

CHAPTER: 800

Inmate Management

DEPARTMENT ORDER:

**811 – Individual Inmate Assessments and
Reviews**

**OFFICE OF PRIMARY
RESPONSIBILITY:**

**OPS
EPCR
OIG**

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Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

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

Ryan Thornell, Director

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PURPOSE

This Department Order establishes the assessments and reviews required to be conducted by specified staff to identify rehabilitative activities and treatment opportunities for inmates 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 the inmate intentionally engages in positive activities focused on personal growth and change, which will lead to successful reentry.

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 Substance Abuse Assessment
- 1.1.2.2 Employment and Work Skill History
- 1.1.2.3 Criminal History Review
- 1.1.2.4 Criminal Thinking Testing
- 1.1.2.5 Escape History Reviews

- 1.1.2.6 Life Planning Review
- 1.1.2.7 Corrections Plan review and interview with inmate
- 1.1.2.8 PREA Screening
- 1.1.2.9 Other assessments or reviews as required
- 1.1.2.10 Orientation

2.0 ASSESSMENT AND REVIEW – DESCRIPTIONS AND REQUIREMENTS

- 2.1 Substance Abuse Screening – Education staff shall facilitate 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 (PSI) Report 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 PSI Report 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 Report, 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.
 - 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 PREA Screening Instrument
- 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 Recommendations for housing and programming assignments are determined by a multidisciplinary committee, in accordance with procedures in Department Order #810, Management of LGBTI Inmates.
- 2.10.5.2.3 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.
- 2.10.5.2.4 A transgender or intersex inmate's own views with respect to his or her own safety shall be given serious consideration.

- 2.10.5.2.5 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.
- 2.10.5.2.6 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.
- 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 Calculation, Records and Population Management Administrator or designee shall be the final authority for those cases the Deputy Warden approves as High Risk for victimization and shall complete such reviews within one workday following the Deputy Warden’s review.

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.
- 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 reentry preparation process.
 - 3.2.1 The Corrections Plan is individualized and reflects the priorities unrelated to other inmates’ priorities.
- 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 10 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, 2023, the next Plan must be completed during the month of June 2024 – any day during that month), a Corrections Plan is conducted to review all matters affecting the inmate’s status, including custody.

- 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.
 - 3.3.2.1.1 Read the purpose to the inmate, complete the date and time delivered, and sign and print their 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 their 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.
 - 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 is not to be conducted until the inmate is returned to the Department and personally interviewed.
- 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.
- 3.5 The Unit CO IV shall ensure programs and services sufficient to meet the needs of the inmate population are provided by CO IIIs.

4.0 CORRECTIONS PLAN – CONTENT

- 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.
- 4.1.4 The specific plan objectives to address 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) should 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 and action steps being taken
 - 4.1.8.2 Arizona State Identification needs status and action steps being taken
 - 4.1.8.3 Social Security Number needs status and action steps being taken
 - 4.1.8.4 Birth Certificate needs status and action steps being taken

5.0 CORRECTIONS PLAN – PROCESS

- 5.1 Staff shall use 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.
- 5.2 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 using the Arizona Criminal Justice Information System (ACJIS) Operator and the CO III shall determine if any detainees 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 an interview of the inmate 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.
- 5.3.1 The CO III shall initiate a Corrections Plan review in ACIS, and print out two copies to discuss with the inmate.
- 5.3.1.1 Upon completion of the interview, the inmate shall be provided with one of the copies. The inmate shall sign the other copy. If the inmate refuses to sign, two staff members shall sign the document and annotate the inmate refused to sign.
- 5.3.1.2 The signed copy shall be uploaded in ACIS Documents type “Corrections Plan-Signed.”
- 5.4 The applicable ACIS screens shall be 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:
- 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.
- 5.4.1.4 Comments documenting the inmate progress in achieving the Corrections Plan to this point.
- 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.

6.0 RESTRICTIVE HOUSING CASE PLAN – OVERVIEW

- 6.1 The Restrictive Housing Case Plan (RHCP) is designed by a Multi-disciplinary Program Team (MDPT) and the inmate. The plan outlines the goals, tasks and time frames for completion for the inmate to successfully navigate Maximum Custody, Detention Housing and the Restrictive Status Housing Program (RSHP).
- 6.1.1 In conjunction with the monthly step review, pursuant to Department Order #812, Inmate Maximum Custody Management and Incentive System, inmates housed in Maximum Custody and the RSHP shall have an RHCP conducted within five calendar days of arrival. The inmate shall be present, with the MDPT, in an out of cell environment. Subsequent reviews will be conducted in the same manner monthly.
- 6.1.2 Inmates housed in detention shall have an RHCP conducted in the same fashion.

