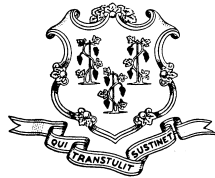


# STATE OF CONNECTICUT DEPARTMENT OF CORRECTION



## OFFENDER CLASSIFICATION AND POPULATION MANAGEMENT

### Assessment Manual

*Revised 5-8-08*

## **SECTION I: PURPOSE OF THE ASSESSMENT MANUAL**

The Assessment manual provides an overview of the Offender Classification Assessment procedures being utilized at the MacDougall-Walker Correctional Institution.

The descriptions contained in this manual are consistent with all pertinent Departmental Administrative Directives and procedures outlined by the Offender Classification and Population Management Unit.

This manual is a reference tool developed to assist staff in performing and understanding the assessment process. Specifically, it will assist staff to:

- ◆ Understand the goals and objectives of assessment;
- ◆ Improve the assessment process;
- ◆ Provide accurate classification assessments;
- ◆ Use the classification system to the advantage of the Department of Correction, inmates under the custody of the Department, and the public;
- ◆ Standardize classification on an agency-wide basis; and
- ◆ Assign a comprehensive risk and needs assessment for appropriate confinement location.

The Assessment Manual will be updated as needed to reflect the current Department of Correction policies and procedures.

The Director of Offender Classification and Population Management is responsible for the contents of the manual. Interpretation and clarification may be requested through the Assessment Unit. Occasionally these requests may be required to be submitted in writing to: Offender Classification & Population Management, 1153 East Street South, Suffield, CT 06080, attention Assessment Supervisor.

## **SECTION II: THE ASSESSMENT UNIT'S MISSION AND GOALS**

The Assessment Unit is within the subdivision of the Offender Classification and Population Management Unit located at the Walker Building. The Assessment Unit is an integral component of the Offender Classification and Population Management Unit.

The goals of the Assessment Unit are:

- A. Ensure the safety and well being of the community, staff and the inmate;
- B. Apply a consistent and reliable classification and assessment system that assigns inmates to a level of confinement that protects the community, facility, staff, and inmates;
- C. Recommend inmate programs and activities according to specific needs;
- D. Involve the staff and the inmate in an incarceration plan where appropriate;
- E. Develop, record, and analyze data;
- F. Ensure that staff and inmates understand the procedures and criteria used in the classification and assessment process.

**The Assessment Unit's mission is to assign a comprehensive risk and needs assessment for appropriate confinement location, treatment, programs and employment assignment whether in a facility or the community.**

### **SECTION III: INTRODUCTION**

The Walker Building is named after Ralph H. Walker a former Warden at the Old State Prison in Wethersfield, Connecticut.

Warden Walker had a long and illustrious career. In 1915, he began a seventeen year tenure as Warden in the Vermont State Prison and House of Correction in Windsor, Vermont. At that time he was the youngest Warden in the country.

He then spent five years at Rhode Island prisons before moving to Wethersfield prison from 1936 to his retirement in 1954. He often said he never had a riot or a fearful moment in the fifty-two years he spent in penal institutions. Prior to his death in 1961, the prison directors retained him as a consultant.

The Assessment process at the Walker Building is an integral component of the Offender Classification and Population Management Unit. All adult male offenders over the age of 17 serving sentences of greater than two years are confined at Walker prior to placement at one of the Department of Correction Facilities. Offenders receive a comprehensive risk and needs assessment culminating in an overall classification profile to facilitate an appropriate placement within the system.

The Assessment process is composed of five major components: Admission/Discharge, Health Services, Classification Services, Education Services, and Addiction Services. Each component consists of one or more days during which efforts are focused on collection of data to assess each offender's specific risk and needs and to provide program information to the offender. This process is scheduled as a ten-day process unless more time is needed for the collection of data. Objective ratings are formulated based on the criteria outlined in the Department of Correction Classification Manual.

The computer assisted reception assessment (CARA) provides for the collection, maintenance and retrieval of assessment data through the use of data entry screens for each of the assessment components. An interface with the Offender Based Information System (OBIS) allows access to existing data on each offender.

