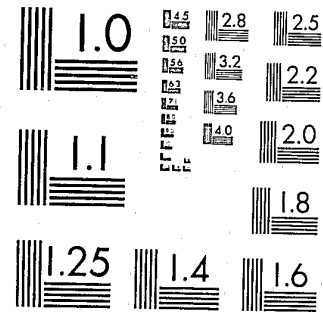


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Missouri
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MISSOURI CORRECTIONAL CLASSIFICATION PLAN

Final Report
November 1981

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ACKNOWLEDGEMENTS

This report presents the findings of a two-phase analysis of the Missouri Division of Corrections classification system begun in July of 1980 and completed in October 1981. This effort was conducted by Correctional Services Group, Incorporated for the Division with funds provided by the National Institute of Corrections.

This project involved the efforts of CSG staff and associates. Robert Buchanan served as Project Director assisted by Cindie Unger. J. Skip D'Alessio functioned as CSG's on-site manager during both phases of the project and was instrumental in coordinating surveys, meetings and interviews. Russell Mazouch, CSG's Office Manager, was responsible for the preparation of project reports as well as managing project support services. Kaye Buchanan and Rita Shanika served as research assistants and were particularly helpful in the collection, coding and analysis of inmate classification data.

Don Stoughton, a former correctional administrator in the State of New York, provided CSG with a comprehensive assessment of the security and custody capabilities of each major Missouri correctional institution. This activity was conducted to understand which facilities (and housing and program units within each facility) are most appropriate security-wise for each type of inmate. Although the primary emphasis of Don's work was to analyze the security capabilities of each institution, the information he obtained was valuable relative to physical location of the inmate programs and services that should be available within the Division.

John Irion, State Diagnostic Coordinator for the Georgia Department of Offender Rehabilitation, assisted CSG with an evaluation of the psychological, testing and assessment procedures employed by the Classification and Assignment Unit. This activity was considered especially important by CSG, as it is vital, particularly since there is no psychologist available, to have a psychological evaluation and testing program that provides valid and reliable data regarding the psychological status of each offender entering the Missouri correctional system.

At the beginning of the first phase of this study, a Classification Advisory Committee was established by the Division. These Committee members, representing the various state correctional institutions, provided CSG with guidance and advice throughout the course of both phases of the project either through our regular monthly meetings or through individual conferences. These Committee members, identified elsewhere in this report, deserve our gratitude.

The excellent support received from the Division of Corrections is gratefully acknowledged. Special recognition is due to our Project Monitor, Assistant Director R. Dale Riley who provided guidance and direction relative to CSG's project activities. We also wish to thank the Executive Assistant to the Director, Mike Reid, who served as our project monitor for the first phase of the project and who worked with CSG throughout the course of the study.

Most of our day-to-day assistance was provided by the staff from the Classification and Assignment Unit. CSG wants to particularly acknowledge

the efforts of Unit Director Don Smith and Casework Supervisors Nikia Schulte and Steve Long. It is obvious to CSG that Don and his staff, operating in a time of increased demands on correctional systems due to cutbacks in resources, wish to have as effective and efficient a classification system as possible. It was truly gratifying and pleasurable to work with staff from this Unit throughout the course of the project.

We also wish to acknowledge the Director of the Division of Corrections, David Blackwell, for both his and his staff's cooperation and interest in the study. These include: Assistant Director of Administration, Donald Jenkins; Administrative Assistant to the Assistant Director, Myrna Trickey; and Director of the Training Academy, Jerry Bolin.

Finally, CSG wishes to recognize the Classification Study Liaison Committee which was established shortly after the project began. This Committee was composed of classification staff from each of the Division of Correction's institutions. It was assembled to provide CSG with a contact at each facility which was essential in coordinating the numerous interviews, site visits, surveys and inmate file analyses necessary to complete the project in a timely fashion.

CORRECTIONAL SERVICES GROUP, INC.

Robert A. Buchanan
President

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Executive Summary

Missouri Correctional Classification Plan

EXECUTIVE SUMMARY

The Missouri Division of Corrections, like many other state and local correctional systems, has been subject to significant financial, political, legal and public pressures over the past decade primarily due to overcrowding and diminishing resources.

Because of the increasing violent crime rate and the potential for determinate sentencing to be adopted by Missouri lawmakers, it is likely that both the inmate population and the expected length of incarceration will continue to increase. At the same time there is not a concomitant expectation that programming and custody resources will increase at a corresponding rate. This problem is further complicated by the fact that many of the DOC's are outdated and overcrowded now, yet they continue to be used because construction monies are scarce. As new sentencing laws and correctional management guidelines are implemented in state correctional systems, the result appears to be a shift in emphasis away from extensive rehabilitation programs and treatment services. The increasing demand for both security and program resources, coupled with the probability that the supply of both will decrease, calls for especially efficient and effective classification decisions in order to maximize the available physical, financial and human resources.

As the number of escapes and serious incidents have increased within the Missouri Correctional system, so has the citizen's concern for the safety of its members. The Missouri public looks to the correctional system to prevent escapes and to release prisoners who are capable of refraining from criminal actions. If the Division is unable to fulfill these mandates, public response may surface in the form of determinate sentencing laws, mandatory sentences for certain offenses, increased support for the death penalty, resistance to community corrections, or even reduced financial resources.

Needless to say, the correctional system is not the source for all the crime-related problems that plague society. However, it is charged with escape prevention and for improving the chances for successfully reintegrating offenders back into the community, and for gaining the public's acceptance and support of community-based corrections. Classification plays a major role in each of these areas.

Correctional administrators realize that the effective, efficient and secure management of the correctional system is dependent upon a classification system that is responsive to the needs of the agency, the public and the inmates it confines.

Further, due to court decisions and a growing prison census, classification is coming to be viewed as a core correctional process, and not merely as isolated acts of assigning the inmate to an institution, giving a few tests, and writing a case summary. American Correctional Association Standards call for a written plan detailing objectives, methods, and monitoring procedures for classification, and many states have mandated the implementation of such comprehensive systems. Furthermore, courts are beginning to demand that all persons in the prison system be included in a classification system, particularly females.

Missouri Division of Corrections officials were cognizant of the importance in improving their classification system when they commissioned a preliminary evaluation of the agency's classification system in 1979.

The preliminary evaluation identified a number of weaknesses in the present system and provided recommendations to the Division to rectify these deficiencies. It also pointed to the need for a large-scale, comprehensive evaluation that would focus on all aspects of the classification system including the need for objective classification criteria and consistent application of these criteria.

In July of 1981, Correctional Services Group, Incorporated was awarded a contract to evaluate the MDOC's classification system. The evaluation was completed on November 16, 1981.

OBJECTIVES OF THE STUDY:

Correctional Services Group understood the objectives of this evaluation to be:

- To improve operational classification processes in the Division by:
 - Examining current practices in relation to contemporary classification procedures and accepted national standards (CAC);
 - Assessing the outcomes of classification decisions as to success/failure, escape/non-escape, violence/non-violence, etc;
 - Establishing a system to monitor classification treatment plans and rationale for plan modifications;
 - Developing classification procedures which are both quantifiable and capable of standardization; and
 - Developing a structured classification instrument which can be used across the Division for purposes of institutional assignment, security assignment, program placement, etc.
- To increase the image and role of classification personnel and procedures in the Division by:
 - Involving Division classification and security personnel in both the evaluation process and the restructuring of the existing classification system; and
 - Documenting the need for classification as a management tool for the custody and treatment of Division inmates.
- To determine the actual physical plant and staffing needs of the Division necessary to improve the classification process by:
 - Examining the actual physical plant needs for initial classification and assignment;
 - Determining the actual number and type of personnel necessary to conduct initial classification and subsequent institution classification.

- To reduce the number of unnecessary inter-institutional transfers by:
 - Developing specific placement criteria for inmates' institutional assignment;
 - Examining transfer practices and outcomes to determine necessary versus unnecessary transfers;
 - Reducing individual institutional discretion in recommending/approving transfers; and
 - Developing procedures to determine short- and long-range bedspace, security and program needs.

ORGANIZATION OF THE REPORT

This final report represents the findings and recommendations of a two-phase study of the Missouri Division of Adult Institutions (formerly Division of Corrections) Classification System.

- Chapter I describes the origin of the study, provides an overview on offender classification and assessment, describes classification approaches nationally and in Missouri, and presents an analysis of contemporary trends in offender classification ranging from the use of objective classification instruments to computerized inmate assignment systems;
- In Chapter II, CSG's approach to conducting the study and the methodology for collecting and analyzing the data are presented;
- Chapter III reviews the goals and objectives of the Missouri Correctional System and prioritizes them as they are employed and rated by Division staff;
- Chapters IV and V delineate the various classification procedures and techniques utilized by the Division during initial diagnostic and institutional classification proceedings;
- In Chapter VI, CSG reviews the need for a more comprehensive central office classification authority;
- Chapter VII is devoted to an assessment of female classification as carried out at the Renz Correctional Center;
- In Chapter VIII, CSG reviews the classification of special management inmates such as protective custody cases and the psychologically disturbed;
- The capabilities of Division institutions to manage inmates and a staff produced profile of inmates at each MDOC facility are the subjects of Chapter IX;
- Chapter X includes a detailed analysis of classification decision-making in the Division as it pertains to security and custody determination. It also focuses on the adequacy of the present classification system in determining an inmate's security status.

- The Division's approach to institutional assignment of inmates is briefly discussed in Chapter XI. The primary purpose of this chapter is to introduce a new system for performing this function known as the Correctional Classification Profile (CCP);
- Finally, the various staffing issues in classification, particularly those concerning personnel needs, are addressed in Chapter XII.

An analysis of the security and custody capabilities of each DOC institution and their implications for improvement of the classification system are included in a separate report entitled Missouri Correctional Facility Analysis.

SUMMARY OF RECOMMENDATIONS

In writing this evaluation report, CSG has endeavored to develop a document which will be useful to the Missouri Division of Corrections by including suggestions and strategies for implementing the recommendations set forth within this report. In addition, CSG has prepared a document which we believe will be meaningful to persons and groups outside the Division. Therefore, CSG recommends the reader carefully review the entire document, in order to obtain a complete understanding of the operation of the Missouri classification system and CSG's findings and recommendations. While the Executive Summary presents CSG's major recommendations, the detailed findings, rationale, and implementation strategies can only be fully understood if the entire report is reviewed.

Prior to presenting the major recommendations, CSG believes it is important to elaborate on what classification can and cannot do for correctional systems and to elaborate on the need for a centralized classification system.

What Classification Can Do

- Classification contributes to the orderly operation of a prison system.
 - Classification helps to carry out the mission and goals of the department through implementation of classification policy and procedures.
 - Custody, institutional transfer, and community program eligibility decisions can be made through systematic coordination of information between the institution and central office levels, rather than in a vacuum.
- An efficient classification system enables impartial, consistent, and equitable placements.
 - A classification system consists of written policies and procedures, understood by staff and inmates, that structure -- not eliminate -- discretion by using objectively derived behavioral factors that logically relate to the decision being made, and by adhering to a method to override or alter the classification decision, provided that adequate and explicit reasons are written to justify this action.
 - Classification determines the appropriate security/custody level for each inmate, thus decreasing the likelihood of staff and inmate abuse, fear, violence, litigation and the like.

- Classification is the most efficient method for identification of inmates' educational, vocational, and other need areas.

• Classification is a prerequisite to the rational allocation of whatever opportunities and resources exist within a system and its institutions.

- Classification is an indispensable tool for coherent facility, program, budget, and staff planning, because it utilizes the specific needs and characteristics of the inmate population as a basis for system-wide planning. In a time when already limited program resources are diminishing, classification is viewed as the most efficient way to allocate those resources and achieve the best possible delivery of services and opportunity for rehabilitation.

• Classification is essential to effectuate important constitutional rights. Similarly, an inadequate classification system is a major contributor to unconstitutional conditions. Classification is seen by the courts as a means to guarantee:

- The right to be reasonably protected from assault and the constant fear of violence;
- The right to be free from "deliberate indifference" to medical needs, and therefore to receive minimally adequate medical and psychiatric treatment;
- The right not to be housed in an institution where the conditions of confinement violate the constitutional prohibition against cruel and unusual punishment.

What Classification Cannot Do

At a time when classification is expected to serve as the key process to solving many of the problems facing corrections, it is important to examine its functions carefully and realistically. While classification is essential in order to meet many correctional goals, it is important to note that there are several significant objectives that the classification system alone will not be able to achieve.

