or child
 - 2.10.1.6 Whether the inmate is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming
 - 2.10.1.7 Whether the inmate has previously experienced sexual victimization
 - 2.10.1.8 The inmate’s own perception of vulnerability
 - 2.10.1.9 Whether the inmate is detained solely for civil immigration purposes
 - 2.10.2 The PREA Risk Assessment Screening shall consider prior acts of sexual abuse, prior convictions for violent offenses, and history of prior institutional violence or sexual abuse, as known to the Department, in assessing inmates for risk of being sexually abusive.

- 2.10.3 Inmates shall, within 30 calendar days from their transfer from the intake facility, be reassessed for risk of victimization or abusiveness based upon any additional relevant information the facility received since the Reception Center Intake Screening.
 - 2.10.3.1 Additionally, an inmate's risk level shall be reassessed when warranted due to a referral, request, incident of sexual abuse, or receipt of additional information that bears on the inmate's risk of sexual victimization or abusiveness.
- 2.10.4 Staff shall exercise appropriate discretion on the dissemination within the facility of responses to questions asked in accordance with this Department Order, in order to ensure sensitive information is not exploited to the inmate's detriment by staff or other inmates.
- 2.10.5 Use of Screening Instrument {5-ACI-3D-10}
 - 2.10.5.1 If the screening instrument indicates an inmate has a high risk of being sexually victimized or being sexually abusive, the Special Review team shall, within one workday, conduct a follow-up interview. The Special Review team shall consist of the following staff:
 - 2.10.5.1.1 The CO IV, Captain, Associate Deputy Warden, Deputy Warden, or Warden
 - 2.10.5.1.2 A permanent facility CO III (preferably the inmate's assigned CO III) – Reception Center Intake CO III participation is not required.
 - 2.10.5.2 The Special Review team shall first determine if the inmate is a high risk of being sexually victimized and/or being sexually abusive. If the inmate is determined to be a high risk for either, the Special Review team shall make individualized determinations about how to ensure the safety of each inmate by using information from the interview and the screening instrument to inform housing, bed, work, education, and program assignments with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive.
 - 2.10.5.2.1 In deciding whether to assign a transgender or intersex inmate to a facility for male or female inmates, and in making other housing and programming assignments the Department shall consider on a case by case basis whether a placement would ensure the inmate's health and safety, and whether the placement would present management or security problems.
 - 2.10.5.2.2 Placement and programming assignments for each transgender or intersex inmate shall be reassessed at least twice each year to review any threats to safety experienced by the inmate.

- 2.10.5.2.3 A transgender or intersex inmate's own views with respect to his or her own safety shall be given serious consideration.
- 2.10.5.2.4 Lesbian, gay, bisexual, transgender, or intersex inmates shall not be placed in dedicated facilities, units, or wings solely on the basis of such identification or status, unless such placement is established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting such inmates.
- 2.10.5.2.5 Transgender and intersex inmates shall be given the opportunity to shower separately from other inmates. Accommodations made shall not interfere with access to programs, privileges, education, and work opportunities to the extent possible. ***[Revision – April 1, 2022]***
- 2.10.5.3 The Unit Deputy Warden shall, within one workday, review the Special Review team recommendations and approve, modify, or request further information of the Special Review team.
 - 2.10.5.3.1 The Offender Services Bureau Administrator or designee shall be the final authority for those cases the Deputy Warden approves as High Risk and shall complete such reviews within one workday following the Deputy Warden's review.
- 2.10.6 Protection Against Retaliation
 - 2.10.6.1 An inmate retaliation hotline shall be accessible to all inmates through the Inmate Telephone System, as outlined in Department Order #814, Inmate Ombudsman Office. ***[Revision – April 1, 2022]***
 - 2.10.6.2 For a minimum of 90 calendar days following a report of sexual abuse, the assigned CO III or CO IV shall monitor the conduct and treatment of inmates or staff who reported the sexual abuse and of inmates who were reported to have suffered sexual abuse. If there are changes that suggest possible retaliation by inmates or staff, the assigned CO III or CO IV shall act promptly to remedy any such retaliation. The assigned CO III or CO IV shall monitor:
 - 2.10.6.2.1 Inmate disciplinary reports.
 - 2.10.6.2.2 Housing or program changes.
 - 2.10.6.2.3 Negative performance reviews or reassignments of staff.
 - 2.10.6.3 Monitoring shall continue beyond 90 calendar days if the initial monitoring indicates a continuing need. In the case of inmates, such monitoring shall also include periodic status checks.