The CARA system also provides for management of workflow, staff schedules, offender schedules, and tracking of each offender in the assessment process.

## **SECTION IV: ASSESSMENT PROCESS**

### **A. ADMISSION AND PROCESSING**

The assessment process begins in the admitting and processing area, which is the beginning of the ten-day assessment cycle.

The admission process sets the tone for what is expected in behavior and cooperation of offenders at Walker. The admission process is a highly structured activity. Legal commitment is verified, each offender is searched, showered, dressed, booked, fingerprinted and photographed. Personal property is inventoried, receipted and secured. Each offender is given a photo ID Card, clothing, bedding, basic cosmetics and a cell assignment. Each offender is assessed for special management needs. A health service screening is conducted to identify immediate medical and mental health problems. A sex offender screening and a PPD Test are also initiated at this time.

Each offender who is admitted to Walker is assigned a Julian group number, which corresponds to the calendar day date. The Julian group number allows staff to track the progress of each offender through the assessment process by utilizing the computer assisted reception assessment program (CARA).

Admission and processing is operational daily excluding weekends and holidays. Staffing includes correctional officers, medical, mental health, and a Lieutenant who supervises the processing activities.

The correctional officers are responsible for the control and flow of contraband entering the facility by performing a thorough strip search of each new admission. The officers are to ensure that each offender possesses items that are authorized. Personal property and money is taken, inventoried, and receipted. The officer issues clothing, bedding and initial cosmetics to each offender. The officer facilitates showers. Each admission is admitted to both Walker and the Offender Based Information System (OBIS). The offender is photographed, fingerprinted, and issued an ID Card. The offender is screened for special management problems and assigned a cell. The officers are responsible for the security of the sallyport area and control of all vehicular traffic entering the Sallyport Gate.

The custody supervisor is responsible to conduct special management screenings for each offender referred by the officer. Information obtained is formatted and given to the Chief of Security for review and action. At the time of processing, the custody supervisor shall have the authority to make housing decisions and to address special management needs in accordance with the Administrative Directives.

The health services staff is responsible for conducting a health service screening (immediate problem identification) care and referrals as required, sex offender screening and a PPD.

## **DATA MANAGEMENT SCREENS USED DURING ADMITTING AND PROCESSING**

**Movement Information (RT30)** – Used as a movement screen (e.g. Transfer sentenced by court, discharge).

**Face Sheet Display (RT50)** – Used to display a face sheet.

**RT60** – Used to display offender's Movement History.

**RT67** – Used to display offender's disciplinary history.

**RT77** - Used to display offender's current classification and treatment need scores.

**RTAD003** – Used for intake group assignment.

**RTAD004** – Used to assign a bed to offender in Walker Housing.

**Special Management Interview**

## **B. HEALTH SERVICES**

Health Services is designed to assess or triage the medical, dental and mental health needs of each offender admitted to Walker.

Each offender admitted shall receive an intake screening, health history and necessary immunizations at the time of admission. A physical exam, chest x-ray, baseline blood work and eye exam are performed on each offender. The blood work includes a complete blood count, Chem 12, urine dipstick and a test to rule out venereal disease. The necessary immunizations are a diphtheria tetanus inoculation (if not administered within seven years) and a test for tuberculosis exposure (PPD).

Each offender's medical condition is assessed with regard to specific needs and/or the necessity for treatment within the department. Offenders identified by health services staff as being at high risk for HIV shall be referred to Infectious Disease counselors for pre- and post-test counseling. Each offender who is HIV positive shall be evaluated by an Infectious Disease Specialist and by the HIV coordinator.

Each offender receives a dental examination, treatment and dental appliances as deemed necessary.

Emergency care and out-patient services are provided by UCONN or if necessary the nearest hospital available.

Health services staff facilitates assessment activities daily excluding weekends and holidays. However, medical coverage is provided Monday through Sunday twenty-four hours per day. Staffing includes a physician, dentist, dental assistant, nurses, nurse supervisor, physician's assistant, x-ray technician, and clerical.