Classification cannot end prison overcrowding

National statistics generally show that sentences are getting longer and prison populations are increasing. Classification per se cannot change these trends. However, classification can assist administrators to use existing facilities to their best advantage -- a very important function when they are overcrowded. In some instances facilities can be adapted to meet the population's needs without major construction. Classification can also give information about the current and projected population makeup that will aid in facility and program planning to reduce overcrowding. In the recent past, this type of information has usually led to greater development of community-based facilities, rather than building of maximum security prisons. Nevertheless, for systems facing a crisis of overcrowding, it is especially important to recognize that classification offers no magic answer to reducing the actual census.

Classification cannot eliminate prison violence

The factors that affect violence in correctional institutions are numerous and have a complex interplay. Research has had little measurable success in isolating any single factor or set of factors that indicates a direct cause and effect relationship. Effective classification may, however, influence many of the factors associated with violence: the lack of understanding by and participation in the classification process by the prisoner, resulting in anger and frustration about the perceived arbitrariness of classification decisions; separation of predatory inmates from victims; assignment of severely disturbed inmates to proper facilities; separation of rival gang members, etc. Further, giving the inmate the means of personal contact with a classification staff member may prevent his acting out.

Classification cannot end prison escapes

Classification systems cannot predict escape potential accurately, although some successes have been reported. One persistent problem in some states is that when minimum security facilities are overcrowded and lack programs, the attendant pressures result in some escapes, even though the assignment to minimum custody supervision may be correct.

THE NEED FOR CENTRALIZED CLASSIFICATION

In 1959, when the Missouri General Assembly passed legislation creating a central reception center, the MDOC was essentially operating three institutions, the Missouri State Penitentiary and two satellite facilities, the Missouri Intermediate Reformatory for youthful offenders and a unit for female offenders. The total inmate population was less than 3,500. Twenty-two years later, in 1981, the MDOC operates ten facilities with another scheduled to open in early 1982. The total MDOC inmate population has doubled since then. The Division first established a team classification program in the mid-1970's but the authority for inter-institutional transfers remained with the Director of Classification and Assignment who also directed the operation of the state's diagnostic center.

Over the years, the lack of a central classification authority led to a fragmented, inconsistent classification system that was rooted in institutional autonomy. Institutional administrators were responsible for managing their institutions and given the lack of direction provided by Division policy (Rules) operated their institution according to their personal management philosophies which included the classification component of the institution.

As long as Missouri operated a small correctional system (in terms of inmate population) with a limited number of assignment and transfer options this type of system met the Division's needs. Missouri, however, no longer maintains a small correctional system. With a total of ten facilities to manage and an inmate population in excess of 6,000 (November 11, 1981) the MDOC can no longer afford to operate a decentralized system of classification. The consequences include unacceptable numbers of inappropriate inmate assignments, increased numbers of inmate assaults on staff and other inmates, escapes and escape attempts and generally volatile confinement conditions.

- Classification is the most efficient method for identification of inmates' educational, vocational, and other need areas.

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RECOMMENDATIONS

GENERAL

- There must be a clear definition of the mission and goals of the total Missouri Correctional System which can be translated into specific objectives for the inmate classification process. The classification objectives must be thoroughly defined and understandable by both staff and inmates. Further, these objectives must be assigned a high priority to provide direction to staff in fulfilling the Division's various mandates;
- Realistic projections of future MDOC staff and inmate treatment program needs are dependent upon a comprehensive survey of the entire MDOC inmate population to determine characteristics of the inmate population and specific treatment needs. The results of such a survey should be used to determine:
 - Number of treatment and custody staff needed for each facility;
 - Nature and extent of treatment programs that should be provided by the MDOC to be responsive to the needs of the inmate population;
 - Specialized treatment staff positions that should be developed using current classification personnel;
 - Pre-release orientation and counseling needs; and,
 - Post-incarceration resources that should be provided by the community.
- Concerning the previous recommendation, the Division should conduct comprehensive evaluation of all inmate programs and services. The goal of this evaluation should be to determine which programs are meeting their stated objectives, which should be discontinued, and in specific, assessing the effectiveness and efficiency of each program;
- The proposed classification system should serve as the cornerstone for planning within the Division, particularly in determining the number and type of new correctional facilities.

INITIAL CLASSIFICATION

- Control of MDOC intake should be shifted from the community jurisdictions to the Division of Corrections. The MDOC should implement a priority intake system based upon the needs of the Division, the committing county and the individual offender;
- The MDOC should establish a comprehensive orientation program for newly-received inmates who are undergoing initial reception and diagnosis;
- Historical criminal, social, psychological and other information necessary to the effective initial classification of new offenders should be supplied to the Classification and Assignment Unit by committing jurisdictions and other state and private agencies possessing relevant data at the time an offender is formally admitted to the MDOC.

- An offender-based records and information system should be developed by the MDOC to provide timely and accurate information critical for administrative and operational decision-making;
- The classification and assignment process should focus on identifying incoming offenders who need in-depth evaluation and classifying all offenders utilizing the Correctional Classification Profile. To accomplish these objectives, the initial reception and classification process must be expanded to at least a two week period for normal needs inmates and four weeks for those with special management concerns;
- A new reception and classification center should be constructed in the Columbia-Jefferson City area. The design capacity of the facility should be from 280 to 320 single cell units. Additional beds should be added in the form of a mental health unit.
- The Classification and Assignment Unit should employ a testing battery consisting of: an intelligence measure; and achievement measure; a personality test; and a clinical questionnaire;
- The Division should implement a Mutual Agreement Program (MAP) or similar contract parole program to operationalize the Division's commitment to personalized planning.
- The Classification and Assignment Unit should develop and then operationalize a team approach to initial classification; and,
- The Classification and Assignment Unit should manage its own vehicles for purposes of inmate transfer to receiving institutions.

INSTITUTIONAL CLASSIFICATION

- The Classification policies and procedures employed by MDOC classification staff should be modified to reflect the recommendations contained in this report. This action is necessary in order to establish a bonafide classification system, to ensure that classification services are delivered to inmates in a consistently professional manner, to guarantee that the needs of the inmate, the Division and the public are given adequate consideration during all classification deliberations; and to standardize classification practices in all MDOC facilities.
- The MDOC Rules governing classification must be reorganized and rewritten to reflect classification policies and procedures adopted or revised as a result of this evaluation and to provide:
 - Division-sanctioned objectives and priorities;
 - Standard operating procedures for institutional staff to follow;
 - Objective criteria upon which to base security and custody level assignments, and program and service requirements; and,
 - The basis for a classification manual that would provide a consistent framework for classification decision-making and the day-to-day operations of the Division's classification staff.

CLASSIFICATION MANPOWER REQUIREMENTS

- The following staff should be added to the Classification and Assignment Unit:
 - A Director of the Reception and Classification Unit;
 - A Clinical Psychologist (Ph.D.) level;
 - A psychometrician;
 - A Caseworker I;
 - A male Clerk Typist I (Reception Area);
 - Three Correctional Officer I's (supervision of inmate movement);
- Additional institutional casework staff and classification support personnel are needed to meet personnel requirements of the MDOC Classification (and treatment) system. Most importantly, an additional 20 new caseworkers are warranted throughout the Division.
- Forty hours of formal inservice as well as 40 hours of preservice training programs for classification staff are needed to ensure the consistent application of MDOC classification policies, procedures and criteria.
- Structured on-the-job training should be provided consistent with the identified needs of current classification staff and casework supervisors.
- Correctional officers and other nonclassification staff who participate in classification team hearings on a regular or intermittent basis should be required to complete 40 hours of formal classification training.

SPECIAL MANAGEMENT INMATES

- Providing for the needs of special management inmates should be afforded a higher priority by the MDOC and the State of Missouri. Specific recommendations include:
 - The needs of protective custody inmates should be met through the conversion of an existing, or construction of a new MDOC facility which would be used solely as a protective custody unit;
 - Prior to the establishment of a separate protective custody facility, the Division should provide improved programming for the inmates now assigned the major protective custody units at MSP, MTCM, MIR and CMCC;
 - A centralized multipurpose unit is needed to provide for the special management and treatment needs of the MDOC inmates who have chronic mental problems or who require stabilization before being transferred back to a maintaining institution;
 - The mental health care needs of female offenders are similar to those described for male inmates. However, the relative percentage of female offenders who require psychological/psychiatric intervention is much

- The basic Personalized Plan developed during initial classification should be refined and implemented by institutional classification staff.
- Standard MDOC forms should be developed for every institution to provide for the consistent collection and dissemination of classification of information.
- The state-of-the-art in formulating objective scales for determining the security and custody needs of female offenders is in its infancy. Therefore, the Correctional Classification Profile proposed in this report should not dictate the assignments of female inmates within the Renz facility. The profile should be used, however, for monitoring and evaluation purposes and to gather information with which to structure an objective decision-making guideline.

CENTRAL OFFICE CLASSIFICATION

- A change in MDOC policy, from a decentralized classification system to a centralized classification system is necessary. Specifically:
 - A central classification authority should be established to monitor the classification decision-making process and to provide feedback for the improvement of these decisions;
 - The Central Classification Authority should provide for the maximum review of classification decisions that pose a risk to the public;
 - The authority and responsibilities of the Director of Classification and Assignment should be expanded to include responsibility for the operation of the entire classification system;
 - Population management should be a primary responsibility of the Central Classification Authority. To accomplish this objective, a representative of the Central Authority should participate in all initial classification hearings; and,
 - Final authority for all initial assignments, interinstitutional transfers, and changes in public risk (security) scores should be delegated to the Director of Classification and Assignment.
- The Central Classification Authority should be administered by the Director of Classification and Assignment and be comprised of the following staff positions:
 - Security/custody Coordinator;
 - Community Leave Coordinator;
 - Population Management Coordinator; and,
 - Programs/Services Coordinator.

higher. A specialized unit or facility is needed to provide these services; and,

- The Division should develop a more objective system for determining the assignment of behavioral problem inmates to administrative segregation;
- A special needs assessment program should be developed at the Classification and Assignment Unit to identify and recommend programming for new inmates who staff anticipate will have a difficult time in adjusting to confinement.

SECURITY/CUSTODY DECISION-MAKING

- Inmates should be classified to the least restrictive custody level required to protect the public, staff and other inmates;
- The present one-level custody definition system should be revamped to include two levels; security or public risk and custody or institutional risk. Security level is defined as the type of physical environment an inmate must be placed in to protect the public, staff, other inmates and himself while custody level refers to the amount and type of supervision the inmate's past and/or present behavior requires.
- An objective security/custody determination instrument should be employed to provide staff direction and information relative to the inmate's likelihood to be violent while confined and propensity to escape.
- The present emphasis the Division now places on an inmate's length of sentence and age should be reduced in determining an inmate's custody level and institutional assignment. Increased emphasis should be afforded history of violence, nature of the present offense and history of escape.
- Due the high incidence of violations committed by these individuals, the Division should provide considerable attention to the selection criteria and procedures employed for assigning inmates to pre-release who have alcohol and/or drug abuse histories, long-term community instability patterns, and serious institutional adjustment problems;
- Some inmates should be placed in community centers (honor centers and halfway houses) for less than the current six month assignment period as they will be unable to affect a long-term adjustment to the problems associated with such a "half-free" status.
- Inmates should be selected for participation in a community correctional program primarily on their Public and Institutional Risk scores.
- Finally, CSG recommends that the Division consider the direct transfer of qualified inmates from the Classification and Assignment Unit to Pre-release.

INSTITUTIONAL ASSIGNMENT DECISION-MAKING

- Assignment of inmates to institutions should be based on the most outstanding need of the inmate in conjunction with the capabilities of the institutions;
- A structured instrument, the Correctional Classification Profile (CCP), should be employed to prioritize an inmate's needs which include the following nine factors:
 - Medical and Health Care
 - Mental Health Care
 - Security/Public Risk
 - Custody/Institutional Risk
 - Treatment
 - Education
 - Vocational Training
 - Work Skills
 - Proximity to Release Residence/Family Ties
- The Correctional Classification Profile should be utilized throughout an inmate's sentence to both monitor his or her progress relative to the nine factors and to assess the capabilities of each MDOC institution with respect to the inmate's needs at each point in his or her confinement.

*see page 142
re: classification*



Chapter One: Introduction

CHAPTER ONE: INTRODUCTION

A. Background of the Project

On August 12, 1981, the State of Missouri awarded a contract to Correctional Services Group, Inc., (CSG) to analyze the Division of Correction's (DOC) classification system. Numerous events led up to the award of this project.

