

Exhibit 10



**Red Onion State Prison and Wallens Ridge State Prison
*Security Level –S and Level- 6 Operations Strategy***

***Restrictive Housing Reduction
Step-Down Program***

Guided by Evidence-Based Practices

"Partnering Science with Corrections"

August , 2015 [Update]



Red Onion State Prison



Wallens Ridge State Prison

Approval Signatures

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Introduction

Operations Strategy for the ROSP/WRSP Step-Down Program Based on Evidence-Based Guidelines

PROJECT GOALS

1. To operate a prison management system that creates a pathway for offenders to step-down from Level S to lower security levels in a way that maintains public, staff, and offender safety, by applying the principles of evidence-based practices to ROSP and WRSP operations.
2. To house Level S, Level 6 and Level 5 offenders at ROSP for two primary purposes:
 - a. To reduce staff stress by providing varied job assignment options
 - b. To maintain a Level 5 proving ground to determine when Level S offenders are ready to dependably function safely in a Level 5 environment.
3. To closely link ROSP and WRSP for the management and programming of Level S offenders, by housing a portion of Level S, Special Management offenders from ROSP at WRSP. Reducing the numbers of ROSP Level S offenders creates room for Level 5 offenders at ROSP. Linking WRSP with ROSP augments the system by taking advantage of the already successfully established EBP practices at WRSP in turn creating stronger environments at both institutions that are evidence based driven.
4. To infuse evaluation into the operation design by setting observable and measurable standards as a means to ensure fidelity; and to infuse research into the plan as a means of assessing outcome effectiveness. Evaluation and research together will support the executive staff in determining areas of strength and areas of adjustment.

EVIDENCE BASED PRINCIPLES

Guidelines for this strategy to continue to meet the established goals and mission for ROSP in concert with WRSP are drawn from the science of Evidence-Based Practices. It is important to understand the point of view derived from the science to be able to properly put the operational changes in perspective. Therefore, at the end of this document is an appendix that outlines the principles that are used to guide the thinking and planning for this project.

CHANGING THE CULTURE OF ROSP

To accomplish the goals of this project requires effecting and fostering a continued change in the culture of ROSP by addressing each of the three primary components that make up the prison culture which are:

1. Staff beliefs, attitudes, skills, and practices;
2. Facility resources and operating procedures; and
3. Offender thinking (beliefs, values, goals, attitudes) and behavior

This will be accomplished by using evidence-based principles and programming to engage and promote pro-social behaviors in offenders as a cultural group including their social influences and lifestyle, changes in the facility operating procedures, and an extensive staff training program.

Section I: Facility Operations

OPERATIONAL MANAGEMENT STRATEGY, SECURITY LEVEL S

Level-S offenders will be managed per Special Housing Guidelines policy 861.3 which includes all practices set out in this policy for the secure management of Level S offenders.

SYSTEMS COMPONENTS

LEVELS OF REVIEW

Bi-Annual External Team Review

A team external to ROSP and WRSP will perform bi-annual reviews of each offender's case assigned to ROSP and WRSP in Level S. The review will include, but not be limited to, the following areas:

- Is the offender currently appropriately assigned to Level S?
- Does the offender meet the criteria for the Intensive Management or Special Management path to which they are assigned?
- Has the Dual Treatment Team made appropriate decisions to advance the offender through the step-down process?

The External Review Team will consist of the following members:

- Chief of Corrections Operations
- Regional Operations Chief
- Regional Administrator
- Chief of Classification
- Reentry and Programs Director
- Chief of Security Operations
- Statewide EBP Manager
- Director of Mental Health Services
- Director of Psychiatric Services
- Chief Physician

Regional Operations Chief, External Review

The Regional Operations Chief/Regional Administrator will provide an external review in the following situations:

1. In advance of offender movement from any facility to ROSP for placement in Level S; the Regional Operations Chief must approve the transfer of any offender to ROSP and assignment to Level S.

2. In advance of any change in offender classification level including
 - a. Reassignment from any lower classification to Level S
 - b. Reassignment from Level S to Level 6; the Regional Operations Chief or designee will review cases in which the two Wardens do not agree.
 - c. Reassignment from Level 6 to Level 5

Wardens Review

Wardens are responsible for the following decisions:

- For reassignment from Level S to Level 6, decisions will be made by the Warden of ROSP or WRSP depending on where the Level S offender is located.
- For reassignment from Level 6 to Level 5, the recommendation will be made by the Warden of ROSP with an External Review by the Regional Operations Chief/Regional Administrator.
- For Level-5 transfers from ROSP to WRSP, the decision will be made by consensus of the ROSP and WRSP Wardens. If consensus cannot be reached, the decision will be referred to the Regional Operations Chief.

Dual Treatment Team Review

The Dual Treatment Team refers to a team headed by both EBP Managers and representing both ROSP and WRSP. Representatives from both ROSP and WRSP will make up the DTT to include, but not limited to, the following individuals or their designees:

- Chief of Housing and Programs
- IPM / Cognitive Counselor
- Unit Manager
- Investigator / Intelligence Officer
- QMHP
-
- Counselor (s) – (Counselors directly involved in the management of the offenders being reviewed should be utilized.)
- Corrections Officer - (When possible, line staff members directly involved with the management of the offenders being reviewed should be involved.)
- Statewide EBP Manager

The Dual Treatment Team is responsible to review individual offenders and make certain recommendations. Recommendations by the Team are reached through dialogue and consensus. Decisions will not be made by a voting majority. The team is responsible to consider a variety of options when necessary until a recommendation is reached which all

members can support. If there is difficulty reaching consensus, then the team should default to the safer options. Decisions are the responsibility of the Wardens and Regional Operations Chief. The Dual Treatment Team is responsible for the following reviews and recommendations:

- Advise the Regional Operations Chief and Warden if the team believes an offender may not meet the criteria for Level 5 (The Dual Treatment Team is authorized to make contact with the staff from any sending facility to gather background information.)
- Assignment of Level 5 Intake/Orientation offenders at ROSP to IM or SM status
- Assigning IM offenders from Level 5 to Level 6 Closed Pod
- Assigning SM1 or SM2 offenders that have completed Intake/Orientation from ROSP to WRSP
- Assigning offenders from SM2 to Level 6 at either ROSP or WRSP; and transfer of newly assigned Level 6 offenders from WRSP to ROSP
- Assigning offenders from Level 6 to Level 5 at ROSP; for ROSP Level 6 offenders that have been moved to Level 5 an interim review will be done at 12 months to determine if the offender has stabilized at Level 5 and is therefore eligible for transfer to WRSP or Sussex 1. If the DTT deems that stabilization has occurred, recommendation for transfer will occur upon their next scheduled annual review; subsequent reviews will be annual. ROSP Level 5 offenders will be prioritized for transfer to WRSP based on their seniority in Level 5 status. Level 5 offenders that have been assigned to Level 5 Restrictive Housing will start their seniority calculation as of the latest date of release from Level 5 Restrictive Housing.
-
- To ensure offender assignment has been complete including criminogenic risk factors and medical/mental health factors.

The work of the Dual Treatment Team requires not only an understanding of the criteria for the different offender sub-groups, but also the use of judgment especially when making recommendations regarding IM offenders and level of danger. Therefore, the Dual Treatment Team will meet at least quarterly to dialogue on scenarios as a means to strengthen their evaluation of high risk offenders and review offenders that are being recommended to be considered for a status change. This committee may meet more often as circumstances require. Factors the Dual Treatment Team should review would include:

- € identifying possible offender motivators and triggers,
- € investigating not only institutional adjustment history but the history of street behavior and crimes,
- € considering offender intent in addition to the results of their actions,

- € review and interpretation of assessment results (COMPAS, CTS, URICA, etc.)
- € all as a way of helping to determine the offender's potential for high risk behavior.

Building Management Committee

The Building Management Committee refers to a grouping of individuals directly involved in the operations of a specific unit at ROSP and WRSP. These committees will be convened at least monthly to discuss offender statuses and unit incentives and sanctions. This grouping will be made up of but not limited to the following individuals:

- Chief of Housing and Programs
- Unit Manager
- Counselor
- Unit Security Supervisors
- Security Line Staff

The Building Management Committee is responsible to review individual offenders and make certain recommendations. Recommended by the team will be made through dialogue and consensus. Decisions will not be made by a voting majority. The team is responsible for considering a variety of options when necessary until a recommendation is reached which all members can support. If there is difficulty reaching consensus, then the team should default to the safer options. Decisions are the responsibility of the Chief of Housing and Programs. The Building Management Committee is responsible for the following reviews and recommendations:

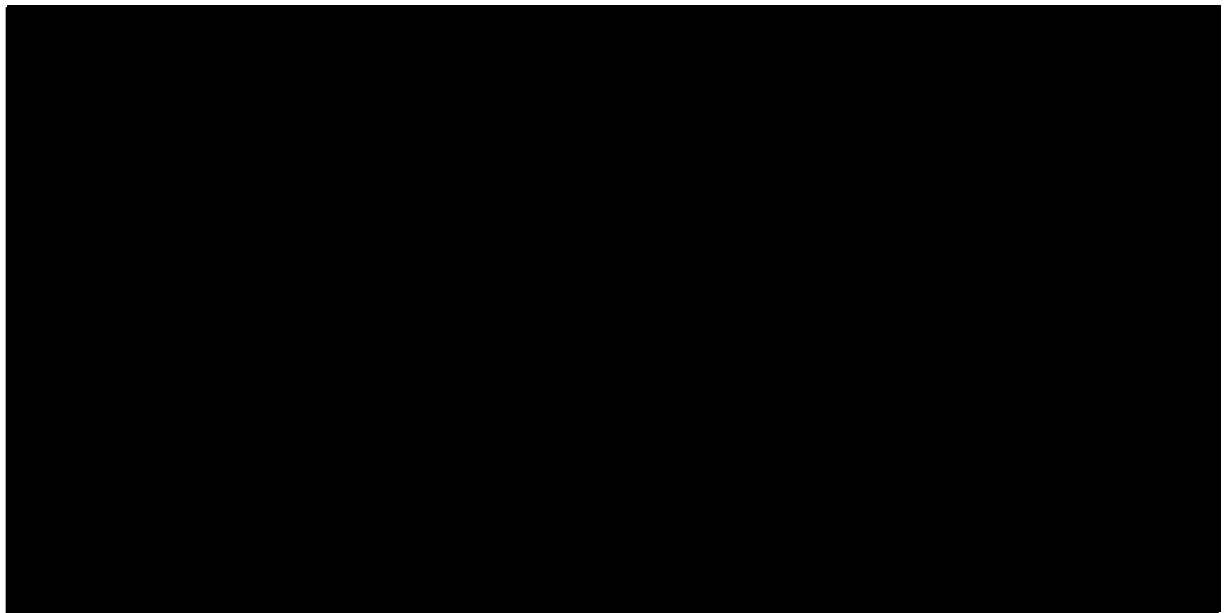
- Assigning offenders to SM0, SM1, and SM2
- Assigning offenders to IM0, IM1, and IM2.
- Assigning offenders to return to earlier levels due to excessive disciplinary behavior or unsatisfactory performance.
- Discussing and preparing recommendations to be presented to the Dual Treatment Team.
- Discussing and adjusting individual pod incentives and sanctions based on behavior, infractions, incidents, etc.
- Reviewing individual offenders upon being removed from security restraints prior to being returned to normal status.