The physician is responsible to oversee all operations of health services including coordination of care for offenders hospitalized outside and within Walker.

The physician's assistant is responsible to provide on site sick call and physical.

The head nurse is responsible to supervise personnel and the administration of patient care under the direction of the nursing supervisor.

The nurse are responsible to deliver nursing care services, orders and maintain pharmaceutical and medical supplies, maintain control of offenders in the health service unit, maintains records and prepares reports and triage as needed.

The nurse supervisor is responsible to oversee all operations of health services including coordination of care for offenders who have medical needs that can not be met within Walker. The supervisor oversees the medical classification of each offender.

The x-ray technician is responsible for taking and developing x-rays as ordered.

Clerical is responsible to complete all record keeping, filing, correspondence and data entry functions.

### **HEALTH SERVICES ASSESSMENT INSTRUMENTS**

**Intake Screening Form** – Used as a questionnaire designed to assess any current or past medical problems, need for medications, or need for any immediate intervention. This tool also determines any present or past history of drug abuse and mental illness.

**Health History Form** – Used to determine past medical history, lists next of kin, previous incarceration and lists immunizations and date they are administered.

**Physical Exam Form** – Used to document the physical health of each offender. Any abnormality noted upon the physical exam shall be documented on the form.

**Aplisol (PPD) Immunization** – Used to check for exposure to tuberculosis. It is administered intradermal and is checked 48 hours to 72 hours later for redness and induration. Redness and induration are measured in millimeters and documented on the chart. If determined PPD positive, further workup is required.

**Diphtheria Tetanus (DT) Immunization** – Used as a preventive measure against tetanus and diphtheria and is routinely administered approximately every seven years.

**Complete Blood Count (CBC)** – Used to determine the blood cell count. This blood test is a useful test to rule-out infections, anemia, etc.

**Chem 12 Blood Test** – Used to determine liver functions, kidney functions, cholesterol levels and glucose level.

**VDRL Blood Test** – Used to check for syphilis.

**Urinalysis** – Used to check for abnormalities such as infection.

**Chest X-ray** – Used to rule-out any infectious process, such as pneumonia or tuberculosis. Each offender will receive a chest x-ray.

**Visual Acuity Exam** – Used to determine the need for eyeglasses or further examination by an optometrist.

**Dental Exam** – Used to check for abnormalities of gums, mouth, cavities, etc. This examination will be performed by a dentist.

**Medical Rating** - Used to determine what facility the offender may be transferred to.



**Problem List** – Used to list all medical problems and the dates such as allergies, hepatitis history, immunization history, etc. When reading this form, a complete medical “picture” is given.

**Complete Medical Record** – Used as a container of information which includes a health history, shall have a current physical exam, an up to date immunization record, current lab work, dental exam, mental health exam, and ratings for mental health and medical.

**Electrocardiogram (EKG)** – Used as a test to assess the heart and rules out conditions such as angina and present or past myocardial infarctions (heart attacks). This test is administered routinely to all offenders over thirty-five (35) years of age or to those offenders whose medical condition warrants such a test.

### **C. CLASSIFICATION SERVICES**

Classification services provides assessment, records related services, overall scheduling and tracking of each offender through assessment ensuring the data entry of all assessment components; completion of social history data entry, risk levels rating, needs rating, special management concerns, immigration status, formulation of an incarceration plan, facilitation of DoC orientation, a program services orientation, an HIV orientation, victim services orientation and packaging of inmate records for transfer to receiving facilities.

Each admission shall receive a comprehensive substance abuse assessment, which will be used to assist with program placement throughout the Department of Correction.

Each offender shall receive an orientation to addiction services programs available within the Department and a general screening to determine whether a current substance abuse problem exists.

Classification services staff facilitates assessment activities daily excluding weekends and holidays. Staffing includes supervisor, classification counselors and clerical.

The supervisor is responsible to oversee the educational assessment process including but not limited to staff and offender scheduling, supervision, training and evaluation of the counselors and clerical staff.