Most notably, in August 1979 two serious incidents--an inmate escaped from a medium security institution and committed a serious sexual assault and an inmate of the maximum security institution murdered a correctional officer--prompted the media and members of the general public to attack the decision-making criteria employed by DOC classification staff. In addition, overcrowding and court intervention have seriously impacted the Division's ability to successfully manage its inmate population. One court order placed a limit on the number of inmates that can be housed in the Diagnostic Unit (Housing Unit #1) the other suit involves the death of an inmate who testified against another inmate in the Missouri system. This suit has led to a number of drastic changes in the DOC policies and procedures governing protective custody inmates. Other changes within the past ten years that have significantly impacted the Division's classification system include:

- . The opening of new facilities;
- . The transformation of satellite institutions into autonomous facilities;
- . The expansion of protective custody units;
- . The increase in program offerings; and
- . The initiation of the Half-Way House Program.

In late 1979, Missouri DOC officials obtained a technical assistance grant from the National Institute of Corrections (NIC) to conduct a preliminary evaluation of its classification system. CSG staff member Robert Buchanan was selected by the Division to perform this evaluation. NIC was favorably impressed not only with the evaluation recommendations, but also with the Division's commitment to improving its system. As a result, NIC awarded a grant to the state to complete a comprehensive analysis. Correctional Services Group was selected through competitive bid to perform this analysis.

B. Introduction to Classification

The mandate of corrections is to manage the offender from the time of his conviction to the time of his release from all legal supervision. Within the constraints imposed by a state's statutes, the sentences imposed by its judges, and the resources it provides, there are numerous alternatives. Whenever practicable and feasible, the choice that meets the needs of the offender, the correctional system, and the public should be made. Classification provides a mechanism for achieving this objective.

There are numerous advantages for a correctional system that employs an effective classification process. Several of these advantages are summarized below:

1. Classification permits a more efficient and systematic analysis of individual inmate needs. Standardized processing of inmates based upon sound classification principles responds to the administration's need for inmate management as well as the need for the system to utilize its limited resources in an appropriate manner. Further, a standardized classification procedure facilitates later research and evaluation that can be used to upgrade programs and services.

2. Effective classification permits a better communication flow through the correctional continuum--including inmate, custody staff, treatment staff, administrative staff, and even to the public. Further, an objective basis for classification decisions is more readily communicable to, and understood by, public and political sectors who are concerned with how programs and custody determinations are made.

3. Another advantage to classification is that it provides a method for implementing the overall goals and mission of the correctional agency. Likewise, the agency can monitor and evaluate its effectiveness in reaching its goals.

4. Good classification, based upon fairness and objectivity, encourages systematic, specific and consistent responses to institutional behavior. Thus, the inmate is more likely to perceive a logic and predictability in this system that otherwise may appear reactive, crisis-oriented, subjective or arbitrary.

5. Classification promotes an effective and orderly relationship between areas of correctional decision-making that have traditionally been addressed, at least somewhat, independently. In other words, it clarifies, for correctional staff, the inmates, and the public, the relationships among institutional behavior, custody changes, institutional transfers and community program participation.

6. Effective classification helps the correctional agency to balance the needs of the agency with those of each institution, the individual inmate and the public. Considerations weighed during classification decision-making include:

- a. The system's security resources (e.g., number of beds available at the different institutions);
- b. The system's programs and staff resources and availability;
- c. The individual institution's need for order and security;
- d. The institution's need for institutional maintenance;
- e. The inmate's program and service needs;
- f. The distribution of security needs evidenced by the inmate population;
- g. The public's concern and need to be protected against criminal behavior through length of incarceration, prevention of escape, and successful reintegration strategies;

- h. The media's concern about public protection, prison conditions, etc.; and
- i. The courts' concern about conditions of confinement, correctional practices and prisoner rights.

7. Objective classification decision-making has a distinct advantage over arbitrary decisions in the area of pre-release, honor center, or half-way house assignment. Many prison systems are currently overcrowded and desperately need to accurately identify inmates who are appropriate candidates for pre-release and community placement. Objective classification can address immediate system needs, as well as generate accurate data upon which to project future security and facility needs.

8. Classification promotes effective pooling of knowledge about individual offenders. Important information about inmates may come from the inmates themselves, the correctional officers who supervise them on a daily basis, program supervisors, past records and treatment staff (psychologists, educators, counselors, medical staff, etc.). Classification ensures this information is given adequate consideration and that important decisions are not reached based upon inaccurate or incomplete information.

C. Contemporary Trends in Classification¹

At the present time in the United States, there is a decided shift in classification away from subjective judgements toward the employment of standardized instruments. Many of the states currently using standardized instruments cited court pressures and overcrowding problems as their primary motivation for developing new models and guidelines. The expectation is that these guidelines will reduce the possibility that the courts will find institutional or program assignments unconstitutional or arbitrary, as well as provide a defense against public criticism concerning the necessary assignment decisions dictated by overcrowded conditions and court mandates.

One of the basic considerations in developing an objective classification system is the choice of clinical versus actuarial data for decision-making purposes. Briefly, the clinical method is characterized by the application of some level of human (subjective) judgement to a case. The actuarial method is characterized by the mechanical application of statistically-derived ratings that summarize such data as past behavior for purposes of predicting future behavior. Still other classification models utilize a combination of these approaches. For example, the newer approaches generally use the actuarial approach as a foundation in considering a number of fixed factors that, on the average, will predict model outcome. However, clinical classification methods can be used to identify and evaluate mitigating or aggravating circumstances that may suggest a classification decision that deviates from that suggested by a purely actuarial approach.

One important conceptual framework currently being used in classification is based upon a decision tree model. For these models, independent variables frequently associated with recidivism, escape or unfavorable institutional adjustment are paired with dependent variables. The Florida clas-

¹ This section was summarized from an unpublished report by Brad Fisher entitled, Classification Evaluation and Guidelines (1980).

sification system uses a decision tree model based on the initial identification of factors considered to be important in making classification decisions. The system was developed using Interpretive Structural Modeling (ISM) which is a computer-aided technique for generating a contextual map, or "structured model" of a complex issue.

According to the model, the initial and most important question would be whether the inmate was diagnosed as "actively psychotic." If the answer to this question is yes, the inmate is immediately assigned to maximum custody. However, if the answer is no, then the scorer moves on to the next element of the decision tree which relates to the inmate's history of intentional violence. The score on this and subsequent categories define the appropriate custody assignment for that particular inmate.

Another approach used for classification in several states is termed the "Cowden Risk Screening Needs Assessment." This approach, initially developed for the Wisconsin prison system, is based on rating schedules that provide information about both risk screening and general needs assessment. This format has continued to evolve and variations have been used in such states as New Mexico and Rhode Island.

One of the most recent innovations in classification security and custody designation is a dual scoring system that incorporates the concepts of institutional and public risk--the first is scored for institutional violence potential and the latter for perceived threat to the community (combined into a third overall security score). This system was initially developed by New York in 1978 and is being modified for implementation in Maryland, Pennsylvania, West Virginia and Arkansas by Correctional Services Group, Inc.

The rationale for this model is that inmates vary widely in terms of institutional and public threat potential. Some prisoners may pose a relatively low risk to the outside community, yet have a history of assaultive institutional behavior. Other prisoners manifest excellent institutional adjustment, yet when exposed to the community they commit repeated violent acts. With this knowledge and the appropriate institutional security designations, classification staff can determine the levels of perimeter control and custody (supervision) required for each inmate.

A primary advantage of this type of approach is that it permits a more specific pairing of a system's institutional security levels with the differential custody needs of the individual (i.e., inner cell security and close supervision for the adjustment problem with perimeter security emphasized for the public risk-only inmate).

This brief overview of contemporary trends in classification illustrates the diverse options that are available to a correctional system that wishes to improve its classification process through the adoption of more standardized objective procedures.

11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100

Chapter Two: Study Approach

CHAPTER TWO: STUDY APPROACH

Correctional Services Group (CSG) employed a variety of approaches to obtain the information necessary to assess the adequacy of the Division of Corrections' classification system. These approaches are summarized below:

A. Appointment of a Classification Advisory Committee

During the first phase of the project, an Advisory Committee was appointed by the Director's Office to both oversee the conduct of the project and to provide direction concerning the focus of the evaluation. Advisory Committee members represented the following Division components:

- . Central Office;
- . Classification and Assignment Unit;
- . Institutional Administration; and
- . Casework.

The first Advisory Committee meeting was held on August 6, 1980. The agenda included:

- . Introduction of CSG Project Staff;
- . Role of Advisory Committee;
- . Background of the Study;
- . Summary of the Preliminary Evaluation;
- . Goals and Objectives of the Study;
- . Review of the Project Work Plan;
- . Review of Classification Objectives;
- . Discussion of Risk Assessment; and
- . Analysis of Custody Decision Mechanisms.

Thereafter, CSG staff met with the Advisory Committee bimonthly until the completion of Phase I of the evaluation.

Not only did the Advisory Committee, as a whole, provide valuable assistance throughout the course of the project, each individual Committee member provided invaluable information relative to the impact of their individual operations on the classification system.

B. Development of a Classification Liaison Committee

During Phase II of the project, a liaison group, composed of DOC classification staff, was established. This group represented all DOC facilities and was instrumental in disseminating and collecting staff questionnaires. Committee members were also contacted, when necessary, to provide additional information concerning classification policies and procedures at their respective institutions.

C. Review of MDOC Classification Documents and Supporting Information

During the course of the evaluation, CSG staff performed an extensive review of numerous documents which either directly or indirectly related to the process of offender classification in Missouri. This information included:

Policies/Procedures

- . Pertinent MDOC Rules;
- . Transfer of Sex Offenders;
- . Assignment to Temporary and/or Initial Protective Custody;
- . Institutional Transfer Criteria (6/25/80);
- . Classification and Treatment Objectives and Goals (SCPRC);
- . Disciplinary Guidelines for SCPRC;
- . Information Packet for Ozark Correctional Center;
- . KC Honor Center Handbook;
- . Revision of Division Rule 20-110.140: Institutional Transfers.

Classification Forms/Documents

- . Personalized Plan - Worksheets;
- . Classification Forms;
- . MDOC Inmate Files;
- . Diagnostic Test Instruments;
- . Institutional Program Descriptions.

Legal Documents

- . Missouri Criminal Code;
- . Burks, et al. vs. Walsh, et al.

Other Relevant MDOC Reports/Documents

- . Monthly Statistical Reports (1977 - 1980);
- . Annual Statistical Reports (FY77 - FY80);
- . Number of Assaults Within MDOC Facilities - Last Three Years (dated 6/16/80);
- . Weekly Progress Meeting Notes (SCPRC);
- . Job Descriptions
 - Corrections Casework Supervisor,
 - Corrections Caseworker I;
- . Internal Reports on the Impact of the Court Order on the Diagnostic Unit;
- . Biennial Report (1979-80);
- . Functional Unit Management in Missouri: Evaluation of an Innovative Prison Management Model. Final Report Correctional Evaluation Project, University of Missouri - St. Louis (December 1980).

D. Conduct of Classification Staff Workshops

During August 1981, CSG conducted two day-long workshops with classification staff from the Division's ten institutions. A total of 97 DOC staff

were in attendance at these workshops. The purpose of these meetings was threefold:

1. To acquaint DOC classification staff, particularly, to the study and to obtain their support and cooperation;
2. To identify the objectives of classification, as viewed by classification staff; and
3. To identify the problems classification staff face in the performance of their classification responsibilities and to develop possible strategies for resolving these problems.

The results of these two workshops were used to develop the questionnaires that were disseminated during September and to guide further inquiry into the workings of the Missouri classification system.

During the first phase of the project, preliminary interviews were conducted with DOC administrative and institutional staff. These unstructured interviews were conducted to elicit individual perceptions of the classification process and its shortcomings; to determine individual concerns about the classification system; and to solicit individual ideas about the direction the study should take. A secondary objective of these meetings was to introduce CSG staff to DOC personnel and to identify additional sources of classification information, both from documents and through additional staff interviews.

E. Conduct of Staff and Inmate Interviews¹

Approximately 40 personal interviews were conducted with DOC staff. The number of staff interviewed at each DOC facility/unit was:

. Classification and Assignment Unit	5
. Missouri State Penitentiary	11
. Central Missouri Correctional Center	6
. Missouri Intermediate Reformatory	5
. Missouri Training Center for Men	5
. Renz Correctional Center	4
. Ozark Correctional Center	4
. Kansas City Honor Center	1

A total of 15 DOC inmates were interviewed to elicit their observations of the classification process. Each of these interviews took approximately 30 minutes to complete.

¹ All survey instruments and interview schedules utilized for this study will be made available for review by interested parties upon request.

