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Adjustment Review	ACA Standards: 2-CO-4B-01, 2-CO-4B-03, 2-CO-4B-04, 4-4296, 4-4297, 4-4298, 4-4300, 4-4301, 4-4302, 4-4303, 4-4305, 4-4307, 4-4311, 4-4395, 4-4474, 4-ACRS-4C-21, 4-ACRS-5A-01, 4-ACRS-5A-02, ACRS-5A-03, 4-ACRS-5A-04, 4-ACRS-5A-05, 4-ACRS-6D-01, 4-ACRS-6D-02		
Robert Patton, Director Oklahoma Department of Corrections	Signature on File		

Adjustment Review

A periodic review is conducted to ensure all offenders are knowledgeable of their status in regard to classification, time calculation and program requirements. The facility head will ensure reviews are conducted so the offender understands the requirements for successful progression during incarceration and the necessary steps for successful reentry to the community.

For the purpose of this procedure, the term “offender” applies to anyone under the custody or care of a prison or community-based facility operated by or contracted with the Oklahoma Department of Corrections (DOC).

In order to ensure the requirements of this policy are met, each facility/unit is encouraged

to hold classification committees on a weekly basis. All classification actions documented and submitted to the Records Office on a weekly basis will ensure timely posting of changes which affect offender time calculations.

I. Initial Assessment of Needs

A. Assessment and Reception Center (4-4298)

An initial assessment of needs will be completed during each offender's assessment and reception process at the Lexington Assessment and Reception Center (LARC) or Mabel Bassett Assessment and Reception Center (MBARC). The offender's assigned case manager will complete a "Case Plan" ([OP-060102 \(M\) \(F\)](#), [Attachment B](#)). The initial assessment will be based on crime, length of sentence, physical health, mental health, and other approved assessment instruments. (4-ACRS-5A-02) The "Case Plan" will serve as a summary of the assessment and reception process and as referral information for re-assessment of offender progress and adjustment.

B. Case Plan

1. Initial Plan

- a. Based on the assessment instruments, assigned custody level, and feedback from the assessment staff, an initial plan to identify program needs will be developed by the assigned case manager through completion of the "Case Plan" ([OP-060102 \(M\) \(F\)](#), [Attachment B](#)).
- b. Up to three programmatic needs may be identified and the appropriate sequence determined for the offender to enter each program based on days remaining. Needs will be prioritized considering sentence length, custody level, court orders, community eligibility, etc.
- c. The original "Case Plan" will be placed in Section 4 of the field file with a copy provided to the offender. (4-4474)
- d. An offender sentenced to Death, Life without Parole, Life, a sentence length of 100 years or more, or an immigration detainer will not be required to have a "Case Plan" completed.

II. Facility Reviews

A. New Arrival Review (4-4297, 4-ACRS-5A-01)

A new arrival review will be conducted on each offender permanently assigned to a facility. Offenders transferred to a facility for disciplinary unit time, law library use, mediation hearings, medical appointments, or other

temporary assignments will not receive a new arrival review. The review will be conducted within ten working days of reception. (2-CO-4B-01, 4-ACRS-5A-03) The offender will be notified in advance of the review and will be present unless precluded for documented reason. (4-4302) The "Adjustment Review" form ([DOC 060203A](#), attached) will be completed.

The new arrival review will include:

1. The case manager will review the custody assessment to ensure that the points are accurate and the offender is placed at the correct level of security. (4-4296, 4-ACRS-5A-06)
2. The case manager will review the "Case Plan" and determine if the offender is making progress. Referrals to available programs will be completed at this time with eligible offenders.
3. Work referrals and facility job assignments will be made as appropriate.
4. The offender's assigned level will be reviewed and adjustments made as required.
5. A review of offender identification will be done.

Offenders must have two valid forms of identification, a certified copy of the Birth Certificate and social security card are preferred. Other recognized forms of identification include: a state issued identification card, state issued driver license, United States passport, military records (DD214), Certificate of Degree of Indian Blood (CDIB), or photo identification issued by an Oklahoma technology center school.

- a. It is the responsibility of the case manager to assist the offender in securing the appropriate identification. Birth Certificates must be applied for immediately following transfer from a reception center.
- b. Case managers will assist the offender in applying for a replacement social security card in accordance with the instructions listed in [Attachment B](#) entitled "Instructions for Obtaining Social Security Cards."
- c. Case managers will assist offenders in completing and submitting the "Vital Records Information Request for Birth Certificate" ([OP-090110](#), [Attachment E](#)).
- d. Offenders may have their driver's license, or other forms of identification listed above, mailed to the facility records office. Upon receipt, the records office will be responsible to forward a copy of the identification to the offender's assigned case

manager. The assigned case manager will be responsible to complete a case notes entry in OMS when the offender has obtained their identification.