The classification counselor is responsible for conducting social history interviews, criminal history information, sex offender registration, completion of special management profile characteristics, immigration status, risk and need level ratings and an incarceration plan for each offender. The counselor conducts orientation to Walker, HIV awareness presentation, Security Risk Group awareness presentation, Sexual Assault Prevention presentation, Program Services presentation, and a Victim Services presentation.

Clerical is responsible for data entry, compilation of assessment files, filing, copying, preparing correspondence and telephone answering.

#### **ASSESSMENT/SCREENS TO BE COMPLETED:**

**Risk Level Work Sheet** – Form utilized by classification counselors to determine risk scores.

<b>RTX2</b>	Offender Face Sheet
<b>RTX3</b>	Social History
<b>RTX6/RTXG</b>	Special Management Identification
<b>RTX5</b>	Family & Residence – Early Childhood
<b>RTX4/RTWA</b>	Family & Residence – Significant Other
<b>RTXA/RTWA</b>	Family & Residence – Siblings
<b>RTXB/RTWA</b>	Family & Residence – Children
<b>RTX9</b>	Alien/Immigration Information

**RTXD** Arrest/Sentence Summary  
**RTXW/RTXX** Incarceration

**Inmate Classification Form (ICF)** – Used to identify risk and need score.

**Substance Abuse T-Score Assessment** – Utilized to determine substance abuse need score.

## **D. RECORD SERVICES**

To control the flow of offender arrivals to Walker, a schedule of transport has been established. After being sentenced, Walker offenders are returned to the jail locations to await transport to Walker. The jail will fax to Walker records copies of all mittimus prior to transfer. The records staff in conjunction with the Population Management Unit determines the offenders to be transported to Walker on a daily basis. The responsibility of the Records Department is to create and maintain a master file for each offender that is processed through Walker. The records function is central to the assessment process in that compiled information from assessment components is collated into the master file. Records is operational daily excluding weekends and holidays.

## **E. MENTAL HEALTH**

Each offender shall receive a comprehensive mental health assessment, which includes a mental status examination, a psychiatric history, an evaluation for suicidality, and an evaluation for major mental disorders and sexual paraphilias. Offenders requiring mental health treatment shall have it initiated or continued at Walker.

The mental health assessment component is responsible for assigning mental health scores and reviewing sex offender scores. Offenders transferring out of Walker for a mental health emergency shall have mental health scores assigned at the time of the transfer.

Mental health staff facilitates assessment activities daily excluding holidays and weekends and includes evening admissions and processing of daily assessments and routine mental health referrals. Staffing includes supervising psychologist, psychiatrist, psychiatric head nurse, psychiatric treatment worker, and clerical.

The supervising psychologist is responsible to oversee the mental health assessment process including supervision and evaluation of staff, program development and assessment, psychological testing and mental health assessments. The supervising psychologist is the mental health director and chairs meetings on offender commitments, involuntary administration of medication and peer reviews.

The psychiatrist is responsible for the prescribing of psychotropic medications and somatic therapies. The psychiatrist orders patient restraints and commitments.

The psychiatric treatment worker is responsible for initial screenings, routine referrals and participation in comprehensive mental health evaluations.

The head nurse is responsible for the initial screening and initiates any needed mental health treatment. The nurse is also responsible for the administration of intramuscular medications, assessment of patient response to medications and monitor for side effects.

Clerical is responsible for scoring of computerized psychological testing, entering data compiled and management of records filing system.