F. Administration of Survey Instruments

A significant portion of the classification evaluation was devoted to the development and dissemination of comprehensive classification questionnaires and the subsequent analysis of these questionnaires. In total, 63 classification staff (63 percent of total classification staff) completed questionnaires; 41 inmates completed survey instruments; 13 administrators completed questionnaires and caseworkers completed a total of 504 inmate profiles for CSG analysis. A dead file exercise was performed by Diagnostic Unit staff and a sample of MSP classification staff to provide CSG with information to make a comparative analysis of individual rationales for making initial assignments. And, finally, CSG examined the base files of 350 inmates to determine their appropriate custody and security assignments based on objective factors.

G. Observations of Classification Procedures

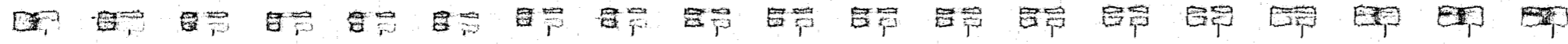
During both phases of this evaluation, CSG project staff personally witnessed initial and classification team hearings in an effort to better understand how Division classification policies and procedures are being implemented. The following facilities were visited:

- . Classification and Assignment Unit;
- . Missouri State Penitentiary;
- . Central Missouri Correctional Center;
- . Missouri Intermediate Reformatory;
- . Missouri Training Center for Men;
- . Renz Correctional Center;
- . Ozark Correctional Center; and
- . State Correctional Prerelease Center

H. Summary of CSG's Study Approach

In reviewing the sizeable amount of data and opinions contained in the questionnaires, personal interviews and previous reports and studies, CSG found the inevitable variability in people's perceptions. However, in Missouri, as opposed to CSG findings in other states, staff are not as vocal in their dissatisfaction with the current classification system. This finding is largely attributable to the fact that Missouri does not currently operate a classification system per se. Historically, each institution has operated its own internal classification system with little interference or guidance from Central Office. Until very recently, no real effort was made to standardize classification practices or forms. Classification evolved at each institution; its configuration dependent upon the unique characteristics of the inmate population; the facility's mission; facility capabilities; staff prejudice, training, knowledge; etc. Now, however, there are numerous forces, both from within and without the Division that are pressuring the Division to adopt a consistent, comprehensive classification system. These include, for example, the recent court orders, overcrowding, internal changes in the missions of the Division's institutions, public and political pressure and severe monetary constraints.

In summary, our analysis of the classification system does not depend upon any one group of statistics or any one opinion. Instead, our findings and recommendations are based upon overall patterns that emerged from our analysis of the classification system. Further, some of our recommendations are contrary to the recommendations of correctional staff and/or administrators. These recommendations will be identified as such and justification provided for our position. Further, it should be pointed out that the classification system is only one component of the correctional system and, as such, does not function in a vacuum. There are numerous other operations that impact the effectiveness of a correctional agency. Classification is merely the most visible and thus most vulnerable to scrutiny and criticism. While the scope of this project did not permit an in-depth analysis of the entire Missouri correctional system, we have endeavored to identify both positive and negative aspects of the present system as they impact the classification process.



Chapter Three:
Missouri DOC Classification Goals and Objectives

CHAPTER THREE: MISSOURI DOC CLASSIFICATION SYSTEM GOALS AND OBJECTIVES

A. General MDOC Classification Objectives

To identify the Division of Corrections' goals and objectives for its classification system, the following activities were performed:

- The following documents/reports were reviewed:
 - Missouri Division of Corrections Biennial Report (1979-80);
 - The Division of Corrections' rules governing classification; and
 - Miscellaneous Division-issued memoranda.
- Two separate day-long meetings were held with classification staff from each of the DOC facilities. During these meetings staff were asked, via a two-step nominal group technique, to identify the objectives of a classification system and the obstacles impeding the accomplishment of these objectives.
- Advisory Committee members were asked to rank the objectives of classification.

The dual goals of the Division of Corrections--protection of the public and reintegration of the offender--are summarized in the following excerpt taken from the 1979-1980 Biennial Report:

The Mission of the Division is to improve public safety by returning prior offenders to society as successful and productive citizens. To fulfill this goal, the Division provides all inmates with constructive programs through a system of correctional institutions. Each correctional institution has a specific purpose and function to serve in the supervision and rehabilitation of inmates and emphasis in particular on constructive programs, thus, varies from institution to institution. All institutions, however, provide at a minimum: evaluation and classification, educational and vocational training, counseling programs, and basic services relative to medical care, recreation, religion, visiting and involvement with community groups.

Traditionally, security and custody have been the primary goals and objectives of correctional systems. Most systems have rehabilitation or reintegration as a secondary goal because security and custody comprise the primary public mandate to corrections. Missouri, however, combines the two goals by espousing the philosophy that the best way to protect the public over the long range is by returning prior offenders to society as successful and productive citizens.

Prior to designing a comprehensive classification system, the DOC must have clearly defined classification goals and objectives, that is, the functions, purposes and priorities of classification as operated by the MDOC. These goals and objectives should be realistic and understandable to both staff and inmates.

Like most correctional systems, the MDOC has done this on only a limited basis. The Division rules governing classification do include fairly explicit explanations for why each classification procedure is necessary. However, no objectives have been defined and as a result, no priorities have been established. It is CSG's understanding that the MDOC has the following goals for upgrading its classification program, but these goals are implied, not in written form:

- Improving caseload management and efficiency;
- Improving decision-making accuracy through the use of an objective classification instrument and standardization of Division procedures; and
- Attaining CAC accreditation.

B. Priority Objectives

As noted previously, MDOC staff were asked during the workshop meetings to identify what they felt were the objectives of classification.

After the objectives of classification were enumerated, participants were asked to record their three top objectives in priority order. The results of this exercise are presented below:

	Objective	Number of Staff Who Designated			Total
		Rank I	Rank II	Rank III	
1	Determine Custody Level	45	15	0	60
2	Determine Treatment/Program Needs	0	14	15	29
3	Facilitate Rehabilitation	2	7	4	13
4	Reclassify Inmates	0	0	13	13
5	Make Program Assignments	5	0	2	7
6	Develop Personalized Plan	1	6	0	7
7	Protect Public	5	0	0	5
8	Develop Work Assignments	0	5	0	5
9	Determine Special Needs	0	0	5	5
10	Make Institutional Assignment	4	0	0	4
11	Assess Inmates	1	2	0	3
12	Provide Release Preparation	2	0	0	2
13	Promote Satisfactory Adjustment	1	1	0	2
14	Collect/Assess Background Information	0	1	1	2
15	Make Work Assignments	0	0	2	2
16	Provide Input to Parole Board	0	1	0	1
17	Maintain Inmate Records	0	1	0	1
18	Reward Good Adjustment	0	0	1	1
19	Determine Division Needs	0	0	1	1
20	Reduce Recidivism	0	0	1	1

As can be seen from this table, classification staff view custody determination as their primary responsibility. A total of 60 MDOC classification staff listed this as the first or second most important objective of classification. A total of 29 staff identified the determination of treatment/program needs of inmates as the second and third most important objective of classification. Thirteen classification staff listed the facilitation of rehabilita-

tion as one of the most important objectives of classification. The objectives listed four through seven are closely related to the top three objectives. The top objective "Determine Custody Level" is actually a subtask of objective 4, "Reclassify Inmates," when applied to institutional classification. To reach objectives 5 and 6, one must first achieve objective number 2, "Determine Treatment/Program Needs." The relationship between the first and seventh objective is obvious, protection of the public is dependent upon accurate assessments of the custody and security needs of the MDOC inmate population.

Staff were also asked to identify the problems that impeded their ability to meet the objectives of classification. Their responses were tabulated and appear as Table III-1.

Interference by institutional administrators and inadequate information are the leading problems identified by MDOC staff. These two problems in turn lead to the third problem, improperly classified inmates. Several persons cited limited institutional alternatives as a problem that impacted their ability to perform classification and 15 staff listed low staff morale as a significant problem. Problem number 6, ambiguous MDOC guidelines not only promotes the improper classification of inmates, but similar to inadequate staff training and a lack of staff, may adversely affect staff morale.

During phase one of the evaluation, Advisory Committee members were asked to rank NIC's 34 "model" objectives in terms of their priority for the Missouri classification system. The top 12 objectives follow:

The classification process is directed toward:

- Identifying the casual factors underlying each inmate's offense;
- Maintaining control of offenders and assuring their safety and well-being as well as the safety of the institutional staff members and the community at large;
- Recommending programs and activities for inmates according to their specific needs and the availability of resources; and
- Developing and recording data necessary for the purposes of individual decision-making and long-range program planning.

Initial classification of inmates new to both the system and the institution focuses on:

- Safe and appropriate placements that can accomplish the purposes for which inmates were placed in the correctional system; and
- Giving new inmates, through an orientation process, an opportunity to learn about programs available to them, and of the level of performance expected to gain their release.

The classification plan includes provisions to determine which inmates are potentially dangerous, such as those having histories of predatory behavior and/or psychologically disturbed, and then taking steps to isolate these inmates and offer them appropriate programs.

TABLE III-1
CLASSIFICATION PROBLEMS

	<u>Frequency of Response</u>	
1	Administrative Interference	22
2	Inadequate Information	22
3	Improperly Classified Inmates	18
4	Limited Institutional Alternatives	16
5	Low Staff Morale	15
6	Ambiguous Division Guidelines	14
7	Lack of Staff	12
8	Inadequate Staff Training	11
9	Shortage of Inmate Jobs	6
10	Lack of Inmate Programs/Services	6
11	Lack of Coordination Between Custody and Treatment	5
12	Lack of Funds	5
13	Overcrowding	5
14	Too Much Time Spent on Parole Matters	4
15	Political Pressures (Favoritism)	4
16	Lack of Time to Classify Inmates	3
17	Managing Special Needs Inmates	3
18	Lack of Professional Recognition	3
19	Fear of Change	3
20	Limited Alternatives to Classification/Discipline	2
21	Nonviolent Offenders Treated Differently	1
22	Inadequate Inmate Orientation	1
23	Crisis-Oriented Management Posture of Division	1
24	Outdated Equipment	1
25	Caseworkers Required to Perform Clerical Functions	1
26	Demands of ACA Accreditation	1

There is a structure for carrying out the goals and objectives of the classification system.

There is a decentralized system of classification that, depending upon the size of the Division and/or the institution, can include more than one level of classification team at each unit; there should be policy and procedure outlining the membership requirements of these various classification teams, the scope of their authority and responsibilities, type and number of inmate cases for which they are responsible, and the frequency with which they will hear these cases.

There is a classification manual/statement that details the Division's classification and reclassification policies and procedures so that all Division employees can execute the classification function in a uniform manner.

The classification system provides full coverage of the entire inmate population under the jurisdiction of the Division.

There is a recordkeeping system that provides for the collection and analysis of classification data and statistics, for use in administrative policy determination, case decision-making, and also for research monitoring purposes.

There should be a procedure specifying that custody/security risk levels are defined in writing for the entire Division, including criteria for each level and requirements pertaining to housing assignment, freedom of movement, and program assignment.

Every institution/facility of the Division provides in writing its custody/security level designations, which are consistent with the Division's designating policy, but applied to that institution/facility's particular physical plant, housing units, and program resources.

All inmates receive an explanation and written material describing the classification process, it contains a listing of the criteria used to determine custody/security levels.

Procedures for processing the transfer of an inmate from one institution to another includes review and approval by the headquarters classification unit in order to maintain a balanced and proper distribution of inmates among the Division's various facilities.

An analysis of these twelve objectives reveals four common themes. The most prevalent is the need for a classification system that is capable of identifying public risk inmates and providing the appropriate custody and security levels. The second is the need to develop consistent, standardized classification policies and procedures on a Division-wide basis. A third is the need to identify and provide programming for specific inmate needs. The final theme is the need to ensure that all inmates are impacted by the classification system and are familiar with the process and criteria used.

C. Proposed Objectives

Classification objectives give direction to classification staff in the performance of their daily responsibilities. They provide staff with priorities and also provide a foundation for formulating a comprehensive, well-defined written set of classification policies and procedures. This latter point is particularly important because MDOC staff describe the current rules as contradictory, ambiguous and not uniformly applied. This is in spite of the fact that many of the MDOC rules governing classification have been rewritten to conform to classification standards promulgated by the Commission on Accreditation for Corrections and recent court orders.

It is recommended that the Missouri Division of Corrections consider the following twelve principles of classification developed by the National Institute of Corrections (NIC), as a core group of classification objectives. In developing objectives unique to the Missouri correctional system, any one of these principles may be modified to reflect Missouri's needs. Further, additional objectives should be added, as necessary, to ensure that all classification policies and procedures are reflected.