Institution Classification Authority (ICA)

Each Level S 6 offender will be reviewed at a minimum of every 90 days by the ICA, or more frequently as necessary, to ensure the reclassification of Level S and offenders is consistent with policy.

ADVANCED SECURITY PRACTICES

As part of this initiative, a number of advanced security measures, beyond required procedures, are being instituted to enhance officer safety to include, but not limited to, the following:



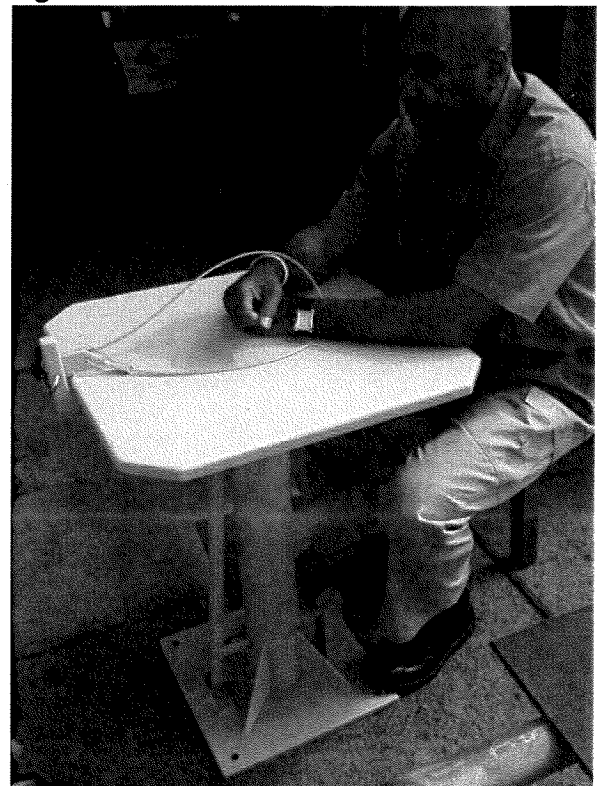
- Therapeutic Modules (Figure 1) and Security Chairs (Figure 2) will be used to allow Level S offenders to come out of cell for individual interviews or to join small groups (of up to 5 offenders) facilitated by a Counselor. This increases the effectiveness of programming while ensuring safety for both staff and other offenders.

Figure 1



Therapeutic Modules

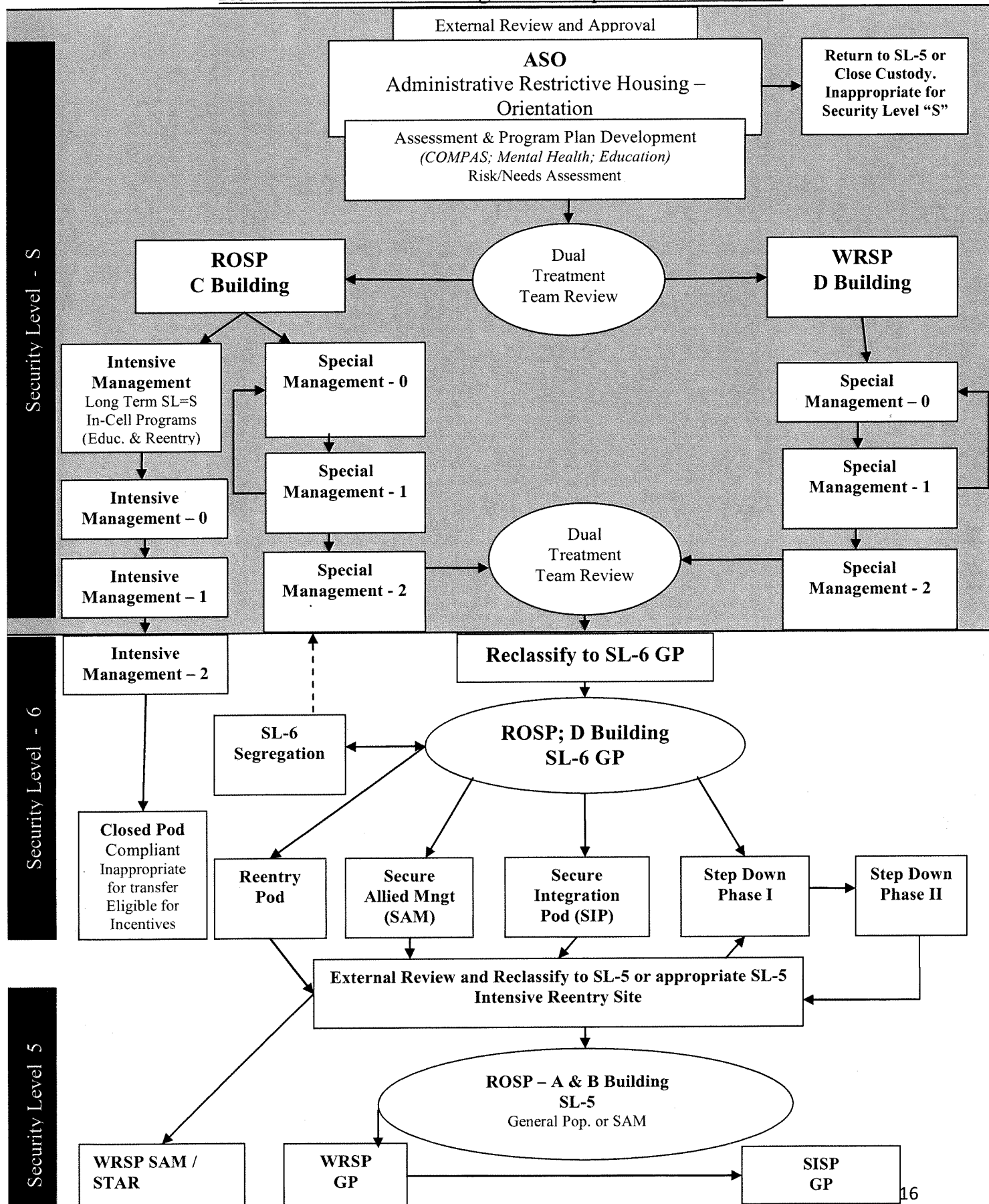
Figure 2



Security Chair

Section II: Offender Interventions

Red Onion – Wallens Ridge EBP Step-Down Model (v9)



Intake/Orientation at ROSP

All Level S offenders arriving at ROSP will be initially housed in the Intake/Orientation Unit and managed per Security Level S restraints and restrictions. Immediately upon arrival, offenders will be provided an orientation to the case plan including goals, expectations, privilege earning process, and step-down process. A primary goal of the immediate orientation is to begin a positive rapport, motivate offenders to want to participate in the assessment process and step-down program, and outline the expectations and benefits the offender can anticipate.

Several primary functions will occur during Intake/Orientation:

- Orientation
- Assessment
- Sub-Group identification;
 - Potential for extreme and deadly violence;
 - High escape risk;
 - High profile crimes that received significant media attention;
 - Frequently recurring disciplinary violations;
 - Intentionally commit disciplinary violations with the goal of remaining in Restrictive Housing; and
 - Mental status of offenders who have a history of acting out (e.g. cutting, inserting objects, etc.) and who are not considered mentally ill as per the current DSM criteria.
 - Found to have been in possession of a weapon on their person while housed at ROSP.
- Management path assignment
 - Intensive Management,
 - Special Management
- Case Plan development and program assignment. (This will begin in the Orientation Pod and continue to be developed and fostered throughout the assigned pathway.
- Privilege status assignment
- Determine the SM1 & SM2 offenders to retain at ROSP and those to be transferred to WRSP

Programming will begin during the offender's stay in the Intake/Orientation unit.

By the completion of the Intake/Orientation process, offenders will be: 1) assigned to one of the two management paths of either Intensive Management (IM) or Special Management (SM), and 2) assigned to a privilege level depending on whether they have committed to participate in the step-down program or refused to participate (IM 0, 1, or 2; SM 0, 1, or 2).

Screening and Assessment (during Intake/Orientation)

Each Security Level S offender will complete a battery of assessment instruments during Intake/Orientation to include the following below. Counselors will engage offenders in a review of the findings from the assessment instruments and use Effective Communication skills to

- 1) Build rapport,
- 2) Validate the offender's profile including risks and needs,
- 3) Engage the offender in developing a program and management plan, and
- 4) Help improve the offender's motivation to participate in the Step-Down program.

The initial battery of assessments will be used to establish a baseline for each offender. Assessments will be repeated at mid-point and completion of each major program curriculum (the Challenge Series, Thinking for a Change, and other possible curricula) to measure change.

COMPAS – The findings from the COMPAS will be used to reach the following goals:

Program Planning – support development of Program/Management Path plans based on identified risks and needs.

Criminal Thinking Scales (CTS) – introduced at intake to create a baseline of criminogenic thinking and repeated at intervals to measure change in criminal thinking

- ✓ Entitlement
- ✓ Justification
- ✓ Power Orientation
- ✓ Cold Heartedness
- ✓ Criminal Rationalization
- ✓ Personal Irresponsibility

URICA – to identify Stage of Change (repeated at intervals to be determined)

STATIC-99 – to identify sex offender concerns

TCU Criminogenic Scales

Social Functioning Scales (SOC)

Hostility

Risk-Taking

Social Support

Treatment Needs and Motivation Scales (MOT)

Problem Recognition

Desire for Help

Treatment Readiness

Treatment Needs

Pressures for Treatment

Treatment Engagement and Process Scales (ENG)

Treatment Participation
Treatment Satisfaction
Counseling Rapport
Peer Support

Psychological Functioning Scales (PSY)

Depression
Anxiety
Self-Esteem

Decision Making

Other COMPAS Screeners to be considered but not required initially

TCU Drug Screening
NIJ Mental Health Screening
VASOC (sex offender recidivism)

STEP-DOWN PROGRAM PARTICIPATION AS A CHOICE

Prior to completing the Intake/Orientation process, offenders will be assigned to a management path and will be presented the option to participate in the step-down program or not.

Those who do not choose to participate will be assigned to IM 0 or SM0 which are non-privilege statuses where offenders merely serve their time. These offenders are provided with their basic requirements that meet constitutional standards such as, but not limited to, medical care, access to a law library, hygiene items, access to phones, in-cell education and religious programs, recreation, showers, and meals.

Offenders who, during Intake/Orientation, choose to participate in the step-down program, or who have previously refused but later request to participate, can begin the process to earn increasing privileges and eligibility for classification reduction and transfer to lower security level facilities. The goal is to motivate offenders to participate in the step-down program which includes three areas of commitment by the offender:

1. Disciplinary Violation goals – to reduce or eliminate disciplinary violations
2. Responsible behavior goals
 - personal hygiene
 - standing for count
 - cell compliance

- deportment; satisfactory rapport with staff and offenders
3. Program participation goals
- To participate in programs initially in-cell and eventually moving to Therapeutic Modules, Program Chairs, and finally to unrestrained during counseling and small group programming.

The disciplinary violation goals are designed to improve respect for authority, improved decision making, and replace impulsivity with forward thinking. The responsible behavior goals are designed to develop a routine pattern of responsible and mature behavior. The program participation goals are to involve offenders in evidence-based programs that are proven to have a positive impact on offender thinking, beliefs, and attitudes which, in turn, support and reinforce responsible and mature behavior.