- e. Copies of all forms of identification will be placed in section one of the field file in accordance with [OP-060212](#) entitled "Maintenance and Access of Offender Records," Section IV.
 1. The original driver's license, state issued identification card, certified copies of birth certificate, military record (DD214) or Certificate of Degree of Indian Blood (CDIB) card will be maintained in the legal file.
 2. Offenders assigned to work release status, as defined in [OP-090110](#) entitled "Work Release," will be allowed to maintain possession of their identification during job searches. Copies of the identification will be placed in the offender's field file. Should the offender be removed from work release status, all identification will be taken from the offender and returned to the legal file.
 - f. If the offender is deemed indigent, the case manager will initiate contact with the facility business office to follow the steps detailed in the "Offender Banking System User's Guide."
 - g. Offenders failing to request a certified copy of their birth certificate will be considered for a demotion in earned credit level, or issuance of an Offense Report, unless there is documentation that the offender is unable to obtain a birth certificate for a justifiable reason (e.g., born in another country, difficulty in receiving birth certificate from another state).
6. In accordance with [OP-090131](#) entitled "Offender Financial Responsibility Program," the "Offender Financial Responsibility Plan/Instructions" ([DOC 090131A](#)) will be completed utilizing the Judgment and Sentence, other court documents and any pertinent information subsequently received. (4-ACRS-6D-01, 4-ACRS-6D-02)
- a. The case manager will provide a copy to the trust fund officer, to the offender, and place a copy in the offender field file (Section 4).
 - b. At subsequent new arrival and adjustment reviews, the case manager will review the plan for modifications based on additional financial obligations placed on the offender during his/her incarceration or changes in the offender's ability to pay.

- c. Modification of the plan will require documentation of the change with copies distributed as outlined above.

B. Adjustment Review

1. The case manager will conduct an adjustment review on each offender at least every four months and when changes in an offender's status would prompt an immediate review. (4-4296, 4-4300, 4-ACRS-5A-01, 4-ACRS-5A-05)
2. An offender may request a progress or program status review by submitting an "Offender Request Form" ([DOC 090124E](#)) to their assigned case manager. (4-4303)
3. The purpose of the adjustment review is to formally review and evaluate the offender's adjustment, behavior, assigned level, and program participation since the last adjustment review. Reviews will inform the offender of his/her classification, system of incarceration level and ensure the offender is progressing towards a successful reentry into the community. (4-ACRS-5A-03)
 - a. The offender will be provided information regarding his/her progress and be allowed input toward future program/work goals.
 - b. The case manager will review the "Case Plan" and determine if the offender is making progress. Based upon the offender's performance, the availability of programs, work assignments and time left to serve; priorities may be changed with the approval of the facility head/district supervisor/designee.
 - (1) All revisions to the "Case Plan" must be based on an approved assessment instrument.
 - (2) The offender will be advised of any revisions to the "Case Plan" and provided a copy of all approved changes. This will be done utilizing the "Case Plan" ([OP-060102 \(M\) \(F\)](#), [Attachment B](#)) developed at reception.
 - (3) A transfer packet may be prepared if the offender cannot address his/her needs at the current facility. (4-ACRS-5A-04)
 - c. The offender's list of persons to contact in case of emergency will also be verified or updated on the "Adjustment Review" form. (4-4395, 4-ACRS-4C-21) A review of the offender's support system will be discussed when determining the person

to contact in case of an emergency. The offender will be given the opportunity to change the designee on their personal property disposition form.

- d. A review/change of an offender's assigned level will be made utilizing the "Adjustment Review" form ([DOC 060203A](#)) at the time the offender becomes eligible for promotion or is to be demoted.
 - e. A review/change of the offender's current custody assessment will be done as required.
 - (1) If the offender has experienced a change in security points that will not increase or decrease his/her custody assignment (e.g., a-1 for age) during the last 120 days, the change will be noted on the current custody assessment form and the points adjusted accordingly.
 - (2) If the change results in an increase or decrease in custody assignment, a new custody assessment will be completed in accordance with [OP-060103 \(M\) \(F\)](#) entitled "Custody Assessment Procedures."
 - (3) A new custody assessment must be completed on an annual basis.
 - f. The case manager will review the "Case Plan" for offenders identified as 17 years of age and younger that have been placed outside specialized units. Reviews will provide specific information regarding behaviors that need to be modified and make recommendations regarding return/placement to specialized units. (4-4307, 4-4309, 4-4311)
4. The "Intra-facility Assignment Form" ([DOC 060203B](#), attached) will be completed if a job change is recommended for the offender.
 5. The case manager's will ensure two valid forms of identification have been obtained, as outlined in Section II. of this procedure.