The National Institute of Corrections' principles are as follows:

1. There must be a clear definition of the goals and objectives of the total correctional system;
2. There must be detailed, written policies and procedures governing the classification process;
3. The classification process must provide for the collection of all-inclusive, high quality, standardized data;
4. Measurement and testing instruments used in the classification decision-making process must be valid, reliable and objective;
5. There must be explicit policy statements structuring and checking the discretionary decision-making powers of classification team staff;
6. There must be provision for screening and further evaluating prisoners who are management problems and those who have special needs;
7. There must be provisions to match offenders with programs; these provisions must be consistent with risk classification needs;
8. There must be provisions to classify each prisoner at the least restrictive custody level;
9. There must be provision to involve the prisoner in the classification process;
10. There must be provisions for systematic, periodic reclassification hearings;

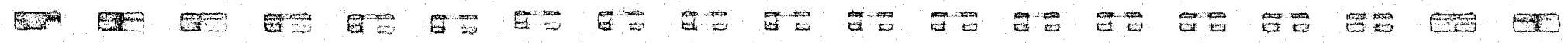
¹ Several of these objectives are reflected in Division policy, however, most are implied objectives.

11. The classification process must be efficient and economically sound; and
12. There must be provisions to continuously evaluate and improve the classification process.

It is further recommended that the MDOC Director appoint a Task Force, representative of all phases of the classification system from the Training Academy to the honor centers, to develop model objectives for the Missouri classification system. Unlike many state correctional agencies CSG has worked with, the MDOC does not overuse internal task forces or planning groups. If the MDOC is committed to building an acceptable, operable classification system, a task force of this nature is a good first step. Working together toward a common goal will help give staff a sense of camaraderie and cooperation that will later facilitate implementation of the system.

In performing this task, the Task Force should start with NIC's "principles," modify the language to present each in the form of an objective and keeping in mind Missouri's unique resources and needs. Once this is accomplished, the Task Force should review each of the MDOC rules governing classification and develop one or more objectives that address each rule. This procedure will also lay the groundwork for future policy statement revision and/or preparation. As discussed previously, each set of classification procedures should be preceded by a statement of Division policy that incorporates the applicable DOC objective(s) and that tells staff why they are to perform the procedures as written.

Once the Task Force has developed these draft objectives, they should be reviewed by all Central Office staff for revisions and commentary. Once this input is received, the Task Force should reformulate the objectives and have them reviewed by a sample of institutional administrators, casework supervisors, caseworkers and correctional classification assistants. Their input should be used to make the objectives meaningful to line personnel and to give them some vested interest in seeing that the objectives are attained. Prior to dissemination, the Director of the Department and the Director of the Division should review the objectives one final time.



Chapter Four: Initial Classification

CHAPTER FOUR: INITIAL CLASSIFICATION

A. Historical Perspective

In reviewing the classification program now under way at the Classification and Assignment Unit, the history of the Unit, as well as how classification procedures have changed since the Unit was first established are included here initially as a background for later recommendations. It should be noted, prior to doing so, that the essential procedures pertaining to intake and diagnostic activities have changed little since 1960 when the Unit was first officially established.

In 1959, the General Assembly provided legislation to create a classification and assignment unit. Correction officials believed that a centralized intake center would expedite efficient classification of inmates. Three functions of the unit were: centralization of classification experts or specialists; development of programs for study, treatment and rehabilitation of each individual offender; and fiscal efficiency. At this time, the Missouri Training Center for Men, with an 800 man capacity, was still under construction.

Beginning in 1960, the Classification and Assignment Unit provided direct services for the Missouri State Penitentiary and the Missouri Intermediate Reformatory. Note that the institutions of Renz Correctional Center, Fordland Honor Camp and Central Missouri Correctional Center were satellite institutions of the Missouri State Penitentiary and offenders were transferred there only from the Missouri State Penitentiary. At this time, the Classification and Assignment Unit boasted 11 full-time employees and the services of a part-time psychiatrist. At this time, only new inmates and recidivists were received and processed through the Classification and Assignment Unit. This Unit did not have a records officer and subsequently had to use the Missouri State Penitentiary records officer to process all of the Sentence and Judgement Papers for the Division.

In 1960, an inmate who was received by MDOC was placed under the jurisdiction of Classification and Assignment. At that time, Classification and Assignment was comprised of two main functions: the receiving unit and the diagnostic center. (The records office was established in 1963.)

In the early 1960's, all newly received inmates were given an orientation program during their first and second weeks in the reception center. All of the Directors of MDOC at that time came to the Diagnostic Center and explained their programs to the inmates. The speakers included the following: the Warden of the State Penitentiary; the Records Officer of the State Penitentiary, the Directors of Classification and Assignment, Education, Industries, Farms and Fire and Safety. This program was discontinued in 1963.

Historically, when an inmate was received, he first came to the admission room where he was stripped, searched and his property examined. The inmate was then showered, sprayed and his fingerprints were taken. The inmate was then taken to Housing Unit #1 which is adjacent to the Diagnostic Center. He remained in that Housing Unit approximately 30 to 35 days.

In 1960, as well as in 1981, an effort was made to gain some insight into the inmates' mental and scholastic abilities. For several years, a test known as the "oral directions test" was given to give a rough estimate of the inmates' intelligence which was scored in percentiles. A PTL verbal ability test was also administered to gain an idea of the inmates' reading ability and ability to use the language. For purposes of measuring school achievement, the Stanford Achievement Test (SAT) was administered. These tests were administered over a one and one-half week period. This was possible due to the fact that intake had not increased to the point that it has reached today. The SAT, while an excellent test, was designed for use in the classroom with young children and used examples of children and their parents interacting and other subjects which do not hold the attention of a typical adult.

The Classification and Assignment Unit had the services of a full-time psychologist from 1960 to 1962 and also from 1966 to 1970. During recent years, approximately 1976 to 1978, the Classification and Assignment Unit had the services of a psychologist on a part-time basis. These services ended in 1979 when the grant which was received from the Law Enforcement Assistance Administration expired. During the early period of the Classification and Assignment Unit, no LEAA funds were available and all funds were acquired from state appropriations.

In 1963, this Unit obtained its first Records Officer and three additional clerical workers. The Missouri Training Center for Men at Moberly was opened and this provided a total of three institutions which had to be served by the Classification and Assignment staff members. It was at this time that the Unit began using centralized books for the entire Division. It was also during this year that the Unit began accepting and processing all parole violators.

Figure IV-1 compares the total number of MDOC admissions and releases for the five year period from July 1976 through June 1981. Admissions to the MDOC have increased over 20%, from 2,525 in FY77 to 3,309 in FY81. During this same period releases have remained fairly constant except during FY81, when the number of releases increased dramatically (33%) over FY80.

Figure IV-2 depicts the number of MDOC interinstitutional transfers and FY peak populations, in addition to the number of new admissions to the Division. The magnitude of interinstitutional transfers is important because prior to September 1981 the Classification and Assignment Unit received a substantial number of disciplinary transfers.

The halfway house program began in 1971. This Unit processed paper transfers for the halfway house program, as well as all returnees from the halfway house programs.

In 1974, the Classification and Assignment Transfer Committee was formed to review and approve or deny all applications for transfer from one institution to another. At this time, the Ozark Correctional Center, Central Missouri Correctional Center and Renz Correctional Center became autonomous institutions

In September 1981, a Central Transfer Authority was implemented to screen and approve all interinstitutional transfer requests prior to the physical transfer of an inmate.