PROGRAMMING at Level S

Following completion of orientation, assessment and case planning, and security Level S subgroup assignment, both IM and SM offenders who commit to participate in the step-down program will be directed to begin participating in programming based on the case plan. For all Level S offenders, programming will begin in-cell. However, more effective programming is possible with increased counselor and offender direct contact and in groups of peers facilitated by counselors or other treatment staff.

Curriculum

The basic program to be used with Level S offenders will be the *Challenge Series* which includes seven journals designed to be used for in-cell programming. The Federal Bureau of Prisons in collaboration with the *Change Companies* developed this series specifically for offenders in Restrictive Housing. The Journals include the following:

- Journal 1 – Orientation: a motivational enhancement program designed to increase the level of motivation and engagement by the offender in the remaining series.
- Journal 2 – Rational Thinking: a fundamental cognitive-behavioral training program.
- Journal 3 – Criminal Lifestyles: provides insight into the thinking and attitudes that trap offenders in a lifestyle of crime; introduces the idea that lifestyles can change.
- Journal 4 – Violence Prevention: building on the cognitive-behavioral training as a base, this journal increases awareness of what leads up to violence and teaches and practices techniques to intervene.
- Journal 5 – Communication: introduces positive communication techniques.
- Journal 6 – Lifestyle Balance: introduces that a healthy lifestyle has a balance of work, relationships, and leisure time.

Journal 7 – Transition: prepares the offender to leave a Restrictive Housing setting and return to interacting more with other offenders.

Program Delivery: In-Cell, Therapeutic Modules, Program Chairs, Small Groups

For IM offenders, in-cell programming will continue until the offender's pattern of programming and motivation are better understood, and counselor to offender rapport has had time to be established. Dialogue will be ongoing to determine at what point IM Level 6 Closed Pod, Level 1 might be implemented and when the appropriate programming tools are utilized. These factors can be used to help determine a safe time to begin moving the offender from their cell to Therapeutic Modules to the Security Chairs for programming. Program Chairs will be used with offenders during Level 1 in the SL6 Closed Pod. At Level 2 in the SL6 Closed pod, programming can be expanded to include small groups. Each offender should be assessed to determine their individual readiness and level of safety as they progress to increasing levels of freedom in greater contact with others during programming.

For SM offenders, programming is recommended to be limited to in-cell for SM0. At SM1 programming can expand to include Therapeutic Modules. Program Chairs can be added at SM2. When SM offenders advance to Level 6 for the SIP, SAM, and Step-Down pods, programming can be expanded to include unrestrained small groups. Each offender should be assessed to determine their individual readiness and level of safety as they progress to increasing levels of freedom in greater contact with others during programming.

IM Management Path	IM Program Delivery	SM Management Path	SM Program Delivery
IM0	In-Cell	SM0	In-Cell
IM1	In-Cell Therapeutic Modules	SM1	In-Cell Therapeutic Modules
IM2	In-Cell Therapeutic Modules Program Chairs	SM2	In-Cell Therapeutic Modules Program Chairs
SL6 IM Closed Pod Level 1	In-Cell Program Chairs	SL6 SIP and SAM,	Program Chairs Small Groups
SL6 IM Closed Pod Level 2	In-Cell Program Chairs	SL6 Step Down Phase 1 and Phase 2	Small Groups
SL6 IM - Re-Entry	Program Chairs (Currently in Development)	SL6 SM - Re-Entry	Program Chairs

Level S/Level 6 Reentry Program

(see APPENDIX H: ROSP Level S/Level 6 Reentry Program, Comprehensive Success-based Reentry)

Narrative

A number of offenders are released to the community from Level S each year. It is the goal of the department that no Level S offender be released directly from Restrictive Housing without the opportunity for reentry preparation. A number of Level S offenders may pose a risk, especially those offenders meeting IM criteria. However, the department considers it unconscionable that a Level S offender might be considered too dangerous for unrestrained contact with others in prison, yet they would be released directly from Restrictive Housing onto an unsuspecting citizenry in the community. Therefore, given that this population may pose a risk, the department's position is that the facility is in the best position to bear that risk. The department has a professional responsibility to work to effectively reduce the offender's danger to the community and the risk of reoffending, and improve the likelihood of reentry success. To ensure that a strong and effective reentry program for Level S, Level 6, and Level 5 populations exists, coordination will be maintained with the Reentry Department and other external stakeholders.

A Level S/Level 6 Reentry Program has been developed at ROSP to address many of the identified risks and prepare the offender for return to the community. The reentry program includes an accelerated level of programming and appropriate social interactions between the offender, staff, and other offenders as part of a broader reentry strategy to prepare them for return to the outside community. Attention to reentry will begin at five (5) years prior to release. This will allow ample time to develop a success-based reentry plan, for a GED to be attained, to complete vocational training, and to build a sufficient savings account. At two-years prior to release Level S and Level 6 offenders will be diverted into the Level S/Level 6 Reentry Program from whatever point they may be in the Level S step-down program. Also to assist in reentry efforts at lower level facilities, offenders who are within 9 months of release to the community and are refusing reentry programming offered to them may be assigned to this program by following the existing procedures for assignment to ROSP from another facility.

Reentry Assessment

Each offender diverted into the reentry path should have their assessments reviewed or updated to include COMPAS assessments (risk/needs, CTS, and URICA) by the Unit Manager and the Building Management Committee. Additionally, a Psychological Self-Efficacy Evaluation may be completed which will help assess the offender's level of self-reliance, considered an important factor in their reliability to accomplish the multitude of tasks facing them at reentry. This Evaluation will be conducted by a QMHP and the results discussed with the Unit Manager and the Building Management Committee.

Upon completion of the assessment, the offender will be aligned with the appropriate programming. Some of the programs that are offered are:

- T4C (if already completed they may be exposed to refresher/reinforcement activities)
- PREPS
- Matrix
- Ready to Work
- ServSafe

Reentry Steps

Once assigned to the Reentry Program, an intensive battery of programming will be instituted that incorporates up-to-date evidence-based reentry programming and services as well as a component of socialization that includes unrestrained face-to-face interactions with staff and other offenders to be responsive to the possible extensive period of social Restrictive Housing. This program will be operated in a manner that maximizes the safety for both staff and offenders while maintaining a clear understanding that this population poses a risk.

The first six months of reentry programming will be delivered to the offenders in the Security Chairs. In the second six-months offenders may be advanced to unsecured direct contact with staff that will occur one to one. During this time, the offenders may advance to small groups for programming with other reentry offenders participating in the program. The assessment of the offender's readiness to advance will be determined by the Unit Manager and the Building Management Committee. Some factors to be considered are: the behavior patterns of the offender, the willingness of the offender to participate in programming and the offender's participation

Special security measures can be implemented when needed to include specialized movement, programming being delivered by specially trained treatment officers, having K-9 present in front of the housing unit or additional officers present within the Reentry Pod. The decision to adapt the security measures would be made by the Unit Manager and the Building Management Committee.

For the final six months of reentry, Level 6 offenders may be reduced to Level 5 and transferred to the Sussex I reentry program if their plan includes releasing to the north, south or eastern regions of the state, or into the WRSP Level 5 reentry program if they will be releasing to the western region.

Timeline	24 Months to Release	16 Months to Release	10 Months to Release	Prior to Release
Programming	<u>Step 1</u> Security Chair Programming	<u>Step 2</u> Socialization Unrestrained Programming (Individually) (Small Groups of Offenders)	<u>Step 3</u> Intensive Reentry	Direct communication on with Community Supervision Officer (in addition to CORIS)
Security; Accepting the Risk to Improve Public Safety	Dual Escort in restraints	Escort and Programming with Treatment Officers #1 Single Escort to Program Area #2 No Escort to Program Area Programming on Pod Floor	Reclassify to Level 5; transfer to WRSP or SISP Intensive Reentry Program	Counselor <u>DIRECT COMMUNICATION</u> with community supervision officer to advise progress or failure in Socialization. <u>Do not</u> make predictions regarding public safety

Security Level S, MANAGEMENT PATHS

By the completion of the Intake/Orientation phase, all Level S offenders will be assigned to a specific management path:

1. Intensive Management (IM)
2. Special Management (SM)

1) Intensive Management (IM):

Offenders in the following sub-groups will be managed in the Intensive Management path:

- Offenders with the potential for extreme and deadly violence

Intensive management strategies will be used for offenders that meet the following criteria:

- Offenders with a history that indicates the willingness to carry out intentional serious or deadly harm
- Street charges of murder or assault with the intent to kill.
- Institutional charges with the intent to seriously harm or kill staff or offenders.

Offenders with the potential **for extreme and/or deadly violence** may have an institutional adjustment history indicating the capability for extreme/deadly violence against staff or other offenders. This group most often would have an extensive criminal history and lifestyle that has escalated so that extreme/deadly violence has become a behavior characteristic. The potential for extreme or deadly violence is not eliminated despite the offender's daily institutional behavior that may be generally compliant with a pattern of positive institutional adjustment even when providing more than a year of compliant, polite, and cooperative behavior and attitude. Alternatively, this offender may present a routinely disruptive and threatening pattern of behavior and attitude.

This group is differentiated from other offender groups by behavior that would include the intent to commit extreme/deadly violence, while other offender groups might have been in fights but lack the desire or intent to seriously injure or kill.

Despite a pattern of compliance, this group is seen as posing the greatest threat to corrections staff and other offenders in that they have proven the capability and willingness to commit deadly violence whether their routine behavior may have been generally compliant for long periods of time, or whether they have made it known that their intention is to kill whenever the opportunity presents itself.

- Offenders with high escape risk -

Offenders with a history of serious and planned escape attempt(s). An unplanned walk-away or an attempt to evade arrest in the absence of extreme violence would not be considered for Intensive Management.

Offenders posing a high risk to attempt an escape may or may not have an extensive criminal history, and may or may not have a history of disciplinary charges. A serious escape attempt is seen as a high risk situation since there is a reasonable expectation that the person attempting to escape has considered and has prepared his self for the likelihood that serious or deadly violence may be needed to affect an escape.

- Offenders with high profile crimes and/or significant media attention and may be targets of other offenders -

Offenders sentenced to prison due to a high profile and notorious crime that most often involved serious violence may be at risk from other offenders that believe they will earn a reputation for assaulting or killing the high profile offender. This group is differentiated from other groups in that there may not be an extensive criminal lifestyle, the high-profile crime may seem inconsistent with their earlier lifestyle, and they are at risk from other offenders. This offender may be compliant and respectful towards corrections staff, and is considered in danger from other offenders due to their notoriety rather than posing a significant danger to others.

For offenders completing Intake/Orientation and assigned to the IM status, a program path has been designed to motivate offenders to participate in evidence-based self-improvement programming and meet basic responsible and mature behavioral goals (reduce or eliminate disciplinary charges, personal hygiene, cell compliance, standing for count, deportment, and program participation).

Programming initially will focus on the *Challenge Series Journals* (a seven journal series). This will be followed by Anger Management and *Thinking for a Change*, plus possibly selected programs from the Texas Christian University Brief Interventions Series. Other evidence-based programs may be incorporated as they are identified appropriate for this population.

Programming for IM offenders will initially be limited to in-cell and will advance to access Therapeutic Modules and Program Chairs. Therapeutic Modules and Program Chairs are valuable tools that can allow high risk offenders to participate in direct contact with individual and group counseling in a safe setting which provides a more intensive programming experience including direct dialogue with treatment staff as well as other offenders in a safe setting.