C. Documentation of New Arrival Review and Adjustment Review Results

The classification committee will conduct a thorough review of each need area and will fill out, in its entirety, the "Adjustment Review" form. This process will result in a continuing summary of respective facility efforts to address the offender's identified need areas.

1. The classification committee will consist of a minimum of three staff persons as defined by [OP-060103 \(F\) \(M\)](#) entitled "Custody

Assessment Procedures,” to include program staff as appropriate. (4-4297)

2. The offender will normally be present and receive copies of the completed “Adjustment Review” forms. This will serve as notification of needs areas and progress. (4-ACRS-5A-04)
3. Any new arrival review or adjustment review must be summarized in a case notes entry in OMS. Case note entry must also include reason for absence if the offender was not present during adjustment review.

D. Reassessment of Needs and Programs (4-4474, 4-ACRS-5A-01)

An offender’s progress toward meeting identified needs through programs will be reviewed at each adjustment review noted in the chronological record/case notes and approved by the unit manager or designee.

1. The revised “Case Plan” will be completed and placed in the offender’s field file along with approved instruments used to identify recommended revisions.
2. All entries on the reassessment of needs and programs will be recorded in the case notes section of OMS. The offender will receive a copy of the review forms. (4-ACRS-5A-04)

E. Appeals of Classification Committee Decisions (2-CO-4B-03, 4-4301)

Classification decisions may be appealed through a “Request to Staff” to committee staff or through the offender grievance procedure in accordance with [OP-090124](#) entitled “Offender Grievance Process.”

III. Program Needs (2-CO-4B-04, 4-4305, 4-ACRS-5A-02)

Case managers will consider scores from assessment instruments, security/custody level as well as sentence length in order to prioritize program needs. No more than three categories of needs will be identified at initial assessment, new arrival review or adjustment review. Identified and approved program revisions will be entered in OMS on the “Case Plan” screen by the assigned case manager.

Factors to be considered in facility placement may include the following:

A. Physical Health

If an offender has a serious disability that interferes with functioning and/or requires frequent medical care, these factors will be considered in terms of facility placement. For instance, not all facilities are wheelchair accessible.

B. Mental Health

All offenders will receive an initial mental health screening upon reception to identify those with serious mental illness and/or other mental health needs. The initial screening will be performed by a qualified mental health professional.

1. Mental health staff may make placement recommendations based upon the level of an offender's mental health need; an offender might be appropriate for placement in a mental health unit or a program for the developmentally disabled.
2. Offender placement may also be affected by the need for significant therapeutic interventions (e.g., suicide prevention, psychotropic medications, or specific housing needs).

C. Criminal Thinking (4-ACRS-5A-02)

1. Offenders with moderate risk score or above on an approved risk instrument will be screened for cognitive behavior treatment which addresses criminogenic thinking.
2. Projected enrollment for purposes of the "Case Plan" will be in the first available program opening upon transfer from an assessment and reception center.

D. Education/Employment

All offenders will complete a Test of Adult Basic Education (TABE) survey at the first facility following reception. Educational program needs will be identified for offenders scoring a grade of eight or below.

Projected enrollment for purposes of the "Case Plan" will be upon transfer from an assessment and reception center.

1. Offenders with a TABE total battery score less than 12.0 will be given a "Case Plan" need for education. If a High School Diploma or GED is claimed or verified, a "Case Plan" need for education will not be developed.
2. Eligibility for vocational training for offenders that are virtually unemployable due to lack of marketable skills will be determined by Career Technology staff. Projected enrollment will normally be within 18 months of discharge and in accordance with [OP-090133](#) entitled "Career and Technical Training."

E. Re-entry

1. Offenders eligible for community corrections in accordance with [OP-060204](#) entitled "Community Corrections Assessment" and/or [OP-090110](#) entitled "Work Release" will be considered to have a reentry need.
2. In accordance with 57 O.S. § 521, offenders who have 330 days or less remaining will be identified for a reentry need. Offenders with reentry and substance abuse treatment needs will normally be transferred to community corrections for assistance in transition to community treatment upon discharge.

