
 <p>State of Connecticut Department of Correction</p> <p><b>ADMINISTRATIVE DIRECTIVE</b></p>	Directive Number <b>9.1</b>	Effective Date 11/13/2012	Page 1 of 5
	Supersedes Population Management, dated 7/1/2006		
Approved By    Commissioner Leo C. Arnone	Title  Population Management		

1. Policy. The inmate population of the Department of Correction shall be distributed consistent with security and management considerations, statutory requirements, court orders or other formal agreements, and the classification of the inmate. Accordingly, inmates may be transferred between correctional units within the Department of Correction consistent with this directive. Population management shall not discriminate based on race, creed, religion, color or national origin.
  
2. Authority and Reference.
  - A. Connecticut General Statutes, Sections 18-81, 18-86, 18-87, 18-87e, 18-87f, 18-91, 18-102, 18-105, 18-106, and 54-186 through 54-192.
  - B. Regulations of Connecticut State Agencies, Sections 18-87f-1 and 18-87f-2.
  - C. American Correctional Association, Administration of Correctional Agencies, Second Edition, April 1993, Standard 2-CO-4B-02.
  - D. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standard 4-4348.
  - E. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standard 4-ALDF-4D-27.
  - F. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standard 3-3180.
  - G. Administrative Directives 4.3, Court Processes; 6.3, Population Counts; 9.2, Inmate Classification; and 9.5, Code of Penal Discipline.
  
3. Definitions. For the purposes stated herein, the following definitions apply:
  - A. Community Services Transfer. The return of an inmate from community release to a facility.
  - B. Computer Assisted Inmate Transfer (CAIT). An automated system that supports inmate transfer functions.
  - C. Court Transport. The movement of an inmate to and from a correctional facility for a court appearance.
  - D. Emergency Transfer. An immediate transfer required to ensure safety and/or security which cannot be accomplished through the use of restrictive housing.
  - E. Medical/Mental Health Transfer. A transfer to accommodate an inmate's medical or mental health care.
  - F. Population Control Transfer. A transfer to manage population levels within the Department.

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- G. Priority Transfer. A transfer for any purpose requiring expedited inmate movement.
  - H. Regular Transfer. The routine classification movement of an inmate between units.
4. Administrative Management. The Director of Offender Classification and Population Management or designee shall be responsible, in accordance with this Directive, for all inmate transfers and placement. A transfer may not be refused by a receiving facility. Absent intervention by the Director of Offender Classification and Population Management or designee, the Unit Administrator shall be responsible for inmate management within the unit.
  5. Population Reporting. Consistent with Administrative Directive 6.3, Population Counts, the six (6:00) a.m. count shall be the Department's Facility Population Census. Population information shall be reported via CAIT for each day to the Director of Offender Classification and Population Management or designee. The Director of Offender Classification and Population Management or designee shall ensure that facility populations remain consistent with identified Department levels/capacities and shall approximate population levels as approved by the Commissioner.
  6. Transfer Priorities. Transfer requests shall be considered in the following priority order:
    - A. Emergency transfers;
    - B. Priority transfers;
    - C. Medical/Mental Health transfers;
    - D. Population control transfers;
    - E. Special needs transfers;
    - F. Regular transfers; and,
    - G. Court transfers.
  7. Transfer Between Facilities. Facility staff shall transfer or receive inmates as directed by the Director of Offender Classification and Population Management or designee.
    - A. Initial Facility Assignment.
      1. Unsentenced Inmates. All unsentenced inmates and temporary surrenders shall remain at the admitting facility. However, the Director of Offender Classification and Population Management or designee shall be authorized to transfer inmates as needed.
      2. Sentenced Inmates. The Unit Administrator shall submit to the Director of Offender Classification and Population Management or designee a sentenced inmate's classification via CAIT profile and a requested facility assignment based on the inmate's classification level. This request for facility assignment shall be submitted within two (2) business days of determination of the overall risk score as defined in Administrative Directive 9.2, Inmate Classification. Facility assignment shall be selected by Director of Offender Classification and Population Management or designee. In certain situations, the Director

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of Offender Classification and Population Management or designee may make facility assignments without receipt of formal request for assignment.