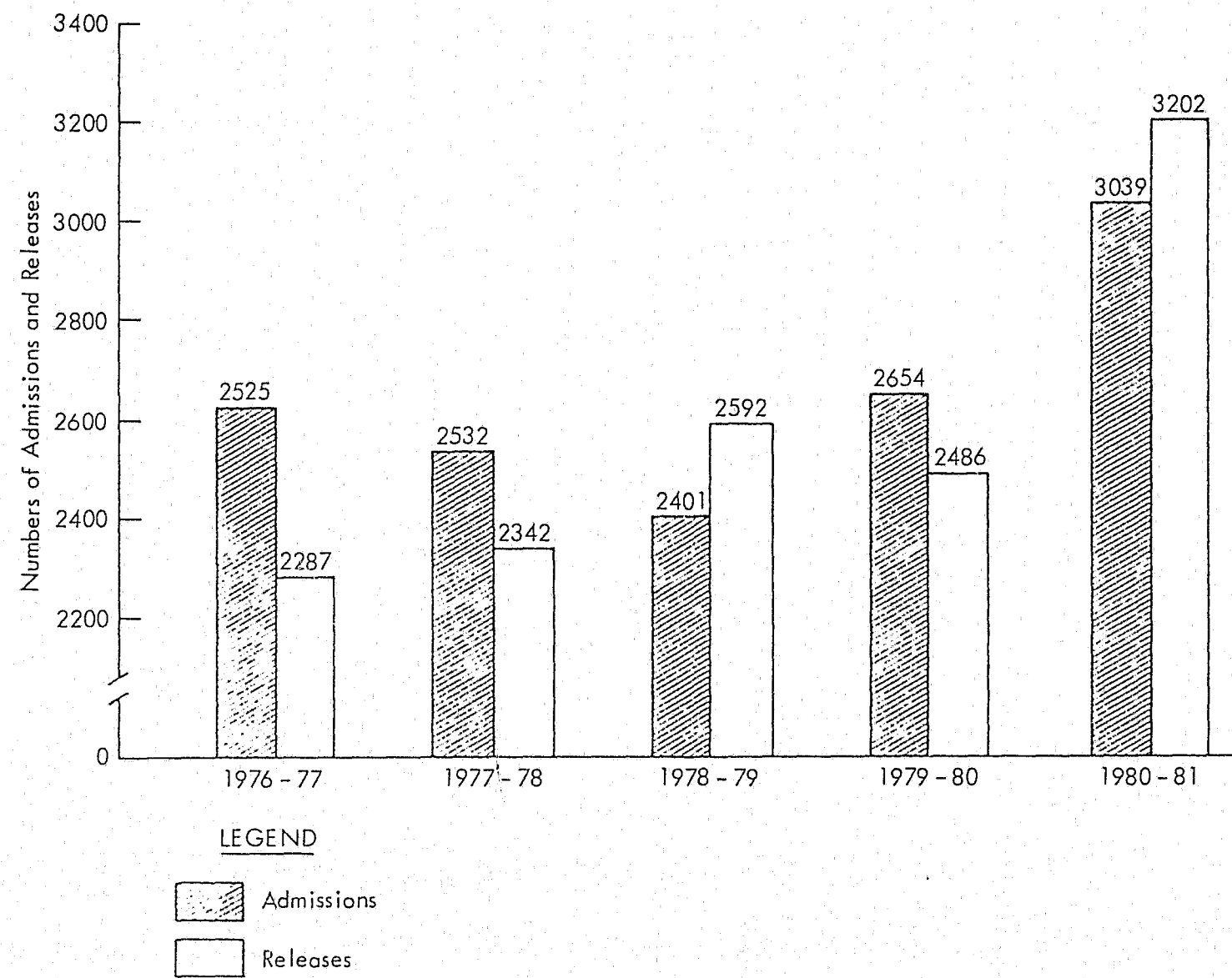


Figure IV-1. DOC Admissions and Releases by Year

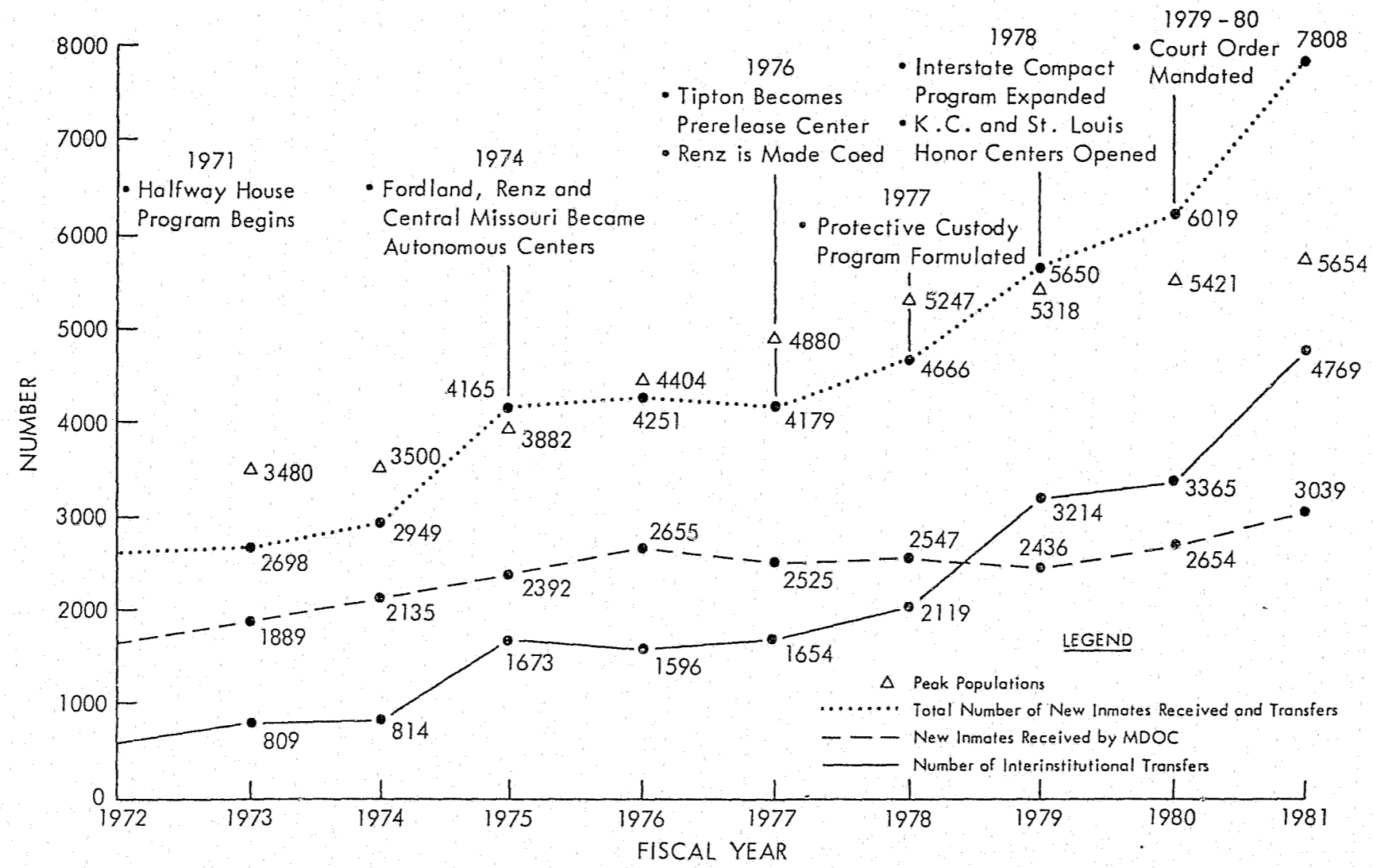


Figure IV-2. DOC Inmate Transfers and Admissions

with direct assignments made to them from the Classification and Assignment Unit.

In 1975, a federal LEAA grant provided the services of a psychologist, a psychiatrist, a corrections officer, a corrections caseworker and two clerk typists. The computer system was operational and resulted in the addition of a full-time data entry operator.

In 1976, the Tipton institution became the State Correctional Pre-Release Center, and the Renz Correctional Center became coeducational.

In 1977, protective custody was formulated after it was demonstrated how necessary it was to segregate and secure certain inmates.

This Unit was handed the additional responsibility for the total operation of the Interstate Corrections Compact in July of 1978. This responsibility was shifted to Central Office during FY81.

In June of 1979, another responsibility was added when the function of providing all ID pictures for inmates in the Division was instituted. By this time, another caseworker as well as a clerk stenographer had been added to the staff making a grand total of 23 positions, as well as one part-time psychiatrist.

During the 1960's, the Classification and Assignment Unit casework staff was comprised of four caseworkers and one casework supervisor. During the early 1970's, the staff was increased to five caseworkers and at the present time there remain five caseworkers, in spite of the fact that the total number of inmates received by the MDOC has dramatically increased. For example, in 1966 approximately 1,800 inmates were received whereas in 1981 the number of inmates received increased to more than 3,000. In addition, the relatively new procedures relating to protective custody, increased psychiatric services, computerized recordkeeping and inmate identification cards, discussed previously, have all required an increased number of manhours regarding diagnostic center operations. (Recommendations concerning Classification and Assignment Unit manpower requirements are contained in Chapter XII.)

Three factors have seriously impacted the functioning of the Classification and Assignment Unit. These include the initiation of protective custody procedures in August of 1977, a court-imposed limit of no more than 184 inmates in Housing Unit #1 by March 1, 1979 and the increased number of new receptions the Classification and Assignment Unit must process (3,039 for FY81).

Prior to November 1978 when the court order was issued by the Honorable Judge Elmo B. Hunter, Western District of Missouri, it was not unusual for Housing Unit #1 to have over 280 inmates at one time. In November of 1978, the MDOC was ordered to comply with the court restriction of no more than 184 inmates in Housing Unit #1 by March 1, 1979.

When protective custody procedures were initiated in August 1977, it was necessary to set aside 16 individual cells for these cases. Presently of the 92 cells in the hall, 24 are set aside for protective custody which leaves a remainder of 68 cells for doubling of the general population. If the usual protective custody cells and the general population cells are filled, Housing

Unit #1 can hold only a maximum of 160 inmates. It is necessary to vary this placing of inmates according to however many protective custody cases are present at a given time. For example, on March 16, 1981 there were 36 inmates on protective custody status in Housing Unit #1 which reduced the Unit's general population capacity that much more.

When the Classification and Assignment Unit opened in 1960, it was routine to keep each inmate four to six weeks for thorough evaluation. Throughout the ensuing years, the Unit has reduced the evaluation time to the present two or three day period. In accommodating these changes, the Director of the Unit has had to institute the following:

1. Physical examinations twice weekly instead of once;
2. Daily dockets of movement are issued instead of once a week (some institutions receive inmates from the Classification and Assignment Unit twice a day);
3. Testing twice weekly instead of once (some evening testing is necessary to keep up with the demand and the testing program has been pared to the minimum); and
4. Unavailability of data at time of interview (a complete medical history requires two weeks because of use of the State laboratory; FBI arrest records are received after 30 days instead of 14 days; there is not enough time to receive relative questionnaires and institutional inquiries; and pre-sentence investigations are rarely received).

Classification and Assignment Unit staff attribute the large number of disciplinary transfers to their inability to perform comprehensive evaluations of newly admitted inmates given the two to three day time period before an inmate is transferred from the Unit to a receiving institution.

The intake from all counties has increased alarmingly (up 18% over FY80) especially when the large metropolitan areas now often request that they be allowed to bring in large numbers of inmates twice weekly instead of once. It has been necessary for the Classification and Assignment Unit to control this intake at times by deferring acceptance to a later date when bed space is available. The Unit's bed space capacity of 184 is further strained by the fact that the Missouri State Penitentiary has full authority to place its inmates in Housing Unit #1 on protective custody status or as permanent assignments.

Figure IV-3 is a schematic description of how the initial classification process is ideally supposed to operate.

Given this historical overview of the Classification and Assignment Unit, the current procedures will be examined next.

MISSOURI CORRECTIONS SYSTEM
DIVISION OF CLASSIFICATION FLOWCHART

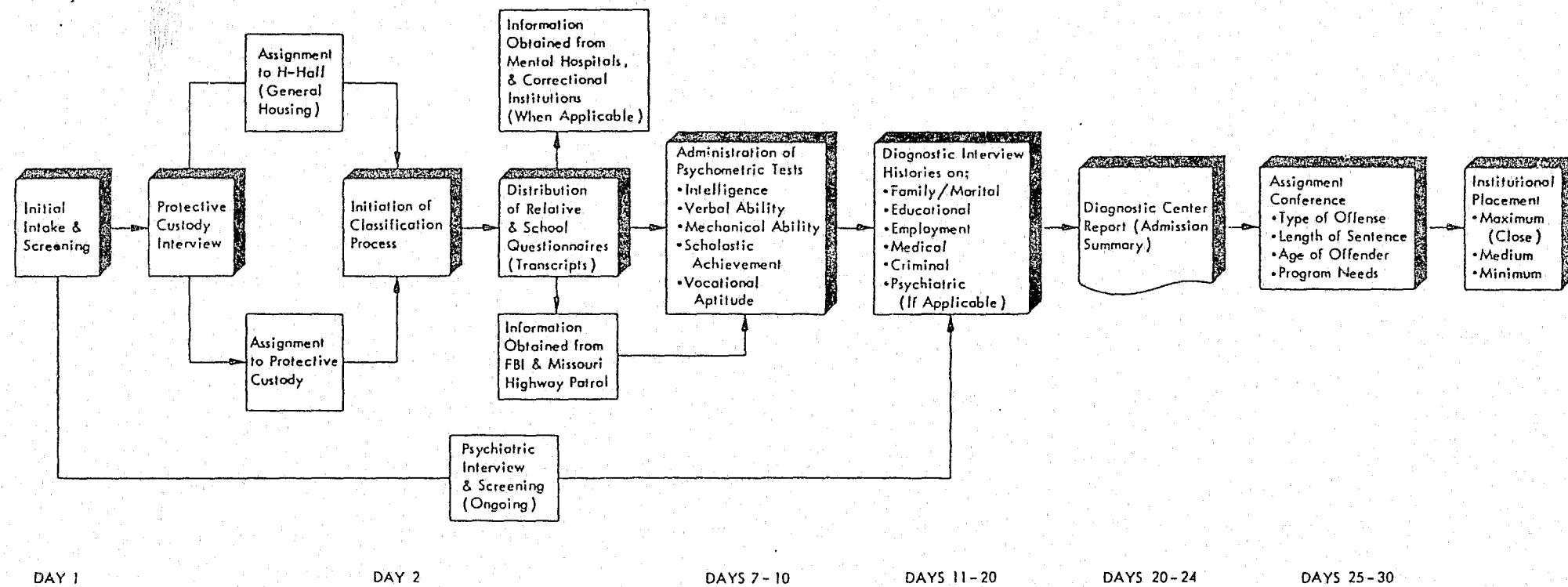


Figure IV-3

B. Classification and Assignment Procedures

1. Physical transfer of inmates to Classification and Assignment Unit

a. Findings: At the present time, the Missouri Division of Corrections, MDOC, is required by law to promptly accept custody of prisoners sentenced to terms of imprisonment in the DOC upon their delivery by the local jurisdiction to the State diagnostic center.

This creates a major problem for the diagnostic section by virtue of the fact that several major urban centers provide large numbers of inmates to the system at any one time, and the Missouri Division of Corrections has no standard procedure for controlling the input into their correctional system. Apparently, sheriffs simply deliver a number of inmates regardless of type, character or offense, to the front gate of the Missouri State Penitentiary, and once having legally delivered these inmates, they become the responsibility of the Division of Corrections. While in some cases, jailers who deliver inmates do provide some information concerning the inmates' behavior in the county jail system, this information is usually in an unverified and oral report form rather than a standardized written procedure.

b. Recommendation: The Missouri law that forces the MDOC to accept any number of State prisoners whenever the local jurisdictions choose to deliver them contributes to the crisis-oriented posture of the MDOC. The pressure to move inmates through the reception and classification process to make room for incoming commitments and to avoid housing in excess of 184 inmates in Housing Unit #1 is counter-productive to the principles of productive classification systems. Caseworkers need adequate time to gather information about inmates upon which to base their classification decisions.

Although it may be perceived as a politically unfavorable move, the legislature should take the necessary steps to modify the existing practice of permitting local jurisdictions the option of transferring state prisoners to the DOC without the DOC's concurrence. That is, the DOC should be permitted to develop a priority system for admitting inmates to the DOC that are applicable to all county and local detention facilities. Based upon the priority system, the DOC would contact the appropriate facilities to schedule the reception of priority inmates into the DOC, as bed space becomes available within the Housing Unit #1. A sample priority system might resemble the following:

Priority I

Offenders who have major medical/psychological problems as documented by a physician for whom local resources are not available.

Priority II

Problematic prisoners, or those who pose a substantial threat to the local facility, as documented by appropriate due process hearings, or notorious prisoners.

Priority III

Prisoners who will attain parole eligibility at the local facility.

Priority IV

Prisoners identified for intake by the Office of the Attorney General.

Priority V

Prisoners in overcrowded jails.

Priority VI

State prisoners who have physically spent the longest time at the local jail.

Two state correctional systems CSG has worked with in the past, Oklahoma and Virginia, have assumed this type of control over intake into their reception facilities. Both states adopted this course of action in response to overcrowded conditions within their prison systems. Virginia accomplished this procedural change simply through a change in Department policy communicated to the administrative staff of the reception centers and to county sheriff's and local jail administrators. Oklahoma, on the other hand, found it necessary to pass a law that not only gave the Department of Corrections control over its intake from local facilities, but also set a maximum limit on the number of offenders the Department could maintain within its institutions.

2. Intake procedures

a. Findings: All new offenders are received Monday through Friday, 8:00 am to 3:30 pm. Individuals arriving after 3:30 pm will be received but not officially processed until the following day.