IM strategies will follow Special Housing Guidelines policy 861.3 until a dependable method is identified to determine reduced risk. SL-6 currently is the lowest security level for this dangerous population. The project will continue to work on developing safe strategies for reintegrating the IM offenders into general population.

Reducing Dangerousness for IM Status

Offenders with a history and proven capability for extreme or deadly violence will be managed through Security Level S, Intensive Management strategies. Despite a review of the literature and consultation with experts, no trustworthy instrument or set of criteria has been found as of this writing to predict with certainty the level of dangerousness towards staff or other offenders, by an offender that has exhibited the willingness and capability to perpetrate extreme or deadly violence. Ongoing consultation with VADOC research staff

and NorthPointe scientists is focusing on identifying predictors that correlate with the level of risk for violence. Therefore, in the interim, it has been decided that the safest strategy is to rely on the evidence-based principle that past behavior is one predictor of the likelihood of future behavior.

When Security Level S offenders are managed with Restrictive Housing restraint policies, their opportunity for violence is effectively curtailed. However, their potential for violence may not be reduced by even an extensive period in Restrictive Housing status. As well, even an extensive period without receiving institutional charges is not considered a trustworthy measure of safety from violent behavior. Therefore, good behavior while managed with Security Level S restraints has not been shown to be a reliable predictor for how dangerous offenders will behave once the restraints are removed.

Therefore, until a trustworthy method is developed, for the safety of staff and other offenders, those offenders that have met the criteria to be assigned to Security Level S, Intensive Management, may progress no further than Security Level 6, Closed Pod at this time.

A strategy will be employed to introduce interventions designed to change offender thinking, values, and decision making as a possible method for reducing the risk for danger; and couple this with a plan to slowly reduce Restrictive Housing restraints through a series of intermediate steps that limit the offender's opportunity to harm others. Security Level 6, Closed Pod provides a secure and controlled environment for testing this strategy.

2) Special Management (SM) (see APPENDIX G, Special Management) :

Offenders in the following sub-groups will be managed in the Special Management path:

Special management strategies will be used for offenders that meet the following criteria:

- Offenders with a history of fighting with staff or offenders or violent resistance towards a staff intervention, but without the intent to invoke serious harm or the intent to kill.
- Histories of patterns of repeated disruptive behavior at lower level facilities, resulting in harm to staff or offenders or serious damage to the facility, and where reasonable interventions at the lower security level have not been successful in eliminating the behavior, such as:
 - throwing or attempting to throw body waste
 - breaking sprinkler heads
 - flooding cell
 - fire starting
- Criteria that would not warrant Level S, SM status:
 - Verbal abuse,
 - door pounding,

- throwing food,
 - refusing to eat
 - refusing medical treatment
 - possession of a cell phone
- Offenders with frequently recurring disciplinary violations;
Offenders with frequently recurring disciplinary violations will have transferred from a lower security level facility for assaultive behavior, destruction of state property, or other serious and repeated disciplinary violations. Though this person may have had the intent to hurt a staff member or other offender, they do not meet the level of extreme or deadly violence that would warrant the need for Intensive Management. This group most often may have an extensive criminal history and criminal lifestyle, and show a pattern of disrespect for authority or others in general. This offender may generally be non-compliant, demanding, argumentative, and attempt to bully or intimidate corrections staff or offenders; which may escalate into a physical fight. And, the facility has shown reasonable attempts to manage and change this behavior that were not successful.
- Offenders that intentionally commit disciplinary violations with the goal of remaining in Restrictive Housing;
Offenders who intentionally commit disciplinary violations with the goal of remaining in Restrictive Housing will have a pattern of repeated disciplinary charges, non-violent and without intent to commit serious bodily harm. This group is differentiated from other groups in that their disruptive behavior does not generally include the attempt to physically assault or kill. Their disruptive behavior may generally be non-compliant, demanding, argumentative, and attempt to verbally bully or intimidate corrections staff or offenders; but does not generally escalate to physical violence. Instead, they resort to flooding their cells, breaking sprinkler heads, throwing body fluids, and other forms of non-violent behavior. This group of offenders may be motivated by disrespect for authority or by self-protection, and an expressed desire to remain segregated and refusal and fear of socializing with other offenders.

Offenders completing Intake/Orientation and assigned to the SM management path have the option to participate in the step-down program or refuse. Refusal leaves the offender in SM0 status with basic requirements, no privileges, and without consideration for security reduction. SM will allow certain self-improvement opportunities such as, but not limited to, in-cell education programming over closed circuit TV and religious programs.

Offenders who make a commitment to participate in the step-down program from Intake/Orientation will become eligible for SM1 after they prove their commitment to behavior and programming goals, and after achieving certain other goals while in SM0

status. While in SMO, offenders will complete the first of the *Challenge Series Journals* in Intake/Orientation and will advance to SM1 and SM2 where they will continue in the *Challenge Series Journals* 2-7.

Offenders who initially refused to participate who then change their mind and choose to participate remain in SMO status until they have completed the *Challenge Series Journals* 1 and 2, and Anger Management, and meet designated positive behavior standards. They then become eligible to advance to SM1 and on to SM2.

At each step of progress, from SM 1 to SM2 offenders earn added privileges.

At SMO offenders receive programming in-cell. At SM1, offenders receive programming in-cell and in the Therapeutic Module. At SM2, offenders can be provided programming in-cell, in Therapeutic Modules or Program Chairs.

Security Level 6, General Population

Following a successful period in IM or SM, offenders will be eligible for advancement and to step-down from Level 5 to their first introduction into general population at Level 6. The purpose of Level 6 is to reintroduce offenders into a social environment with other offenders and as a proving ground and preparation for stepping down to Level 5. At Level 6, offenders are assigned to an appropriate program pod based upon the common characteristics and motivations that resulted in the offender's assignment to Level 5 initially. The various program pods are designed to be responsive to the common goals for each sub-population: Secure Allied Management Pod (SAM), Secure Integrated Pod (SIP), or Step-Down Pod.

Level 6 Intensive Management (IM) Closed Pod (see APPENDIX F, Intensive Management)

Following a successful period in IM, offenders will be eligible for advancement and to step-down from Level 5 to their first introduction into general population at Level 6. The purpose of IM Level 6 is to create an opportunity for an increased quality of life for offenders possibly facing a long term in high security.

IM offenders in Level 6 will continue to be managed per Special Housing Guidelines policy 861.3 to include single celled housing, segregated recreation, and out of cell restraints. . Pod workers will wear a level of restraints deemed appropriate by the Unit Manager to maintain safety and security. Level 6, Phase 1 IM Offenders will have increased privileges over Level-S. Phase 1, IM offenders can earn eligibility for additional privileges to include:

- Limited in-pod job assignments, (meeting specific eligibility criteria)
- Programming in-cell and in secure chairs up to 5 offenders in a group
- Video visitation and extended in person visitation
- JP4 players available for purchase in commissary for audio books and music
- Productive activities such as a structured art program and creative writing with out of cell meetings in secure chairs
- Food Service Support projects out of cell at a secure work station.

Offenders who have advanced to Phase 2 of this program will have the opportunity to earn eligibility for additional privileges to include:

- Continued privileges outlined in Phase 1
- Contact visitation
- Extended Commissary spend limits

Restricted incentives, movements and interactions with staff and other offenders for the IM population are temporary. There is a strong commitment to develop a model to support an improved quality of life and greater opportunities for self-improvement for this dangerous population. The goal is to develop a management strategy that includes reduced restrictions, increased incentives, and increased unrestrained interactions with others. However, at the time of this writing, guidelines or models are not available for predicting safety with a population that has proven history of carrying out extreme and/or deadly violence. Once the larger Step-Down plan in general is implemented and stable, attention will be focused on additional IM step-down opportunities.

Level 6 Special Management; SAM, SIP, and Step Down Pods

SIP and SAM Pods: At initial startup of the Restrictive Housing Reduction Step-Down Plan, there was a Fast-Track Program for those initial offenders that were moved directly from Level S to Level 6 SIP and SAM pods. These programs have proven to be effective and will continue to be utilized however; the Fast Track program has been discontinued.

Secure Allied Management Pod (SAM)

The SAM pod is designed for offenders that tend to be easily bullied, manipulated, or taken advantage of by other offenders. A high percentage of these offenders may be mentally ill, developmentally disabled, or mentally retarded; or younger, small in stature, or meek and easily intimidated. In addition to being the victims of predatory offenders, this population may be bullied or manipulated by more predatory offenders to pressure them to participate in disciplinary behavior at the direction of the predatory offender.

Programming in the SAM pod will focus on stabilizing the offenders' mental status and increasing their resiliency to determine if they are appropriate for living in general population or if they should remain in a SAM environment. The SAM pod is designed to operate with a more intensive QMHP presence and Corrections Officers attuned to the special needs of this population. It is the responsibility of the QMHP(s) assigned to the SAM pod to identify appropriate programming, structured productive activities, and leisure time activities to ensure time is spent meaningfully.

Offenders from Level S that meet these criteria and successfully complete SM1 and SM2 goals can be assigned to the Level 6 SAM Pod. As these offenders display a

continued pattern of stability and progression they may be recommended to the Dual Treatment Team for consideration for assignment to the Level 5 SAM at WRSP or Phase 1 Step Down at ROSP. If a consensus cannot be obtained by the Dual Treatment Team, the decision will then be referred to the External Review Committee for consideration. Discussions are currently continuing with WRSP about considerations, protocols and pathways for this to occur.

Secure Integrated Pod (SIP)

The SIP pod is designed for offenders that have a pattern of intentionally committing numerous minor disciplinary violations to ensure that they are retained in Restrictive Housing rather than returned to general population housing. Programming will focus on strategies to socially reintegrate offenders in preparation for advancement to Level 5.

These offenders choose to avoid general population from a number of motivations such as:

- To avoid getting drawn into more serious disciplinary activities that occur in general population
- To avoid other resentful offenders with lengthy sentences that would plot to create trouble for an offender that is approaching release as a way of extending his sentence
- To avoid gang recruitment pressure
- To avoid other undesirable social pressures found in general population

The SIP pod is an experiment to determine if this population that shares a common interest in avoiding general population social pressures would develop their own more comfortable social system as a means to reducing their misuse of Restrictive Housing and ability to access programs and services that would be made available in general population.

SIP is not intended as protective custody. Offenders being considered for SIP should be assessed to determine if they are more appropriate for protective custody housing such as if they have identified enemies.

The following management protocols are in place for these pods:

- € Single-celled housing
- € Meals will be eaten in cell
- € Move unrestrained to and from outside Recreation cages at one time
- € Move unrestrained to and from Showers one at a time
- € Programming will be delivered in Secure Chairs or small groups in the pod
- € The Challenge Series must be completed prior to entering these programs.

Options: Offenders may voluntarily participate in the following options as approved by staff:

- € Group meals in pod
- € In-pod group recreation
- € Up to 2 pod worker jobs

Offenders who have been assigned to the Level 6 SIP pod and display continued progression and stability can be recommended to the Dual Treatment Team for assignment to participate in the WRSP High Security STAR Program.