F. Alcohol/Drug

1. Offenders with a moderate risk score or above and, with an ASUS Disruptive score of 21 or above, will receive a need for substance abuse treatment.
2. Offenders identified with a "Case Plan" need for substance abuse treatment will be targeted for enrollment into an approved program towards the end of their sentence. The offender should be within 120 days of community eligibility and/or halfway placement at the time of projected completion of the substance abuse program.

IV. Intra-Facility Assignment

A. Intra-Facility Assignment Decisions

Intra-facility assignment decisions will be the responsibility of each correctional facility. These assignments will be recorded on the "Intra-Facility Assignment" form ([DOC 060203B](#)). The intra-facility assignment procedure will not be used for classification decisions affecting the offender's security level, inter-facility transfer, or segregation housing placement.

1. (Revision-01 11/07/2014) This form may be used to document achievement credits, and for consideration of meritorious earned credits.
2. The "Intra-Facility Assignment Form" will be used for offender job assignments and changes.

B. Intra-Facility Assignment Form Completion

The "Intra-Facility Assignment Form" will be completed by the classification committee or a facility staff member designated by the facility head.

1. Housing and job assignments will be made in accordance with [OP-030102](#) entitled "Offender Housing" and [OP-030103](#) entitled "Offender Job and Program Assignments."

2. When an offender is transferred to a facility for a specific job placement, the intra-facility assignment procedure will ensure placement of the offender in accordance with transfer rationale.
3. The mental health staff at the facility will review recommendations for offenders for special programs such as Habilitation or Mental Health Unit (MHU) for appropriateness of placement. The correctional health services administrator may perform this review in the absence of psychological staff at the facility.
4. If the intra-facility assignment results from a classification action, (e.g., new arrival review, adjustment review, or unit team meeting) the committee chairperson and member(s) will sign where indicated.
5. If a staff person designated by the facility head completes the intra-facility assignment, the staff designee will sign where indicated and enter his/her title.
6. Intra-facility assignments which require review and approval by the warden, district supervisor, deputy warden, or assistant district supervisor will be accompanied by a thorough written justification in the section marked "comments."

C. Intra-Facility Program Waiting Lists

Intra-facility program waiting lists will be generated through OMS. Facilities will utilize this list to ensure that offenders are placed in programs as openings occur, based on the offender's needs and days remaining. Case managers will note in the comments section if the offender has parole stipulations, court orders or balance suspended upon completion of program.

D. Pre-Release Plan

A pre-release plan will be developed at least six months prior to the offender's projected release date in accordance with "Projected Release Date" chart ([Attachment A](#)).

1. The pre-release plan will be based on the individual offender and documented in the pre-release section of the "Adjustment Review."
2. The plan will address immediate basic needs upon release, aftercare referrals and/or primary treatment referral in accordance with [OP-060901](#) entitled "Pre-Release Planning and Reentry Process."

V. Facility Programs

Programs are categorized in accordance with [OP-090101](#) entitled "Standards for Offender Programs." The information will be updated by the chief administrator of

Program Services on an annual basis to ensure accurate information pertaining to programs is available.

VI. References

Policy Statement No. P-060100 entitled "Classification and Case Management of Offenders"

OP-030102 entitled "Offender Housing"

OP-030103 entitled "Offender Job and Program Assignments"

OP-060103 (M) (F) entitled "Custody Assessment Procedures"

OP-060204 entitled "Offender Transfers"

OP-060212 entitled "Maintenance and Access of Offender Records"

OP-060901 entitled "Pre-Release Planning and Reentry Process"

OP-090101 entitled "Standards for Offender Programs"

OP-090110 entitled "Work Release"

OP-090124 entitled "Offender Grievance Process"

OP-090131 entitled "Offender Financial Responsibility Program"

OP-090133 entitled "Career and Technical Training"

57 O.S. § 521

VII. Action

The appropriate division manager and the administrator of Classification and Population are responsible for compliance with this procedure.

The associate director of Field Operations is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the director.

This procedure is effective as indicated.

Replaced: Operations Memorandum No. OP-060203 entitled "Adjustment Review" dated July 19, 2013

Distribution: Policy and Operations Manual
Department Website

<u>Referenced Forms</u>	<u>Title</u>	<u>Location</u>
DOC 060203A	"Adjustment Review"	Attached
DOC 060203B	"Intra-Facility Assignment Form"	Attached
DOC 090131A	"Offender Financial Responsibility Plan/Instructions"	OP-090131

<u>Referenced Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment B	"Case Plan"	OP-060102(M) (F)
Attachment A	"Projected Release Date"	Attached
Attachment B	"Instructions for Obtaining Social Security Cards"	Attached
Attachment E	"Vital Records Information Request for Birth Certificate"	OP-090110