6.1.3 During the Case Plan review and interview process, a recommendation for reclassification and removal from the listed housing types in section 6.1 above, are permitted.

6.2 The RHCP will be created and discussed with the inmate and the MDPT. The plan will document the results of the meeting and a copy of the results shall be provided to the inmate.

6.2.1 The RHCP is highly individualized and reflects the needs of each inmate.

7.0 RESTRICTIVE HOUSING CASE PLAN – CONTENT

7.1 The RHCP shall provide a programming plan, behavioral expectations and actions needed, as well as associated time frames, for an inmate to progress in their steps in Maximum Custody and RSHP, gain more privileges, and to lower their classification level. The RHCP for inmates housed in detention shall provide behavioral actions needed, as well as associated time frames, to address the placing behavior and ascertain an appropriate, permanent housing environment.

7.2 The RHCP for inmates housed in detention and Maximum Custody, shall provide a programming plan to address the behavior or issues that resulted in the placement. The plan shall consider and include:

7.2.1 Specific goals, program enrollments, and associated tasks. Each goal will have a completion time frame listed.

7.2.1.1 Goals will correspond with the behavior that initiated placement. For each behavior type, a mandatory goal has been identified. This goal is required to be completed by the inmate and must be included in the Case Plan. Each inmate will be responsible for a minimum of 3 goals, to include the mandatory, but more are allowed when deemed appropriate by the MDPT.

7.2.2 Expected behaviors while housed in Maximum Custody, RSHP or detention.

7.2.3 The state of the inmate's mental health.

7.2.4 The extent to which the inmates behavior, measured against the plan, reasonably justifies the need to maintain, increase, or decrease the level of controls and restrictions in place.

7.2.5 Full classification review when appropriate.

7.2.6 The inmate's own comments, thoughts and questions regarding the plan.

7.2.7 Staff comments related to the inmate's questions, and behavior during the interview.

7.2.8 Detailed documentation that sufficiently shows the basis for any decisions made in the evaluation; including increasing, decreasing or maintaining privileges.

8.0 RESTRICTIVE HOUSING CASE PLAN – PROCESS

8.1 Within three calendar days of the inmate's arrival, the CO III shall prepare for initial MDPT planning session by first completing the Initial Case Plan Interview, Form 812-2, with the inmate, explaining the "Stages of Change" and having the inmate complete the University of Rhode Island Change Assessment (URICA). These results will be present for the MDPT review outlined in sections 6.1.1 and 6.1.2.

- 8.2 The MDPT, the CO III assigned as the inmate’s Case Plan Manager, and the inmate shall attend the initial and all future RHCP sessions. The session is required to be completed out of the cell and there is no substitute for a session.
- 8.2.1 The MDPT and the inmate shall meet and discuss the implementation of the RHCP. Collectively, goals and time frames shall be chosen. Chosen goals should coincide with the placement behavior, consider the URICA and the inmate’s current behavior and perspective.
- 8.2.1.1 Upon completion of the planning session, two copies of the Case Plan shall be printed. The inmate shall be provided with a copy of the Case Plan and shall sign the other copy. If the inmate refuses to sign, two staff members shall sign the document and annotate the inmate refused to sign.
- 8.2.1.2 The signed copy shall be uploaded in ACIS Documents type “Corrections/ Case Plan-Signed.”
- 8.3 The form shall document and be updated to reflect the Case Plan interview results.
- 8.3.1 The CO III/Case Manager conducting the Case Plan interview shall ensure, at a minimum, that the following actions are completed and documented:
- 8.3.1.1 The inmate is present for the Case Plan interview and comments are entered specifying this.
- 8.3.1.2 The inmate’s custody status is reviewed with the inmate and comments are entered specifying this.
- 8.3.1.3 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.
- 8.3.1.4 Comments documenting the inmate progress in achieving the Case Plan to this point.
- 8.4 The Case Plan results shall also include 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

811-1, Notice of Conducting a Corrections Plan Hearing