2.10.6.4 A Deputy Warden shall review all assigned CO III or CO IV recommendations and approve, modify, or request further information.

3.0 CORRECTIONS PLAN – OVERVIEW

- 3.1 The Inmate Corrections Plan is the inmate’s individual “program road map.” It is determined by calculating the inmate’s relative risk (5 levels of risk) to recidivate and the inmate’s need level for each program area (5 levels of need), resulting in an intervention level (5 levels) for each program area. This results in a prioritized, objective, individual plan for the inmate. The CO III may then modify this plan based on the unit’s available programs, security issues, and other significant factors. {5-ACI-5B-03}
- 3.2 The Corrections Plan is discussed with the inmate and a written copy of the results shall be provided to the inmate. The inmate’s individual Corrections Plan is initially established at the first facility the inmate is transferred to after completing the reception and intake process. The Corrections Plan is then reviewed and updated periodically to reinforce pro-social behavior and continue the re-entry preparation process. {5-ACI-5B-03}
- 3.2.1 The Corrections Plan needs is individualized and reflects the priorities unrelated to other inmates’ priorities. The Priority Ranking Report is used to make actual program placement decisions by prioritizing those inmates with the greatest need and the greatest likelihood to recidivate.
- 3.3 The CO III shall conduct Corrections Plan interviews with inmates and document the results on the screens provided in ACIS as follows:
- 3.3.1 Within ten calendar days upon being received from a different facility, including receipt from a Reception Center Intake facility.
- 3.3.2 At least every 12 months from the month of the last completed Corrections Plan (e.g., inmate last Plan was completed on June 1, 2020, the next Plan must be completed during the month of June 2021 – any day during that month), a Corrections Plan is conducted to review all matters affecting the inmate’s status, including custody. {5-ACI-5B-06} **[Revision – April 1, 2022: Sections 3.3.2 thru 3.3.2.1.3.1]**
- 3.3.2.1 The CO III shall deliver a Notice of Conducting a Corrections Plan Hearing, Form 811-1, to the inmate at least 48 hours prior to conducting a Corrections Plan interview. {5-ACI-5B-08}
- 3.3.2.1.1 Read the purpose to the inmate, complete the date and time delivered, and sign and print his/her name.
- 3.3.2.1.2 The inmate’s signature shall be obtained or a staff member shall witness if the inmate refuses to sign.
- 3.3.2.1.3 The original form shall be returned to the CO III/Case Manager, who will then document the conducting of the Corrections Plan interview with the inmate in attendance.

3.3.2.1.3.1 The completed form shall be uploaded into the ACIS documents Corrections Plan section.

3.3.3 Within seven calendar days from the date the inmate is identified as being less than seven months from his/her earliest release date, even if the last Plan was completed less than twelve months ago.

3.3.4 Inmates in detention or other restricted status (e.g., Mental Health Watch) are still due Corrections Plan interviews. Inmates receiving an annual or discharge review must receive their Corrections Plan interview by the last day of the month in which it is scheduled, even if that requires interviews to take place in the detention or restricted area. *[Revision – April 1, 2022]*

3.3.4.1 Such situations necessarily affect the program planning elements and the CO III shall note the circumstances and limitations affected due to the inmate's current detention/restricted status in the ACIS comments section of the Corrections Plan.

3.3.5 Inmates who are temporarily transferred to another jurisdiction (out to court, etc.) shall not have their Corrections Plan conducted in absentia. The Corrections Plan may not be conducted until the inmate is returned to the Department and personally interviewed. *[Revision – April 1, 2022]*

3.4 The Corrections Plan shall provide the basis for making individual placement (work and programs) decisions regarding the inmate. The goal is to provide the inmate the opportunity to earn a High School Equivalency (HSE) and receive needed treatment and self-improvement programs while keeping the inmate productively engaged throughout the day. The Priority Ranking Report provides the tool to prioritize the filling of work and program vacancies. {5-ACI-5B-03}