Unit staff check new arrivals to ensure that all legal papers are available and in order. These include:

- . Sentence and Judgement Papers¹
- . Jail Time Credit (if any)
- . Statement of Facts - Prosecuting Attorney
- . Presentence Investigation Report (PSI)

Offenders who do not have proper Sentence and Judgement Papers, or if any of the 21 items on the papers are incorrect or incomplete, they will be either returned to the committing county or retained in the Cole County jail until the papers are produced. PSI's are only received on approximately 40% of MDOC inmates during their incarceration. However, efforts are now being made by the Division of Parole and Probation to speed up the preparation of PSI's so that they will be available during the initial classification process.

During the reception process the inmate is still strip-searched and property examined and inventoried as well as fingerprints taken and each inmate is showered and sprayed with disinfectant. An additional procedure is the production of an inmate ID card which involves taking an additional photograph and the corresponding paperwork. During the same time period, the inmate's estimated release date is computed and he is given a medical examination. However, most inmates are transferred to receiving institutions before the laboratory results are available.

¹ This is only necessary to commit an offender to the MDOC.

A recent (1977) procedure has been to interview all new arrivals to determine if they meet the criteria for placement in protective custody status while in Housing Unit #1. (See Chapter VIII for a review of the complete protective custody procedure.) A summary of these procedures is provided here for review.

Immediately upon reception by MDOC, all inmates are interviewed and questioned to determine whether or not they have any enemies which may pose a threat to them during their confinement. If it is determined that a newly received inmate has no enemies then no extra precautionary measures are taken. However, if it is determined that a newly received inmate does have enemies, then a protective custody hearing is scheduled for him.

Protective Custody hearings are scheduled for newly received inmates and for other inmates who are being returned to MDOC if it is learned that they have enemies. Protective custody hearings are conducted by the Protective Custody Committee which is composed of the Casework Supervisor and a Caseworker II. All inmates appearing before the protective custody committee are questioned thoroughly and are advised of what precautionary measures can be taken to insure their safety. At times, Unit staff deem it necessary to place an inmate in protective custody even though he does not feel that it is needed.

After the inmate is assigned to either Housing Unit #1 or protective custody, he is then available to begin the formal classification process.

The first activity is for Unit staff to send out questionnaires to a newly received inmate's parents or other legal guardian and also to his wife if he is married. In addition, a transcript is requested from the school which the inmate last attended and a report is requested from any hospital where he may have undergone treatment, particularly for mental disorders.² Reports are also requested from juvenile and adult correctional institutions when applicable. Reports detailing an inmate's prior arrest record are requested from the FBI and the Missouri Highway Patrol.

Today because of overcrowding and the federal court order, an inmate remains in Housing Unit #1 usually for only two to three days. An inmate is considered ready for interview immediately after he has completed the testing program. During the 1960's and early 1970's, however, an inmate was not considered ready for interview until all of the above questionnaires and reports had been placed in his file. Although this material is still requested today, most of it is not received until after the inmate has been transferred.

b. Recommendations: It is recommended that the Missouri Division of Corrections maintain individuals in the Classification and Assignment Unit for a sufficient time period to receive laboratory reports which will indicate whether or not it is safe to place an individual into general population. This is recommended, primarily, to protect both inmates and staff from communicable diseases.

² Recently enacted federal laws now require an inmate to sign a release form before historical information can be obtained from a school or hospital. This extra procedure has necessitated the employment of an additional staff member.

No inmate should be transferred without a complete diagnostic report having been prepared. The practice of interviewing an inmate with only the Sentence and Judgement Papers available to verify information is an unacceptable practice which has led to, and can only further result in, later difficulties after an inmate is transferred. Several correctional center staff have stated that on numerous occasions they must redo the diagnostic report since it is based upon unverified data for the most part obtained verbally from the inmate. Obviously, many inmates will provide inaccurate assessments of their past criminal behavior as well as other personal information, so that they can receive the best facility/program assignment possible.

With appropriate diagnostic evaluation, based upon comprehensive and verified information, the number of transfers within the system may be reduced because of appropriate initial placement. Appropriate placement may also reduce the number of disciplinary infractions, and will allow the Missouri Division of Corrections to utilize limited resources in the most effective manner.

The most obvious method for assuring that authentic information is available is to retain each inmate in the Unit until the completed questionnaires, FBI Rap Sheets,³ etc., are returned and utilized in the diagnostic interview. However, and as it has been pointed out on several occasions, this is not currently possible due to the overcrowding of centers and the impact of the Federal court order. And, since a new reception and diagnostic center is at least three years away, a new facility cannot be looked to as a possible solution.

Given the above, there are three options available which could accelerate the acquisition of offender information. These include:

- Using Probation and Parole staff to collect the necessary data when they complete their PSI's. Much of the required information is already being obtained by Probation and Parole staff and it would appear that with some additional coordination by MDOC and Probation and Parole, this arrangement could be worked out satisfactorily.⁴ The only problem then would be to insure that PSI's were received on time. Other jurisdictions have adopted a shortened version of the current format for the majority of offenders for which they are ordered. This possibility should be discussed with Probation and Parole staff.
- Maximizing the use of the computer information system. Computer ties are already in place with MULES (Missouri Highway Patrol) and REGIS (St. Louis) and arrangements have been made with Kansas City (Jackson County) in this area to tie in with NCIC. With additional hardware and training, links can be established to provide immediate offender criminal history data.

³ FBI Rap Sheets are not available for 30 days after receipt of an inmate into the MDOC.

⁴ At the present time, Unit staff send out notices on all initial assignments to the Missouri Division of Probation and Parole. They also furnish copies of MDOC Diagnostic Center Reports, Sentence and Judgement Papers, Commitment Papers and FBI Reports. Unit staff send out notices on all parole violators and provide the Parole Board with an updated Diagnostic Center Report.

- Arranging for personnel in the committing counties to send out questionnaires as soon as an offender is sentenced to the MDOC. Information could be forwarded directly to the Classification and Assignment Unit where a file would be established to await the arrival of the new inmate.
- In view of the dearth of information that accompanies most inmates to the Division's Classification and Assignment Unit, CSG recommends that the Division explore the possibility of obtaining information relevant to initial classification directly from the local jurisdiction. The optimal method for securing such information would be to require the jurisdictions to provide specific classification data by law as a part of the necessary commitment papers.⁵ However, it may be possible to secure much of this information based upon formal cooperative agreements between the officials of the largest counties (Jackson and St. Louis), St. Louis City and the Division. A sample form is included in Appendix A.

Some of the most important information supplied by the form is a summary of the inmate's participation in jail programs and any disciplinary infractions he committed while confined within the jail. The information about whether or not a PSI has been completed is also important because it can alert classification staff to the presence of a PSI. If classification staff know a PSI exists, they can be more persistent in their efforts to secure the report. The Division should develop and print a standardized jail classification adjustment report in sufficient quantities to distribute them to all community jurisdictions.

A final recommendation is that the Division establish a central records holding area, preferably at Central Office, where all files of current and released (within three years) inmates can be stored. This recommendation will be discussed further within the chapter entitled "Central Classification Authority."

Presently, the Classification and Assignment Unit retains a copy of each inmate's Diagnostic Center Report. The Unit also maintains complete files on all parole violators and conditional releases until their discharge and on all inmates who are commuted for one year following the date of commutation.

3. Inmate Orientation Program

a. Findings: An effective part of any classification program is an effective and well-structured orientation program for new inmates and those inmates undergoing reclassification. The reception period offers an opportunity to orient the inmate to this new environment with the development of correctional programs based on the concept of individualized treatment and programs, it has become necessary to broaden the concept of admission to emphasize the opportunities not only for assessment and evaluation, but also for orientation. The latter is crucial since it provides the initial basis for understanding the problems of the new inmate and at the same time helps him to learn about the opportunities that may be offered, as well as about duties and responsibilities.

⁵ The Division of Corrections has recommended that Missouri Statute 216.209 be revised to require the Sheriff to deliver, with the prisoner, information regarding the prisoner's age, crime for which sentenced and circumstances thereof, personal history, which may include facts related to his home environment, work habits and previous convictions and commitments.

Shortly after the Classification and Assignment Unit opened (1960), personnel from the Division's Central Office would visit the Unit on a weekly basis to explain to new inmates the various operations and programs that the Division provided. An additional activity was to emphasize the methods that the Division employed to protect the best interests of the inmate, staff and society. However, due to increased demands being placed on these Central Office staff and the significant influx of new inmates, this program was discontinued several years ago.

At present the only orientation program available is an inmate orientation handbook, Questions and Answers, the Inmate Rule Book, a Probation and Parole Booklet and a brief in-unit orientation session as well as informal communications between inmates and Unit staff. This latter situation obviously is inadequate as it creates inconsistent communication that can only lead to confusion and misunderstanding.

b. Recommendations: The Division should establish a comprehensive orientation program for new inmates brought to the Classification and Assignment Unit for initial classification. The program should include the following elements:

- Overview of the Initial Classification/Assignment Process;
- Overview of the Institutional Classification/Assignment Process;
- Criteria for Institutional Transfers;
- Security and Housing Assignment Procedures;
- Academic and Vocational Training Programs;
- Work Opportunities;
- Medical and Dental Services;
- Treatment Programs (Psychiatric/Counseling)
- Religious Services
- Volunteer Programs and Self-Help Activities;
- Recreation and Leisure-Time Activity Programs;
- Library (Legal and Leisure);
- Work Release;
- Temporary Leave Privileges;
- Grievance Procedures;
- Release/Parole Planning;
- Staff/Inmate Relationships;
- Mail/Telephone/Visiting Procedures; and
- Other.

This program should be conducted in two phases. The first phase would involve a general overall orientation of all inmates which would include a detailed overview of the classification process from initial screening and medical examination to interview by the caseworker to criteria for institutional assignment and transfer. This orientation would be conducted during the first week of classification (preferably during the first three to five days).

The second phase of the orientation would involve detailed descriptions of institutional programs and a review of expectations of both the inmate and the institutional staff after the inmate is transferred to the designated center. This second phase orientation would be conducted by both Central Office staff and personnel from the various correctional centers. It

Is important that this phase of the orientation be conducted prior to inmate assignment for two reasons:

- It provides the Classification and Assignment Unit and the inmate one last opportunity to change the assignment recommendation based upon new information shared during the session; and
- It provides an extensive, uninterrupted opportunity for institutional staff and inmate to learn more about each other prior to assignment. Experience has shown that orientation programs in individual correctional centers are not very effective since most inmates are eager to become involved in regular facility programming.

In summary, the Classification and Assignment Unit should develop an orientation system that familiarizes the individual inmate with the realities of life in the MDOC while answering the following questions:

- What are the agency's rules and regulations?
- What are the classification procedures?
- What programs are available both in the Classification and Assignment Unit and then after later center assignment?
- What are the inmate's rights?
- What can the inmate expect?

4. Inmate Assessment Process

a. Physical plant

Findings: The existing structure at MSP in which the Classification and Assignment Unit's inmate are held (previously called H-Hall, now called Housing Unit #1) was built in the early 19th century as the state's institution for women. A tour of this ancient facility, the inmate's first introduction into the Missouri correctional system, quickly points out the minimal space and dilapidated conditions under which classification staff must work and inmates must live. The recent court order addresses part of the problem in that it mandates a reduction in the number of inmates held in this Unit. It does not, however, concern itself with the physical conditions of this Unit which do not meet any recognized national correctional standards.

At present, a maximum of 184 inmates are held in this Unit, although the count in the past has been as high as 278. According to Commission on Accreditation for Corrections Standard 4142, 80 square feet of living space is to be afforded each inmate who is confined to a cell more than 10 hours per day. Given this standard, only 92 inmates should be incarcerated in Housing Unit #1. This would reduce the number of inmates detained there by a like number of 92. In addition, this Unit has no separate dining facility or recreation area and space is virtually nonexistent for testing, interviewing and other important activities in the classification process. Further, there is no space available, except for the security area at Fulton State Hospital or the fifth floor of MSP Hospital for the security and

treatment of inmates with mental problems who require separation from the general population.

In addition to Housing Unit #1, the physical facility and offices for the classification staff are inadequate. Space for staff, equipment and files is at best minimal and was observed to be quite dark and in need of maintenance. It was learned during this evaluation that part of the floor collapsed in 1969. Fortunately, no employees were in the area at the time and no injuries were incurred. However, it is obvious that if there had been employees in the area, serious injuries and possible deaths may have resulted. An observation obtained by talking with many of the staff is that they feel their unit, while being of sufficient value to the overall operation of the Division, is isolated from the mainstream of correctional operations. They see it as "tucked away" in a corner of MSP where it has been neglected throughout the years in terms of budgeting, upgrading, staff increases and physical plant improvements. Based upon the findings of this preliminary evaluation, these feelings appear to be well-justified.