Step-Down Program

The Step-Down program is for previously SM offenders that do not meet the criteria for SAM or SIP. (IM offenders are not eligible for Step-Down.) These are offenders with a lengthy history of disciplinary behavior including assaultiveness (but do not rise to the level of dangerousness reserved for IM status), or multiple charges for non-compliance with facility rules. They have spent frequent and lengthy periods in Restrictive Housing and with limited social contact with others. They have also satisfactorily completed the requirements for SM1 and SM2 indicating a new pattern of complying with rules and appropriate interactions with staff and other offenders. They will also have completed the Challenge Series programming increasing the likelihood for a change in thinking and attitude and increased sense of responsibility and maturity.

However, while in Level S Restrictive Housing, they have adjusted their routines and attitudes and acclimated to long periods of time alone with limited social interactions. Therefore, programming will focus on beginning the process of resocialization in preparation for stepping down to Level 5. A primary curriculum will be *Thinking for a Change (T4C)* as a tool for offenders to understand the connection between their thinking and their behavior as a means to improve more responsible and self-directed behavior in contrast to impulsive and reactionary behavior, and improved decision-making skills.

WRSP Special Management (SM): Level S offenders having completed Intake/Orientation at ROSP may be assigned to SM 1 or 2 and either retained at ROSP or may be transferred to WRSP. For WRSP offenders that have completed SM1 and SM2 phases and earned eligibility for advancement to Level 6 a decision will be made by the DTT as to whether these offenders will be returned to ROSP for Level 6.

The following management protocol will apply to the Level 6 Step-Down Program:

Phase 1

- New transfers from SM to Level 6 will come out of cell unrestrained individually (no other offenders out of cell unrestrained at the same time) for at least their first 7 days to assess their adjustment out of Restrictive Housing into a general population environment.
- Single celled
- Unrestrained to shower and recreation
- In-pod recreation 1 tier at a time for 1 hour on the days that there is no outside recreation
- Outside recreation 1 tier at a time for 1 hour, twice per week.
- Programming will be conducted in small groups. The primary curriculum will be *Thinking for a Change* which may be supplemented with additional curriculum. The amount of offenders placed within the group will be consistent with Thinking for a Change protocols.
- Walk to meals 1 tier at a time with no more than one tier in the dining hall at a time.

Phase 2

- Double celled
- Unrestrained to shower and recreation
- In-pod recreation by tiers for 1 hour on the days there is no outside recreation
- Outside recreation both tiers together 1 hour, three days per week
- Programming face-to-face in. The primary curriculum will be *Thinking for a Change* which may be supplemented with additional curriculum. The amount of offenders placed within the group will be consistent with Thinking for a Change protocols.
- Walk to meals 1 tier at a time with no more than one tier in the dining hall at a time.

SECURITY LEVEL 5 AND WRSP

Offenders who successfully adjust through Level 6 become eligible for Level 5. Offenders that successfully adjust to Level 5 at ROSP become eligible for transfer to Level 5 at WRSP. For previously Level 5 offenders that stepped down through Level 6, Level 5 at ROSP is used as a "proving ground" to determine their ability to successfully adjust to the incentives, responsibilities, and social structure of general population. If they are going to fail, it is considered best that occurs before transfer to a lower level facility. If they succeed, then there is reason for greater confidence that the success will continue following transfer to WRSP or SISP.

Level 5 at ROSP will incorporate all of the operational standards and opportunities found at other Level 5 facilities including components such as a complete educational program, religious activities, outdoor recreation, institutional jobs, and chow hall.

EVALUATION OF THE EBP STEP DOWN PROJECT AT ROSP AND WRSP

In collaboration with VADOC's Research and Evaluation Department, the following is a list of possible evaluation areas related both to the Level S and EBP projects. This is not a final listing of all areas to be evaluated, but a comprehensive list of possible areas for evaluation. A team is in the process of developing a final plan to encompass both ROSP and WRSP that will be reached following further dialogue.

Outcome Impact

1. Facility
 - a. Disciplinary Violations
 - i. number,
 - ii. severity
 1. Violent
 2. 100 series charges
 3. 200 series charges
 - b. Use of force
 - c. Use of non-lethal weapons
 - d. Offender on offender assaults
 - e. Offender on staff assaults
 - f. Formal grievances
 - g. Informal complaints
 - h. Number of disciplinary Restrictive Housing beds
2. Staff
 - a. Job safety
 - b. Job satisfaction
 - i. Based on different offender management techniques/strategies
 - ii. New job skills that are working or not
 - c. Job stress
 - d. Retention
 - e. Promotions associated with the project
3. Offenders
 - a. Program participation (% offenders active in programming)
 - b. Program completions
 - c. URICA scores; changes as offenders progress in program Management Paths
 - d. CTS scores: change related to progress
 - e. TCU Criminal Characteristics Scales: Psychological Functioning, Social Functioning, Motivation for Treatment, Engagement in Treatment

Project Success Measures

1. Number of Level S, SM offenders moving to Level 6
2. Number of Level S, IM offenders moving to Level 6
3. Length of time in IM before qualifying for Level 6
4. Length of time in SM before qualifying for Level 6
5. Number of ROSP offenders moving to WRSP Level 5
6. Number of WRSP Level 5 offenders moving to SISP Level 4
7. "Internal recidivism" – the number of offenders stepping down but returning to ROSP Level S.

Section II: Staff Development

Staff Training:

Extensive staff training was utilized as a core tactic to support culture change. All staff completed training in Effective Communication and Motivational Strategies (ECMS) during the initial phases of this plan. Executive staff completed a five-day version of this training while all other staff, security and support, completed a two-day version.

ECMS incorporated two main goals. First, effective communication skills and “levels of interaction” were taught as tools for offender management. Second, risk reduction and risk control strategies were introduced to influence new fundamental beliefs about the purpose and tactics that can be used to manage a high risk population. Risk reduction addresses the intent to provide evidence based programs and management practices that change offender thinking and thereby reduce the likelihood of disruptive behavior. Risk control refers to the traditional use of sanctions and restraints to manage offender behavior. Within this is introduced the strategy and design for EBP prison operations.

Since the inception of this plan, these tenets have been introduced into various levels of training within the Department. From Phase 1 and 2 all the way through Basic Correctional Officers Training. Case Management Counselors are provided numerous trainings to assist and develop their skills in utilizing effective interventions to produce accountability for the offenders actions but awareness and understanding of the areas of their lives that need changing. These trainings in concert with each other are being utilized on a daily basis to create the environment and culture necessary to produce positive changes.

Learning Teams:

Initially, ECMS training and ongoing support for culture change supported through regularly scheduled Learning Teams were the program drivers. All facility staff were organized into Learning Teams from the Executive Learning Team through line officers and support staff. Certain staff were selected and trained as Subject Matter Specialists (SMS) and carry the responsibility as Learning Team Leaders. A series of Learning Team Lesson Plans were developed and put into place to guide reinforcement of the basic ECMS materials. Learning Teams used scenarios and actual events as a source of practical material from which to apply the ECMS skills.

As the understanding of Learning Teams and their many uses have evolved so has their functions within the institution. Learning Teams utilize the tool of “dialogue” as a basis for the facilitating the conversations that occur during the meeting. Therefore staff has been provided with Dialogue Skills Training as a means to create deeper and more meaningful communications not only within the Learning Team but the entire staffing of ROSP. Essential in dialogue is the ability to suspend judgments when new concepts are introduced, listening for understanding, and conversations that harvest the individual voices of the participants to create a collective thinking of the learning team to promote creative and critical thinking and a level of respect and openness to new ways of operating. Dialogue incorporates several principles:

- **Voices within Dialogue:** Facilitators should acknowledge that participants will naturally take on certain roles when dialogue is practiced
 - Mover
 - Follower
 - Opposer
 - Bystander
- **Practices within Dialogue:** Facilitators should reinforce certain practices that are components of genuine dialogue
 - Utilize a genuine authentic voice to bring a variety of ideas to light
 - Listen for understanding
 - Suspend judgment and utilize inquiry for learning and to create clarification
 - Be respectful and search for Common Grounds as a means to reaching consensus

It is expected that all facility staff, including executive staff, security staff, and support staff, are continue to be organized into Learning Teams and meet in accordance with established policy

Human Capital Appreciation

An important tool to establish a positive staff culture is building a robust series of employee incentives and benefits to recognize increasing proficiency in EBP/Effective Communication knowledge, skills, and attitudes. The assignment of an employee benefits committee is important to develop ideas and manage and maintain employee programs.

In addition to common practices such as employee of the month, birthday recognition, holiday celebrations, and other acknowledgments, EBP facilities have developed employee benefits that maximize the benefits to all employees rather than focusing primarily on a limited number of individuals. Human capital approaches are guided by widely accepted beliefs that staff work best in an environment where they believe their jobs are meaningful, they feel appreciated, communication is clear, and they have the ability to contribute and believe their contributions are valued.

Therefore, the administration should empower an employee committee to propose human capital programs. And, it is essential that approved proposals can be implemented by employee groups that are empowered, resourced, and given sufficient work time to put employee incentives and benefits into practice.

The following are possible human capital programs that staff may potentially value. This is not an all-inclusive listing and can be adapted based on staff needs:

- **Career path development programs**
 - Mentoring/Coaching
 - Interview preparation class
 - Career path counseling

- Staff Incentives
 - Food quality, salad bar, outside food vendor
 - Exercise program
 - Child care cooperative
- Social Organizations (facility sponsored)
 - Sports teams (bowling, softball, golf, etc)
 - Interest groups (motorcycle club, car club,
- Staff Celebrations
 - Holidays
 - Birthdays
- Staff Recognition (earned time off in hour increments; cash bonuses; etc)
 - In addition to programs such as employee of the month that recognizes only one individual, consider developing standards of performance that each employee can achieve and acknowledge and reward every employee that achieves the standard.
 - Recognition of acts of heroic and meritorious behavior
 - Recognition of promotions
- Staff Assistance
 - Emergency/crisis support fund
 - EAP
 - Fund raisers
 - Community Relations Committee

Appendices

APPENDIX A

Definition of Terms

Security Level S: A level of high security for offenders who have presented the most serious disciplinary problems up to and including extreme or deadly violence. This level helps to ensure the safety of staff and other offenders. [REDACTED]

[REDACTED] Level S offenders are permitted one hour per day of recreation in secure recreation pens, three showers per week and phone calls. Programming will be delivered in-cell initially and then can advance to the use of therapeutic modules, program chairs and possibly security tables.

Security Level 6: The security level between Restrictive Housing ('S') and Level 5 that is the first step to introduce offenders who have been in Restrictive Housing into the general population. The purpose of Level 6 is to begin the process of resocialization of offenders who have been housed in Restrictive Housing sometimes for extended periods of time. An advantage that Level 6 provides is the ability to utilize tools (e.g., restraints) which allows the offender to safely step down from high security to lower security management practices. Level 6 is the proving ground to help determine when an offender who has been housed in Restrictive Housing is ready to reintegrate into the less restrictive Level 5 setting.

Program Chairs: Include an attached seat and table with a latching system near the floor that will secure a high-risk offender's ankle shackles and which has an option to secure wrist chains to the top of the table. This provides treatment staff with an alternative to therapeutic modules where they can meet with small groups of high-risk offenders as a step towards a more normalized type of social interaction, e.g., via group counseling.

Therapeutic Modules: Secure booths made from expanded metal to which Level S or other high-risk offenders can be escorted and secured individually. Once inside the therapeutic module, restraints can be maintained or can be removed. Our plan is to include three to five therapeutic modules within a room that will allow treatment staff to have face-to-face contact with an individual or small group of high-risk offenders.