3.5 The Unit CO IV shall ensure mandatory self-improvement programs sufficient to meet the needs of the inmate population are provided by CO IIIs. Additionally, as resources allow after meeting mandatory self-improvement needs, elective self-improvement programs shall be offered to ensure inmates are engaged in positive activities to the greatest extent possible. {5-ACI-5B-03}

4.0 CORRECTIONS PLAN – ELEMENT {5-ACI-5B-09}

4.1 The Corrections Plan shall include the following:

4.1.1 The inmate's risk and intervention levels, as determined by objective criteria, for various program factors including, but not limited to:

4.1.1.1 Academic and Career and Technical Education

4.1.1.2 Substance Abuse Education and Treatment

4.1.1.3 Sex Offender Education and Treatment

4.1.1.4 Work Skills Development and Self-Improvement Programs

- 4.1.2 The inmate’s individual major and self-improvement program priorities and the inmate’s status regarding those priorities.
- 4.1.3 The inmate’s major program, self-improvement, and other needs based on objective criteria, in accordance with 4.1.1.1 through 4.1.1.4 of this section.
- 4.1.4 The specific plan objectives to meet the inmate’s needs as determined in the CO III interview with the inmate.
- 4.1.5 An inventory of and recommendations for the inmate’s participation in other self-improvement programs (e.g., leisure, family re-unification, and community betterment activities) may be documented; however, they are not required.
- 4.1.6 Comments related to the inmate’s questions, comments, and behavior during the interview.
- 4.1.7 The inmate’s proposed release residence plan.
- 4.1.8 Key information related to preparing the inmate for release to include, but not limited to:
 - 4.1.8.1 Driver License status
 - 4.1.8.2 Arizona State Identification needs status
 - 4.1.8.3 Social Security Number needs status
 - 4.1.8.4 Birth Certificate needs status

5.0 CORRECTIONS PLAN – PROCESS {5-ACI-5B-09}

- 5.1 The Corrections Plan schedule may be viewed on the applicable ACIS screen to determine those inmates needing interviews to be conducted to complete the Corrections Plan.
 - 5.1.1 Inmates who want to review their progress and program status prior to the annual review may submit a request to their assigned CO III. {5-ACI-5B-09} ***[Revision – April 1, 2022]***
- 5.2 The CO III shall prepare for the interview by viewing any previous completed Corrections Plans to assess the inmate’s compliance in meeting his or her Plan.
 - 5.2.1 For those inmates received from Reception Center Intake, a Warrant Check shall be run by the ACJIS Operator and the CO III shall determine if any detainers exist.
 - 5.2.2 Do Not House with Reviews (DNHW) shall be conducted at the annual reviews, in accordance with the Department Order #801, Inmate Classification and the Inmate Classification Technical Manual.
- 5.3 The Corrections Plan requires the inmate be interviewed in order to complete the action. Normally, the CO III assigned as the inmate’s Corrections Plan Manager shall conduct the interview. There is no substitute for an interview, except for inmates in the following status:
 - 5.3.1 Maximum Custody – The Maximum Custody review process provides a reasonable alternative for the Corrections Plan review. ***[Revision – April 1, 2022]***

- 5.4 The applicable ACIS screens are updated to reflect the Corrections Plan interview results.
- 5.4.1 The CO III/Case Manager conducting the Corrections Plan interview shall ensure, at a minimum, that the following actions are completed and documented in the ACIS Staff Analysis section of the Corrections Plan: ***[Revision – April 1, 2022: Sections 5.4.1 thru 5.4.1.3]***
- 5.4.1.1 The inmate is present for the Corrections Plan interview and comments are entered specifying this.
- 5.4.1.2 The inmate’s custody status is reviewed with the inmate and comments are entered specifying this.
- 5.4.1.3 Comments documenting any significant behavior by the inmate or concerns or insight the CO III/Case Manager may have that would benefit future reviews of the inmate’s status and progress.
- 5.5 The inmate shall be provided with a written notice of the Corrections Plan results, including programming and behavioral expectations for the inmate during the next review period.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms for the following:

- Bisexual
- Corrections Plan
- Gay
- Gender Nonconforming
- Intersex
- Report System
- Transgender

FORMS LIST *[Revision – April 1, 2022]*

811-1, Notice of Conducting a Corrections Plan Hearing