## **MENTAL HEALTH ASSESSMENT INSTRUMENTS**

Mental Health staff have a wide range of psychological testing available with various purposes which include the following:

**Minnesota Multiphasic Personality Inventory (MMPI-2)** – used for the detection of psychopathology and malingering.

**Test of Non-Verbal Intelligence (TONI-2)** – An intelligence test used for those who cannot read.

**Beck Hopeless Scale (BHS)** – Used to assess suicidal intention.

**Beck Scale for Suicidal Ideation (BSI)** – Used to assess thought of suicide.

**Beta II** – Used as an intelligence test for illiterates.

**Shipley Institute of Living Scale** – Used as a quick estimate of IQ.

**Wechsler Adult Intelligence Scale – Revised (WAIS III)** – Used to assess IQ and to assess and localize brain damage.

**Static 99** – Used to assess the likelihood that a sexual offender will commit a new sex offense.

**Vermont Assessment of Sex Offender Risk** – Used to assess re-offense and violence risk of sexual offenders.

## **F. EDUCATIONAL SERVICES**

Each offender shall receive an academic and vocational assessment to include: an educational interview, a screening of general intelligence; assessment of academic proficiency levels; aptitude and work skill levels.

Each offender begins his educational assessment with the comprehensive interview, which includes an educational background section as well as vocational experience and a work history section. In order to determine if an offender has a high school diploma or GED, signed release forms are obtained during the interview process.

At the educational interview an overview of the educational assessment process is given as well as a comprehensive explanation of all the vocational and educational programs offered throughout the Department of Correction.

For offenders under the age of twenty-one a verification of special education history is obtained.

Written verification may be obtained for an offender that states they have completed high school or received a GED. This verification will be placed in the master file.

At the conclusion of the assessment cycle each offender record shall contain information to provide an objective classification rating in both academic and vocational work skill areas.

The Director of Special Education is responsible to oversee the Walker education assessment process including but not limited to staffing and offender scheduling, budget preparation, and general supervision. The principal will serve as custodian of educational records and staff evaluator.

A State Schoolteacher is responsible to conduct and complete individual interviews and to orient all offenders to the educational programming available through Unified School District #1.

A State Schoolteacher is responsible for all group intelligence screening and achievement testing. Duties shall include test administration, scoring, interpretation of results and maintenance of educational records.

Clerical is responsible for scoring of academic and specialized testing instruments, completion of all educational records and management of records filing system. Specific duties include posting of assessment data in educational records, copying and filing.

## **EDUCATIONAL SERVICES ASSESSMENT INSTRUMENTS**

### **Academic Assessment Instruments:**

**Test of Adult Basic Education (TABE), Survey** – The TABE Survey assessment is a group-administered diagnostic test available for administration at (4) levels of difficulty (Easy, Medium, Difficult and Advanced).

**Employability Competency System (ECS)** – The ECS tests students in the areas of math and reading as they relate to on the job skills.

### **Intelligence Screening Assessment Instruments:**

**The General Abilities Measure for Adults (GAMA)** – The GAMA is a group-administered intelligence screening test which measures perception and reasoning skills in picture formatted text.

## **ASSESSMENT SCREENS TO BE COMPLETED:**

**RTXO  
RTXQ/RTXR**

**Academic Education Assessment  
Vocation Education Assessment**

## **G. ADDICTION SERVICES**

Each offender shall receive a comprehensive substance abuse assessment by Addiction Services staff. This assessment will determine the extent, nature and pattern of alcohol or other drug use related to general life functioning.

An Addiction Services counselor is responsible for assigning addiction services scores and forwarding the scores to classification staff.

Addiction Services staff facilitates assessment activities daily excluding weekends and holidays. Staffing includes supervisor; an addiction services counselor and classification counselors.

### **ADDICTION SERVICES ASSESSMENT INSTRUMENT**

#### **Addiction Severity Index (ASI)**

Evidence-based tool used for screening and treatment planning.

#### **ASSESSMENT/SCREENS TO BE COMPLETED:**

**Substance Abuse T-Score Assessment** – Utilized to determine substance abuse need score.

## **CONCLUSION**

Our goal is to ensure classification integrity by completing a comprehensive assessment to ensure a safe and secure environment for public, staff and offenders.

Utilizing a computer assisted data collection and tracking system (CARA), the goal is to complete the Assessment Process and have the offender ready for transfer to the identified receiving facility normally on Day Eleven (11) of the Assessment Cycle.

Together with the other components of the Offender Classification and Population Management Unit, the Offender Assessment Component is committed to strengthening offender management by improving the quality of information of each incarcerated felony offender.