APPENDIX B

EBP Principles Used to Guide Recommendations

Following are the EBP principles used to guide this recommendation. It is highly encouraged that any plan that is finally adopted be reviewed to determine if it is based on accepted principles.

- **Risk Management and Risk Reduction Principles:** The mission of ROSP has been expanded. The expanded mission has two components:
 1. To manage offenders safely and securely
 2. To deliver treatment to offenders to reduce their criminogenic risk factors.Historically, risk management strategies were the primary methods for managing Level S offenders. For the expanded mission to be successful, risk reduction strategies must be incorporate and relied on heavily as well.
- **Social Learning Principle: Changing the Culture of ROSP** - To accomplish these goals, the fundamental prison culture will have to be changed by addressing each of the three primary components that make up the prison culture, and by using evidence-based principles and programming to engage and socially engineer the offenders as a cultural group including their social influences and lifestyle:
 1. Staff beliefs, attitudes, skills, and practices;
 2. Facility resources and operating procedures; and
 3. Offender beliefs, values, goals, attitudes, and behavior
- **Responsivity Principle: Offender Management and Program Matching; Organize Offenders into Groups with Common Characteristics and Devise Responses Specific to each Group's Management Needs and Programming Needs** - The facility's responsibilities include both managing offenders safely plus treating offenders in ways that science has shown increase the likelihood for successful outcomes. To do this, the Level S population was sorted based upon identified risks and needs so that strategies can be applied that respond to the specific risks, needs, and characteristics of the target groups.

A close study of the Level S population, influenced by the Nebraska DOC model for managing high security offenders, initially identified four distinct sub-groups that make up the Level S population at ROSP. More recently a fifth sub-group has been identified. Each sub-group deserves a specific behavior management strategy and a specific program strategy. The characteristics that differentiate the sub-groups include the potential for violence, notoriety of their crime, institutional behavior characteristics, factors motivating their institutional behavior, and mental health related conditions.

When these characteristics were applied, the Level S population organized itself into the following five sub-groups:

- those with the potential for extreme and deadly violence, or high escape risk;
 - those with high profile crimes that received significant media attention;
 - those with frequently recurring disciplinary violations;
 - those that intentionally commit disciplinary violations with the goal of remaining in Restrictive Housing; and
 - those that behave abnormally.
- **Responsivity Principle, Program Options and Program Planning:** Programs and motivational enhancements should be delivered in a way that the offender is most likely to gain and that is directed to an identified need. Programming should not be misused as a tool to reduce idleness alone. Programs should be targeted to the specific needs shared by a group of offenders. Therefore, a menu of programs is needed based on the constellation of needs identified in the target population; and assignment to a program should be connected to the need identified in the offender's case plan.

Related to the principle of program matching is the idea that management methods should be matched to the offender characteristics. An offender that misbehaves with non-violent nuisance behavior as a method to remain isolated in Restrictive Housing, should not be managed with the same methods necessary for the offender that poses a serious risk of extreme or deadly violence towards staff or other offenders. Conversely, an offender with a history and high potential for extreme or deadly violence cannot be seen as low risk because they have not misbehaved even for an extensive period of time while in high security.

- **Motivational Principles**
 - **Privileges are used to motivate and introduce desirable behavior the offender would not otherwise do:** Offenders practicing criminal thinking are highly motivated by extrinsic privileges; i.e., they "do the math" and most often make decisions by asking "What's in it for me?" Therefore, for criminal thinkers, a program of privileges is needed to motivate the offender to comply with the behaviors goals set by staff including both management behaviors and program participation
 - **Balancing Positive Rewards and Sanctions:** Privileges and rewards should be delivered in a 4:1 ratio in relation to disciplinary sanctions. Sanctions alone, or a high ratio of sanctions to positive rewards, works against effective change goals by reinforcing criminal thinking
 - **Privileges and Sanctions should be given in short intervals and in close proximity to the associated behavior(s):** For example, a lengthy period, such as a year, before privileges can be earned is not an effective motivator for this population. More

effective would be a series of intermediate steps of one to three months duration with smaller or more limited privileges at each step

- **Privileges should be determined by the point of view of the offender**, what offenders perceive as desirable rather than what staff think is a privilege
- **Earned Rather than Entitled:** Privileges should be assigned after a clear list of behavior management and program goals and expectations have been achieved. The work required to achieve the privileges establishes the value of the privilege. Privileges granted before a goal is achieved have little to no value and are perceived by offenders as an entitlement they deserve without the need for an investment.
- **Cognitive-Behavioral Programming, Fidelity, and Reinforcement** – Cognitive-behavioral programs have been found to be effective with offenders if they incorporate the goal to teach actual skills using role play and practice techniques. Therefore, at the completion of the program curriculum, there should be a new pattern of thinking that is reinforced with observable and measurable skills that are incorporated in the offender's way of life. Programs should be followed up by staff with strategies to continually reinforce the new thinking, skills, and behavior patterns; otherwise the offender may revert to their original habits.
- **Systems Perspective:** Components of the step-down recommendation were incorporated from the perspective of a system design where all components work in concert rather than isolated good ideas that may not function effectively as part of a system.
- **Put in Balance Past Behavior, Change, and Predicting Future Behavior:** When managing offenders, though there is well founded belief that change is possible, science shows that a strong predictor of future behavior is past behavior. In high risk situations, erring on the side of caution and being aware of past behavior is a valuable safety factor. Identifying genuine and resilient change is difficult, and relapse to previous behavior patterns is recognized as a reasonably predictable episode in an otherwise successful change process. Therefore, offenders with a history indicating the ability and willingness to perpetrate serious or deadly violence must be managed with caution even if their behavior has been compliant for a long period of time. The department is aggressively looking for evidence-based information to help predict the likelihood of future violence from an offender that has a history of extreme violence whether or not they have been compliant and well behaved for even extensive periods of time.

APPENDIX C

Using Incentives and Sanctions to Motivate Offender Behavior; Behavior Management and Behavior Shaping

Behavior shaping tools and disciplinary sanctions in combination are strategies that can be used to develop an offender behavior management system. Behavior shaping is moving an offender towards a set of goals for desirable offender characteristics. Disciplinary sanctions deter unwanted behavior.

The limitation of disciplinary sanctions is that they focus only on punishing the unwanted behavior, but they do not teach better behavior.

Behavior shaping is a strategy that starts with a definition of the rehabilitative behavior to be promoted in offenders, and then balances disciplinary sanctions with incentives, privileges, and rewards that motivate increasingly good behavior while deterring unwanted behavior. For example, positive behavior might be:

- accept responsibility for what I do (accept the responsibility that everything I do is a decision I make that I am responsible for; and if I don't like the outcomes from what I do I need to make better decisions);
- develop good decision making skills, think things through smartly rather than react impulsively and emotionally;
- be polite and cordial to others;
- set goals for myself and practice self-direction to use my days to move towards my goals rather than just doing time;
- carry myself with pride, be concerned with my personal appearance and hygiene and the condition of my cell and personal property.
- Accept the rules that being in prison requires I follow, and don't waste my time and energy fighting rules when I have more positive uses of my time.

The EBP methods built into the prison system to reach this goal include:

Promoting positive interactions between staff and offenders with Effective Communications trainings and learning teams

Using offender programs that are designed to move offenders towards positive characteristics and measuring offender progress through stages of change

Creating a system of incentives, privileges, and rewards that become a stronger motivator and the focus of offender attention more than the disciplinary sanctions

A couple of principles

- Earning versus Entitlements – Offenders should start with very little, the minimum entitlements, and have detailed criteria for how they earn increasing privileges. Entitlements are what we are required by law and regulations to provide to offenders.

Privileges are what we have the discretion to provide based on set criteria for earning them only when they meet the positive behaviors we want. Meeting the criteria earns

- Behavior – non-compliant to compliant; number of disciplinary charges
 - Program participation
 - Personal hygiene
 - Cell cleanliness and compliance
 - General attitude and rapport
- Behavior Shaping – the balance between incentives, privileges, and rewards and sanctions that motivate increasingly good behavior while deterring bad behavior. Behavior Shaping requires a definition of good behavior as well as bad behavior.
 - Incentives, Privileges, Rewards:
 - Incentives are things used to encourage an offender to start something positive that they would not likely do on their own (ex: offenders that make a commitment and start a new program get a \$5 commissary coupon)
 - Privileges are sets of desirable things that they can earn to make their daily life better. They earn them by meeting expectations in
 - behavior standards (measured by number and type of charges)
 - personal hygiene standards
 - cell hygiene standards
 - program participation
 - attitude – level of compliance with expectations (hostile to compliant)
 - rapport – level of respectful interactions with staff and offenders (disrespectful, respectful, cordial)

Rewards are given to recognize a significant accomplishment (ex: offenders that successfully complete a program or remain charge free for x number of months get to participate in a celebration including cake and ice cream)

 - We have learned from previous experience to incorporate both individual and pod privileges and rewards

APPENDIX D

SM Orientation Fact Sheet [v5]

All new Level S offenders will be initially housed in the Intake/Orientation Unit. Immediately upon arrival, offenders will be provided an orientation to the case plan including goals, expectations, privilege earning process, and step-down process.

Orientation plans for SM0, SM1 and SM2

*Explanation of Special management-

Offenders with frequently recurring disciplinary violations will have transferred from a lower security level facility for assaultive behavior, destruction of state property, or other serious and repeated disciplinary violations.

***SM-0**-SM0 status includes minimum entitlements, no privileges, and without consideration for security reduction. SM will allow certain self-improvement opportunities such as in-cell education programming over closed circuit TV and religious shows.

***SM-1** SM1 status includes eligibility to participate in the step-down program from the Intake/Orientation, offenders will become eligible for SM1 after they prove their commitment to behavior and programming goals after achieving certain goals while in SM0 status.

***SM-2** The SM2 status includes eligibility for offenders to be provided with programming in-cell, and in Therapeutic Modules or Program Chairs.

*After completion of SM1 and SM2 phases at WRSP and having earned eligibility for advancement to SL-6, these offenders will have the opportunity to return to ROSP, which is the only location providing SL-6.

Programming

*Following completion of orientation, assessment and case planning, and security Level S subgroup assignment, SM offenders who commit to participate in the step-down program will be directed to begin participating in programming based on the case plan. For all Level S offenders, programming will begin in-cell. The basic program to be used with Level S offenders will be the *Challenge Series* which includes seven journals designed to be used for in-cell programming. The Journals include the following:

Journal 1 – Orientation: a motivational enhancement program designed to increase the level of motivation and engagement by the offender in the remaining series.

Journal 2 – Rational Thinking: a fundamental cognitive-behavioral training program.

Journal 3 – Criminal Lifestyles: provides insight into the thinking and attitudes that trap offenders in a lifestyle of crime; introduces the idea that lifestyles can change.

Journal 4 – Violence Prevention: building on the cognitive-behavioral training as a base, this journal increases awareness of what leads up to violence and teaches and practices techniques to intervene.

Journal 5 – Communication: introduces positive communication techniques.

Journal 6 – Lifestyle Balance: introduces that a healthy lifestyle has a balance of work, relationships, and leisure time.

Journal 7 – Transition: prepares the offender to leave a Restrictive Housing setting and return to interacting more with other offenders.