- B. Emergency Transfers. Any emergency transfer with the exception of a community services transfer to a facility, shall be reviewed by the requesting Unit Administrator who shall contact the Director of Offender Classification and Population Management or designee by telephone/fax for approval.
- C. Priority Transfers. A priority transfer request shall be submitted via CAIT to the Director of Offender Classification and Population Management or designee and shall include: (1) detailed written reasons for the transfer; (2) a recommendation for facility assignment based on the inmate's risk level or treatment needs; and (3) any special management requirements. The Director of Offender Classification and Population Management or designee may verbally authorize a priority transfer. The Unit Administrator shall submit required documentation prior to transfer. Decisions concerning priority transfers shall be communicated to the requesting Unit Administrator within 48 hours of receipt of the request.
- D. Medical/Mental Health Transfers. The Director of Offender Classification and Population Management or designee shall be authorized to transfer an inmate for medical or mental health purposes at the request of medical or mental health personnel. Such a transfer may be considered as an emergency, priority transfer or regular transfer. Upon resolution of the medical or mental health concern, the inmate shall be returned to the sending facility as soon as possible unless reclassification or reassignment is warranted and approved by the Director of Offender Classification and Population Management or designee. Mental Health level 4 and 5 transfers shall be coordinated between the DOC Director of Behavioral Health Services and the Director of Offender Classification and Population Management.
- E. Population Control Transfers. As required, the Director of Offender Classification and Population Management or designee shall direct inmate transfers to maintain acceptable population levels at each facility and to ensure facilities remain within identified Department levels.
- F. Return from Community Placement. An inmate returned from a community placement shall normally be admitted to a direct admission facility. The Director of Parole and Community Services shall provide the receiving facility all relevant transfer information as soon as possible but not later than the end of the next business day. Any information required by Administrative Directives 9.2, Inmate Classification and 9.5, Code of Penal Discipline shall be provided promptly.
- G. Regular Transfers.
  - 1. Reductions in Risk Level. The Unit Administrator shall submit to the Director of Offender Classification and Population Management or designee via CAIT an inmate's new classification profile and a requested assignment based on the inmate's new risk level and treatment needs. As with

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the initial facility assignment, the Unit Administrator shall normally recommend a transfer placement to a facility with the same classification level as the inmate which best meets the inmate's programmatic needs.

2. Increases in Risk Level. Risk level increases, which result in the need to transfer an inmate to a higher security level in accordance with Administrative Directive 9.2, Inmate Classification, shall require the approval of the Director of Offender Classification and Population Management or designee.
  3. Lateral Transfers. A Unit Administrator may request a lateral transfer after a regular reclassification of the inmate. The sending Unit Administrator shall submit: (a) a request for facility assignment and (b) reasons for the assignment to the Director of Offender Classification and Population Management or designee.
- H. Mental Health Clearance for Administrative Segregation Placement. Prior to any transfer involving Administrative Segregation placement, mental health staff shall complete Attachment A, Mental Health Clearance Form (HR-523) and forward the form to the Offender Classification and Population Management Unit.
8. Transfer Information. The Director of Offender Classification and Population Management or designee shall inform the receiving Unit Administrator or Shift Commander of the number and classification of each inmate being transferred via CAIT. The sending facility Unit Administrator shall ensure any special medical, mental health and security needs or requirements for each inmate scheduled for transfer is communicated to the receiving facility prior to transfer.
  9. Interstate Compact/International Treaty Transfers. Unsented or sentenced inmates may be transferred to or from any authorized jurisdiction at the discretion of the Director of Sentence Calculation and Interstate Management or designee. The Unit Administrator may make a request to the Director of Sentence Calculation and Interstate Management or designee for transfer when such a transfer is in the best interest of the Department or the inmate. Out of state transfers may be made pursuant to the provisions of Sections 54-186 through 54-192 of the Connecticut General Statutes, the Interstate Agreement on Detainers as specified in Administrative Directive 4.3, Court Processes.

A sentenced inmate may be transferred to another country pursuant to the International Prisoner Transfer Treaty. The Unit Administrator may make a request to the Director of Sentence Calculation and Interstate Management or designee for transfer upon receipt of a voluntary request based on Department needs.
  10. Other Transfers. The transfer of inmates to other agencies within the state of Connecticut may be made in accordance with this Directive and Section 18-87 of the Connecticut General Statutes.
  11. Record Keeping. The Director of Offender Classification and Population Management or designee shall develop and maintain standard reporting formats, record keeping, and communication procedures to implement and operate the transfer provisions of this Directive. The

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Director of Offender Classification and Population Management or designee shall establish and maintain a record of all inmate transfers.

12. Forms and Attachments. The following attachment is applicable to this Administrative Directive and shall be utilized for the intended function:
  - A. Attachment-A, Mental Health Clearance Form (HR-523)
13. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.