***Program Delivery:**

SM0 in-cell programming

SM1 in-cell programming and Therapeutic Models

SM2 in-cell programming, therapeutic Models and Program chairs

Dual Treatment Team Review- The Dual Treatment Team is responsible to review the individual offender's classification step-down pathway to SL-6, and to make certain recommendations. The Dual team will include the following representatives:

- Chief of Housing and Programs
- IPM / Cognitive Counselor
- Unit Manager
- Investigator / Intelligence Officer
- QMHP
- Counselor (s)
- Corrections Officer
- Statewide EBP Manager

*The dual team will use the following criteria to determine eligibility for classification step-down:

Reducing and eliminating disciplinary charges
Personal hygiene
Standing for count
Cell compliance
Respect; satisfactory rapport with staff and offenders
Program participation

***Assessment-** After orientation a COMPAS assessment will be conducted on all offenders to assess— criminogenic risk, needs, criminal thinking, program planning and to develop a case plan.

A review and discussion of the COMPAS with offenders should include the results, ask if this is the way the offender see's himself, ask how they would like to see themselves and what goals they would like to achieve while at WRSP.

Appendix E

Guidelines for Assessing Dangerousness for IM Status

Offenders may arrive in prison with a potential for danger, and in other cases offenders may develop the potential for danger as a result of their prison experience. Offenders with a street history of deadly violence bring that potential for danger with them. Offenders without a street history of deadly violence may develop that potential from their prison experience.

Some offenders may be targeted and threatened by other offenders and use violence towards another offender in self-defense. Some offenders may fall under the direction of an offender leader that might direct an offender to carry out violence. Some offenders may believe they have been mistreated by staff and develop sufficient anger to strike out with deadly violence. Some offenders may strike out impulsively in the middle of an interaction. Other offenders may plan out and lay in wait for an opportunity to assault staff or an offender.

There is no known clear profile that will predict with certainty an offender's level of dangerousness towards staff or others. An assessment of dangerousness will depend on gathering information and making a professional judgment. The following are recommended criteria for information gathering to help make an informed judgment on an offender's level of dangerousness and their initial assignment to IM or SM status as well as safety for stepping down to lower security levels.

1. Does the offender clearly state the intent to harm a staff member or offender?
 - a. Is the intent to invoke serious or deadly harm?
2. Does the offender have a proven emotional capability to kill another person versus, for example, a pattern of fighting but without stepping over the line into intentional deadly violence?
 - a. Has the offender ever killed or attempted to kill another person? If so,
 - i. How many people has the offender killed or attempted to kill?
 - ii. Was it intentional or unintentional?
 - iii. Was it in self-defense or in defense of another?
 - iv. Was it for personal gain such as during a robbery or for hire?
 - v. Was it in the commission of a crime?
 - vi. Was it part of gang behavior?
 - vii. Was the killing particularly dreadful or heinous?
3. Does the offender have an institutional history that includes violence towards staff or offenders?
 - a. Factors:
 - i. Targeting a staff member or another offender?
 - ii. Attempt to invoke deadly harm?
 - iii. Not attempting to invoke deadly harm?

- iv. Self Defense?
 - v. Intentional or not intentional?
 - vi. Provoked or not provoked?
 - vii. Carrying out the direction of another offender or acting on his own?
 - b. Is there a pattern of violent behavior or is the violence not typical for this offender?
 - c. Is the violence intentional with the intent to kill or invoke deadly harm, or with the intent to harm but not kill?
 - d. Is the violence provoked with the intention of self-defense?
 - e. Is the violence unprovoked but is the intention self-defense?
 - f. Is the violence unintentional such as inflicting harm when the offender's intent was to resist a physical intervention by staff?
4. Does the offender have a street history with violence?
- a. Is there a pattern of violent street behavior or is the violence not typical for this offender?
 - b. Is the violence intentional with the intent to kill or invoke deadly harm, or with the intent to harm but not kill?
 - c. Is the violence provoked with the intention of self-defense?
 - d. Is the violence unprovoked but is the intention self-defense?
 - e. Is the violence unintentional such as inflicting harm when the intent was to resist arrest, escape arrest, or avoid capture?
5. Does the offender have a history including escape attempt(s)?
- a. Was violence involved during the escape?
 - b. Was the need for violence predicted when planning the escape?
 - c. See item 3.
6. Has the offender been a victim of abuse by offenders or staff?
- a. Are there grievances claiming threats from other offenders or mistreatment by staff; and how traumatic do the claims seem?
 - i. Does the grievance indicate physical abuse?
 - ii. Does the grievance indicate emotional abuse?
 - iii. Does the grievance indicate humiliation?
 - iv. Does the grievance indicate intentional mistreatment?
 - v. Does the grievance indicate an ongoing pattern or an isolated incident?
 - vi. Does the grievance name a staff member; does that staff member have a pattern of grievances or grievances from more than one offender?

Appendix F

IM Privilege Levels (March 2014) v4

	IM0	IM1	IM2	IM SL6 Closed Pod
Basic Requirements	• Library books, 2 per week • Religious materials in cell • Legal materials in cell • Commissary: Restrictive Housing list, \$10.00 per week • TV: mounted on pod wall ○ Education channel ○ Religious channel • AM/FM Radio eligible for purchase (with 3 months charge free and no "Poor" Responsible Behavior ratings) • Programming in-cell • Recreation: ACA standards, 1-hour per day outside in rec. cages • Phone calls: 2, 20 minute calls per month • Visitation: one, 1 hour visit per week, non-contact • Cell: single cell • Showers: 3 showers per week • Out of cell: restrained, dual escort			
Job Eligible	• Not Eligible	Not Eligible	Jobs: • Showers Eligibility Criteria: • History of safe job performance • Positive trend in COMPAS, CTS, and URICA scores • Positive Responsible Behavior & Program Scores • One year charge	Jobs: • House Man • Barber • Showers Eligibility Criteria: • History of safe job performance • Positive trend in COMPAS, CTS, and URICA scores • Positive Responsible Behavior & Program Scores • One year charge free
Commissary	• \$10 per week Seg	• \$10 per week Seg • \$5 Food items	• \$20 per week Inclusive of all purchases	• \$30 per week Inclusive of all purchases
Library Books	• 2 per week	• 3 per week	• 4 per week	• 5 per week
Visitation	• one, 1 hour	• one, 1 hour	• one, 1 hour visit	• 2 hours total

	visit per week, non-contact	visit per week, non-contact	per week, non-contact; • added time request will be evaluated	Saturday and Sunday • added time request will be evaluated
Phone Calls	• 2 calls per month	• 3 calls per month	• 4 calls per month	• 5 calls per month
TV In-cell (from commissary)	• Ineligible	• Education channel • Religious channel • Entertainment channels ○ Fri 12:00 noon to Mon 6:00 a.m.	• Education channel • Religious channel • Entertainment channels ○ Fri 12:00 noon to Mon 6:00 a.m. ○ Special events	• All channels, all time
AM/FM Radio (eligible to purchase from commissary)	• Ineligible	• Purchase from commissary	• Purchase from commissary	• Purchase from commissary
Programming	• In-cell	• In-cell • Therapeutic Module	• In-cell • Therapeutic Module • Secure Chair • 5 maximum per group	• Secure Chair • 5 maximum per group
Video Visitation	1 per month • 6 months charge free	1 per month • 1 year charge free	1 per month • 18 months charge free	2 per month • 618months charge free
JP4 Player (purchase from commissary)	• Not eligible	Eligible to purchase from commissary • Audio books; 1 per month • At the Unit Managers discretion	Eligible to purchase from commissary • Audio books; 1 per month • At the Unit Managers discretion	• Audio books; 1 per month • Music; 1 per month • At the Unit Managers discretion
Productive Activities:				
Structured Art Program / Art Contests	• Not eligible	• Not eligible	• Not eligible	• Eligible

(at designated intervals)				
Structured Creative Writing Program	• Not eligible	• Not eligible	• Not eligible	• Eligible
Industry/Work Table Projects				
Food Service Support	• Not eligible	• Not eligible	• Not eligible	• Eligible

IM Status Level Goals (v3; June 2012)

	Disciplinary Behavior	Responsible Behavior Goals				Program Participation
		Cell Compliance	Personal Hygiene	Count	Respect	
		• Unobstructed windows • Clean/uncluttered floor • Property neatly stored • Light uncovered • Clear view through cell	• Grooming Standards • Personal cleanliness • Clean clothes	• Standing for Count	• Language • Attitude • Yelling through door • 137 • Patience	• Challenge Series • Anger Management • TCU Brief Interventions • Education
		<u>Rating</u> € Poor € Acceptable € Good	<u>Rating</u> € Poor € Acceptable € Good	<u>Rating</u> € Poor € Acceptable € Good	<u>Rating</u> € Poor € Acceptable € Good	<u>Rating</u> € Incomplete € Complete € Positive Effort
IM0 to IM 1	6 months continuous: • no serious assaultive or weapons related 100 series charges • no more than 3 total 100/200 series charges	Completion of Intake/Orientation Process Completion of Assessments Develop a Case Management Plan Agreement to participate in Programming No more than 6 Poor/Incomplete within 90 day review period Minimum of 2 Good/Positive Effort within 90 day review period				In-Cell Intake: Journal 1, Orientation Complete Journals 1 & 2 Education Classes
IM 1 to IM 2	6 month continuous: • no serious 100 series charges • no more than 1 total 100/200 series charges	No more than 4 Poor/Incomplete within 90 day review period Minimum of 4 Good/Positive Effort within 90 day review period				In-Cell Complete Journals 3-5 Education Classes
IM 2 to Lev 6	• 6 months continuous: charge free	No more than 2 Poor/Incomplete within 90 day review period Minimum of 6 Good/Positive Effort within 90 day review period				In-Cell Therapeutic Modules Complete Journals

			6-7
IM Level 6, Closed Pod		No more than 2 Poor/Incomplete within 90 day review period Minimum of 6 Good/Positive Effort within 90 day review period	In-Cell Therapeutic Modules Secure Program Desk T4c Cognitive Restructuring TCU Brief Interventions Education Classes

IM Status Level Goals

Description:

Offenders participating in the Step-Down program will be challenged to meet goals in three areas:

- 1) Eliminate disciplinary infractions,
- 2) Meet a set of responsible behavior goals, and
- 3) Participate in self-improvement and education programs.

As offenders meet goal levels, they will advance in status from IM0, IM1, to IM2. As offenders advance in status, they will earn additional privileges (outlined on a separate IM Privilege Levels chart).

Rating System –

- The Unit Manager (or designee) will track each offender's charges.
- Responsible Behavior will be rated each week by Correctional Officers, Counselors, and the Unit Manager as *"poor, acceptable, or good"* in each category (cell compliance, personal hygiene, standing for count, and respect).
- Thirdly, Counselors will rate each offender's Program Participation for that week as either *"incomplete, complete, or positive effort."*

It is valuable for Officers, Counselors, and the Unit Manager to update each offender routinely on their ratings as an opportunity to acknowledge positive performance as well as to motivate them to improve when needed.

ICA Committee Review

Each SM offender will have their case reviewed every 90 days during the ICA review. The ICA Committee will review the ratings on each SM offender to determine when they have met the goals to be eligible for advancement to the next status level. An interim review can be done for offenders performing exceptionally well and ready for advancement before the next routinely scheduled ICA meeting, or for offenders performing poorly requiring placing them back to a lesser status including SM0 when warranted.

Advancement

Offenders that are meeting the standards set at each status for the period of time required are eligible for advancement to the next status. The ICA Committee is responsible to evaluate overall performance and can decide to advance those offenders that are meeting advancement eligibility criteria.

Assign to Lower Status

Offenders that do not meet the standards for disciplinary, responsible behavior, and/or self-improvement and programming can be placed back to an earlier status by a decision of the ICA Committee. When an offender receives a serious disciplinary offense that results in assignment to administrative Restrictive Housing or refuses over a period of time to meet standards for responsible behavior or program participation, the ICA Committee can decide to immediately lower an offender's status.

IM Status Rating Chart

Offender: _____ Responsible Behavior: **P** – Poor Program: **I**-Incomplete
A – Acceptable **C**-Complete
G- Good **+**-Positive Effort

Date	Staff	Responsible Behavior				Program	Disciplinary
		Cell Compliance	Personal Hygiene	Count	Respect	Participation	Charges
	CO						
	UM						
	Couns						
	CO						
	UM						
	Couns						
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APPENDIX G
SM Privilege Levels (March 2014) v6

	SM0	SM1	SM2	SL6, Phase 1	SL6 Phase 2
Basic Requirements	• Library books, 2 per week • Religious materials in cell • Legal materials in cell • Commissary: Restrictive Housing list, \$10.00 per week • TV: mounted on pod wall ○ Education channel ○ Religious channel • AM/FM Radio eligible for purchase (with 3 months charge free and no "Poor" Responsible Behavior ratings) • Programming in-cell • Recreation: ACA standards, 1-hour per day outside in rec. cages • Phone calls: 2, 15 minute calls per month • Visitation: one, 1 hour visit per week, non-contact • Cell: single cell • Showers: 3 showers per week - Out of cell: restrained, dual escort				
Job Eligible	• Ineligible	• In-pod job • 2nd priority after SM2	• In-pod job • 1st priority	Jobs: • House Man • Barber • Showers Eligibility Criteria: • Positive Responsible Behavior & Program Scores • 90 days charge free	Jobs: • House Man • Barber • Showers Eligibility Criteria: • Positive Responsible Behavior & Program Scores • 90 days charge free
Commissary	• \$10 per week Seg - No food items	• \$10 per week Seg • \$5 Food items	• \$10 per week Seg • \$10 Food items	• \$30 per week inclusive of all purchases	• \$35 per week inclusive of all purchases
Library Books	• 2 per week	• 3 per week	• 4 per week	• 5 per week	• 5 per week
Visitation	• one, 1 hour visit per week, non-	• one, 1 hour visit per week, non-contact	• one, 1 hour visit per week, non-	• 2 hours total Saturday and Sunday	• 2 hours total Saturday and Sunday

	contact		contact; added time request will be evaluated	• added time request will be evaluated	• added time request will be evaluated
Video Visitation	• Not eligible	• Not eligible	• Once per month; must be 18 months charge free	• 2 per month • 18 months charge free	• 2 per month • 18 months charge free
Phone Calls	• 2 calls per month	• 3 calls per month	• 4 calls per month	• Unlimited	• Unlimited
TV In-cell (from commissary)	• Ineligible	• Education channel • Religious channel • Entertainment channels • Fri 12:00 noon to Mon 6:00 a.m.	• Education channel • Religious channel • Entertainment channels ○ Fri 12:00 noon to Mon 6:00 a.m. ○ Special events	• All channels all time	• All channels all time
AM/FM Radio (eligible to purchase from commissary)	• Ineligible	• Purchase from commissary	• Purchase from commissary	• Purchase from commissary	• Purchase from commissary
Programming	• In-cell	• In-cell • Therapeutic modules	• In-cell • Therapeutic modules • Program chairs (groups up to 5)	• In-cell • Therapeutic modules • Secure Chair • Small Groups - 15 maximum per group	• In-cell • Therapeutic Module • Secure Chair • Small Groups - 15 maximum per group
JP4 Player	Not eligible	Eligible to purchase from commissary • Audio books; 1 per month • At the Unit	Eligible to purchase from commissary • Audio books; 1 per month • At the Unit	• Audio books; 1 per month • Music; 1 per month • At the Unit Managers	• Audio books; 2 per month • Music; 2 per month • At the Unit Managers

		Managers discretion	Managers discretion	discretion	discretion
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SM Status Level Goals (v5; June 2012)

	Disciplinary Behavior	Responsible Behavior Goals				Program Participation
		Cell Compliance	Personal Hygiene	Count	Respect	
		• Unobstructed windows • Clean/uncluttered floor • Property neatly stored • Light uncovered • Clear view through cell	• Grooming Standards • Personal cleanliness • Clean clothes	• Standing for Count	• Language • Attitude • Yelling through door • 137 • Patience	• Challenge Series • TCU Brief Interventions • Education
		<u>Rating</u>	<u>Rating</u>	<u>Rating</u>	<u>Rating</u>	<u>Rating</u>
		€ Poor € Acceptable € Good	€ Poor € Acceptable € Good	€ Poor € Acceptable € Good	€ Poor € Acceptable € Good	€ Incomplete € Complete € Positive Effort
SM0 to SM1	3 months continuous: • no serious assaultive or weapons related 100 series charges • no more than 3 total 100/200 series charges	Completion of Intake/Orientation Process Completion of Assessments Completion of Case Management Plan Agreement to participate in Programming No more than 6 Poor/Incomplete within 90 day review period Minimum of 2 Good/Positive Effort within 90 day review period				Challenge Series Journals 1& 2 Education
SM1 to SM2	3 month continuous: • no serious 100 series charges • no more than 1 total 100/200 series charges	No more than 4 Poor/Incomplete within 90 day review period Minimum of 4 Good/Positive Effort within 90 day review period				Challenge Series Journals 3, 4, 5 Education
SM2 to	• 3 months continuous: charge free	No more than 2 Poor/Incomplete within 90 day review period				Challenge Series Journals 6 & 7

Lev 6		Minimum of 6 Good/Positive Effort within 90 day review period	Education
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SM Status Level Goals

Description:

Offenders participating in the Step-Down program will be challenged to meet goals in three areas:

- 1) Eliminate disciplinary infractions,
- 2) Meet a set of responsible behavior goals, and
- 3) Participate in self-improvement and education programs.

As offenders meet goal levels, they will advance in status from SM0, SM1, to SM2. As offenders advance in status, they will earn additional privileges (outlined on a separate SM Privilege Levels chart).

Rating System –

- The Unit Manager (or designee) will track each offender's charges.
- Responsible Behavior will be rated each week by Correctional Officers, Counselors, and the Unit Manager as *"poor, acceptable, or good"* in each category (cell compliance, personal hygiene, standing for count, and respect).
- Thirdly, Counselors will rate each offender's Program Participation for that week as either *"incomplete, complete, or positive effort."*

It is valuable for Officers, Counselors, and the Unit Manager to update each offender routinely on their ratings as an opportunity to acknowledge positive performance as well as to motivate them to improve when needed.

ICA Committee Review

Each SM offender will have their case reviewed every 90 days during the ICA review. The ICA Committee will review the ratings on each SM offender to determine when they have met the goals to be eligible for advancement to the next status level. An interim review can be done for offenders performing exceptionally well and ready for advancement before the next routinely scheduled ICA meeting, or for offenders performing poorly requiring placing them back to a lesser status including SM0 when warranted.

Advancement

Offenders that are meeting the standards set at each status for the period of time required are eligible for advancement to the next status. The ICA Committee is responsible to evaluate overall performance and can decide to advance those offenders that are meeting advancement eligibility criteria.

Assign to Lower Status

Offenders that do not meet the standards for disciplinary, responsible behavior, and/or self-improvement and programming can be placed back to an earlier status by a decision of the ICA Committee. When an offender receives a serious disciplinary offense that results in assignment to administrative Restrictive Housing or refuses over a period of time to meet standards for responsible behavior or program participation, the ICA Committee can decide to immediately lower an offender's status.

SM Status Rating Chart

Offender: _____ Responsible Behavior: **P** – Poor Program: **I**-Incomplete
A – Acceptable **C**-Complete
G- Good **+**-Positive Effort

Date	Staff	Responsible Behavior				Program	Disciplinary Charges
		Cell Compliance	Personal Hygiene	Count	Respect	Participation	
	CO						
	UM						
	Couns						
	CO						
	UM						
	Couns						
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Appendix H

ROSP Level S/Level 6 Reentry Program:

“Comprehensive Success-based Reentry Preparation”

5 years prior to release:

Focus on Reentry should begin for all offenders at 5 years prior to release. Develop programs/training classes for each of the items listed below considered essential for developing a reentry plan that is “success-based”, in that it is both comprehensive and practical.

IM/SM offenders at 24 months prior to release:

- IM/SM offenders should be directly into a reentry path to develop a comprehensive, success based reentry plan that addresses all items outlined in the reentry model.
- Reentry path offenders should be prioritized for immediate access to DCE GED / Rosetta Stone programming and Vocational Training.
- Reentry oath offenders should receive priority for institutional jobs or program opportunities to earn pay as a means of building their reentry savings accounts
- Reentry Savings Accounts plans should be immediately developed.

Reentry Assessment

- € COMPAS
 - Risk/Needs
 - CTS
 - URICA
- € Psychological Self –Efficacy Evaluation

Reentry Cognitive Programs

- € T4C (completion or reinforcement)
- € PREPS
- € Matrix

Reentry Preparation Programs

- € Productive Citizenship
- € Serv Safe
- € Ready for Work
- € Work Keys
- € Workforce Investment Act registration

“Comprehensive Success-based Reentry Preparation”

Assess progress regularly

- Year 5: Initial plan development
- Year 4 and 3: annual reassessment of plan progress
- Year 2: reassessment every 6 months
- Year 1: quarterly reassessment
- 6 Months to release: monthly reassessment

Target Goals

- € Risk / Needs Assessment Goals
 - COMPAS results
 - In-prison programming addressing high risk areas
- € Reporting to supervision officer
- € Home plan development
 - Develop a preliminary home plan
 - Evaluate the pros and cons of going back to original neighborhood or starting fresh in a new environment
 - Living with relatives / friends, reentry facility / program / Oxford house, independent housing
- € Employment
 - Workforce Investment Act registration (SNAP Center within the facility)
 - Work Keys
 - Job skills training in prison
 - HVAC
 - Culinary Arts
 - Custodial Maintenance
 - Develop additional job skills training programs
 - Construction trades
 - Computer literacy
- € Education
 - Complete GED
 - Advanced Education
 - Computer Literacy
 - MSWord
 - Excel
 - Internet access, information search
- € Transportation
 - Public transportation
 - Bicycle
 - Car plan (practical plan for obtaining a personal car)
 - Drivers license
 - Insurance
 - Gas Budget
 - Maintenance / repair budget

- Car cost
- € Medical / Mental Health Services
- € Substance Abuse recovery / sobriety support plan
- € Sex Offender support plan
- € Leisure time activities
- € Support System
 - Family / friends
 - Faith-based support
 - Recovery support group
 - Peer Support group
 - Mentor
- € Bonding / Rebounding with children
 - Parenting from prison program
 - Messages Project video messages to children
- € Contact with spouse, significant other, family
 - Relationship program / training
- € Savings Account for Reentry
 - Develop a reentry budget to include housing / rent, transportation, food, necessities (food, clothing)