The physical plant is said by many correctional experts to be the core of correctional programming and operations. Providing adequate space, lighting, heating and equipment has historically improved both the work of employees and in the case of corrections, also the morale and adjustment of the inmates that must live in the facility on a 24 hours a day, seven days a week basis.

Recommendations: It is for these reasons plus the limitations of the existing physical facility in which the classification unit must operate that a new facility is recommended. Based upon contemporary correctional trends, it would appear to be important to locate such a reception and classification unit near the large metropolitan area from which most inmates are received. This also would enable the agency according to the same philosophy, to attract qualified professionals to staff the classification operations.

However, this would not appear to be a satisfactory solution in Missouri since two major urban areas exist in Kansas City and St. Louis. This would mean that either two separate intake and diagnostic centers must be constructed for each area, which overlooks the problem of what to do with the remainder of the state's inmate population, or to construct one center near either one of the two cities and then require the other to transport their offenders across the state. Obviously, neither of these alternatives will be viewed as an acceptable solution by state officials and tax payers.

In regard to the argument that centers must be located near an urban area to attract qualified staff, CSG can only state that in the case of Missouri's Classification and Assignment Unit staff, it just is not the case. The majority of staff interviewed at the existing Classification and Assignment Unit are well-trained both academically and experientially and are quite professional in their approach to their position. The problem is not with the quality of Missouri's classification personnel, but with the number of staff and the absence of several critical positions such as a clinical psychologist. The area of staffing is discussed in considerably more detail in Chapter XII.

Given the above difficulties, it may now be assumed that the new center should be located in the central portion of the state, presumably the Jefferson City-Columbia area. The next questions to answer are: (1) how many beds should it have, (2) what functions should it provide, and (3) should it be "more than" a reception and classification center?

In answer to the first question, it would appear that given the trend in correctional population growth during the past six years in Missouri and throughout the nation, that inmate populations will continue to expand, although there is recent evidence to indicate that this growth trend is stabilizing. However, given the current situation and projecting the intake population through the year 2000, it would appear that a facility with a design capacity of 280 to 320 single cell units would be quite adequate. For comparative purposes, the present design capacity of Housing Unit #1 is 184. This number reflects both double and single celling requirements set forth in the Federal court order.

In answer to the second question concerning the type of functions that this center should perform, the most appropriate response is to state that the existing classification procedures are generally adequate. However, the following areas should be incorporated into the design of a new facility:

- o Housing for segregation of maximum, medium and minimum security inmates and special needs offenders;
- o Group and individual testing rooms;
- o Sallyport and central receiving unit;
- o Medical and health unit;
- o Indoor and outdoor recreation areas;
- o Classrooms and shops;
- o Offices and interview rooms;
- o Space for files and computer hook-ups;
- o Maintenance and utility facilities.

As stated through this report, the reception and diagnostic center is the new inmates' first contact with the state correctional system. Starting them in the most confining, most severe and certainly most depressing part of the system cannot provide a positive impression of subsequent confinement for these individuals.

The third question to be considered is whether the center should be limited to classification and assignment functions. The answer to this question would appear to be no.

In conducting the review of the Division's classification system, it becomes apparent that treatment programs for the mentally-ill inmate are quite limited, not to mention the inadequate facilities that are used to house such individuals.

Other than constructing an entirely separate mental health facility which would prove to be quite costly, the best alternative for the care and custody of mentally ill inmates would be to confine them in a separate section of the new Reception and Classification Unit. Following are the reasons for such a recommendation:

- o Location of the mental health unit in the Reception Center would also require treatment staff (psychiatrist, psychologist, etc.) to be headquartered at the Unit. This would permit newly received offenders to have immediate access to treatment programming including personality and behavioral testing, individual/group therapy and in-depth psychiatric intervention.
- o Location of the mental health unit in a central correctional center such as the Classification Unit would enable the Division's profes-

sional treatment staff to be accessible to the majority of correctional centers for which such services are necessary. For those inmates identified as in need of diagnosis or short-term treatment, mental health staff would be able to visit these facilities and then make recommendations as to whether the inmate should be transferred to the unit for long-term evaluation and treatment.

b. Accessibility of Classification and Assignment Staff to Inmates

Findings: Currently, classification staff must depend on MSP security staff to move inmates from Housing Unit #1 to the Diagnostic Center. This practice results in delays in inmate testing, interviews, and related assessment. This problem appears to be the result of two primary factors: (1) there is an insufficient number of correctional staff to supervise inmate movement to and from the Diagnostic Center; and (2) the amount of time classification staff have to assess inmates is restricted by the routine of the Missouri State Penitentiary.

Recommendations: Three additional correctional officers should be assigned to the Classification and Assignment Unit to supervise inmate movement to and from the Diagnostic Center. This deployment would help to minimize existing security problems. (This recommendation is elaborated on more fully in Chapter XII.)

c. Assessment and testing

Findings: The Missouri Division of Corrections has historically attempted to provide an assessment program in conjunction with the use of psychometric, vocational, intellectual capacity, and achievement tests. For example, when the Classification and Assignment Unit opened January 1, 1960, the testing program included:

- o Cornell Index
- o PTI Verbal
- o PTI Mechanical
- o Stanford Achievement Test (SAT)
- o Kuder Preference Record

With the addition of a clinical psychologist (Ph.D level) in 1961, the testing program reached its peak of a battery of 11 tests available for this staff to use. They were as follows:

- o Cornell Index
- o PTI Verbal
- o PTI Mechanical
- o ABLE II
- o ABLE III
- o MMPI
- o GATB
- o Kuder Vocational Record
- o WAIS
- o TAT
- o Rorschach

Unfortunately, funds supporting the clinical portions of this type of evaluation were withdrawn as the result of a loss of grant support for their continuation. This, coupled with the court order mandating the rapid movement of people from the diagnostic unit into the prison setting, has resulted in only minimal screening of each individual upon entrance into the system.

The present testing process consists of the administration of the PTI Verbal Test, the ABLE II or III test, and the BETA IQ test. This battery takes approximately four hours to administer and grade, and concentrates heavily on intellectual, past educational achievement, and work potential. While these tests can be valuable to evaluators in determining placement of an individual in an appropriate vocational or academic program, they do not concentrate on the areas of mental illness or personality. The time involved in administering this battery seems rather lengthy considering the value of the information produced. Certainly the Division has attempted to evaluate persons for appropriate placement and should be commended for this effort; however, several tests have been developed and used successfully in other prison settings which take less time and are better able to assess more issues for both management of the inmate and placement in an academic or vocational program.

In general, the purpose of a standardized testing program is to gather a wide variety of information in a standardized fashion in the most efficient, least time-consuming manner. The use of standardized tests insures that each person is being measured against a standard set of criteria and permits the evaluator to sample the individual's behavior in a variety of areas so that the time-consuming process of individual interviews can focus on areas that require further explanation and evaluation, rather than needing to rapidly cover, in-depth, all aspects of a person's character. The standardized testing battery should examine the individual in the context of his present situation and his past learning.

The battery that is currently being used appears to spend a great deal of time concentrating on the areas of vocational and academic achievement, but does not have the capability of measuring the integration of a particular individual, nor does it attempt to sample his preferences. This appears to be left entirely to the clinical interviewer, who must make appropriate decisions about mental health and adjustment based on his perceptions of that individual during the brief interview presently afforded him.

It is suggested that the standardized testing battery should attempt to cover as many variables in a person's total adjustment as possible. While it appears to be a fairly reliable measure of intelligence, the time required for administration and some of the potential cultural biases involved in that particular test may result in some problems in testing certain individuals. Persons who are severely intellectually impaired usually require a Weschler Adult Intelligence Scale examination, individually administered by a clinician to determine actual levels of incapacitation due to low intelligence. Since the resources of a clinician are not available in the diagnostic section at the present time, CSG recommends that an individual be evaluated using a standardized battery in general screening of inmates' intellectual capacity using a group test of intelligence. Several states have experienced some success in using the Culture Fair Intelligence Test because of its non-verbal nature and the ability to give the test in a number of languages. Regardless of the type of test

used, it should be pointed out that a measure of intelligence standardized on national norms is necessary in any assessment program to determine placement either in remedial or special education programs or in special work environments whereby the individual is not chastised or unduly victimized as a result of his lack of intellectual capacity. Individuals scoring below the 70 IQ range should be evaluated using the full-scale Weschler Adult Intelligence Scale administered by a competent clinician.

The present ABLE battery that is used by the Missouri Division of Corrections is satisfactory for measuring achievement levels in terms of academic learning. However, the time required to administer this test limits the ability of the evaluation staff to measure other areas of pertinent functioning, and results only in a general academic placement score. In most academic settings, school administrators require some form of placement test just prior to entering the school system. Thus the initial testing at the diagnostic unit usually is performed once again just prior to the person entering the school setting. In some cases, inmates having long sentences may not begin education programs when they first enter the system, but will require or be interested in programs later on in their incarceration. Thus, the school system tests them at the time they enter the program and seems to adequately place individuals in an academic or vocational program. Most school systems around the country are currently using the test of Adult Basic Education for both pre- and post-testing of the individuals in academic programs.

It is suggested that a brief, general screening at the diagnostic unit could be more easily and timely achieved with the use of the Wide Range Achievement Test, which yields a grade-level functioning score on reading, writing, and arithmetic functions in a relatively short period of administration, and can act as a good general screen and as a cross-validation for the intellectual quotient score obtained from the intelligence tests. In a number of cases, individuals may have superior achievement scores to their intellectual capacity, which indicates that the individual concentrated and worked diligently toward achieving academic goals in his life and placed a great deal of value on academic achievement in spite of low intellectual capacity. This can be a good leading indicator of possible motivation and the individual's capacity to stick with a task or a goal, and is a good indicator for counselors in motivating and assigning inmates.

It is suggested that some type of a general personality inventory be administered; either the 16 Personality Factor Test, the Bi-polar Psychological Inventory, the Group Projective Personality Test, or the California Personality Inventory could be considered for this portion of the evaluation. All of these tests are standardized, and a number of them have been normed against offender populations. The assumption for using a mid-range of personality tests is to sample a person's likes and dislikes in terms of normality. While many psychological instruments have been used to determine clinical pathology, such as the MMPI, these other tests can assume that an individual is not pathological, but is simply incarcerated in a prison setting and has certain needs and desires that may act as motivators while he is in prison. These tests provide information that can be used as preliminary indicators of a person's ability to adjust to a confined group living situation.

The advantages of using a test similar to the 16 Personality Factor test is that it has been standardly given to people with reading levels of fourth grade or greater using a taped version of Form E, thus permitting administration to many individuals who do not have the reading capability to take other types of personality inventories.

Finally, an issue of determining clinical pathology is necessary, as these individuals may cause the most severe problems for management in the prison system. The Minnesota Multiphasic Personality Inventory has been the primary clinical instrument used to determine clinical pathology over a number of years. While this is a good instrument, it does require excessive testing time, and requires the inmate have an eighth grade or greater reading level. Once again, administration of the MMPI, requires a clinician trained in the use and interpretation of the MMPI to make clinical distinctions. It can be a very useful clinical tool in screening individuals who need to be referred to the psychiatrist or clinical psychologist for further evaluation and treatment. By making it part of the standardized battery, the department is able to more accurately screen individuals for appropriate referral, thus using the time of the psychiatrist and psychologist, which is limited, to the Division's best advantage.

An alternative to the MMPI is the Clinical Analysis Questionnaire, which is based on the clinical scales of the MMPI. It is a good, quick screener of clinical pathology, and provides the interpreter with a good screening for mental health problems. Once again, the Clinical Analysis Questionnaire can be administered at the sixth grade reading level or above, and can be used as a good screening device for those individuals in need of referral.

The time necessary to administer the complete battery mentioned above is approximately six hours of actual testing time. The advantage of using the configuration of tests suggested is that inmates spend minimal time in testing and more areas are covered, thus resulting in a more structured set of data upon which to conduct the clinical interview. It should be pointed out that each person under this system will need to have an individualized interview to verify or refute information gathered in any diagnostic process.

The advantages to using a battery which gathers intellectual capability, achievement levels, personality data, and clinical pathology, are that, from a research standpoint, the Division will have a good standard sample of many factors that influence an inmate's behavior, and will be able to perform more guided clinical interviews focusing on issues which may be of great importance to the inmate and the system rather than devoting the same time to a broad and general interview of the inmate.

The advantages of using a standardized test battery are that it provides a wide variety of information about an individual as he perceives his situation at the present time, and it samples his past learning and potential for learning in the future. It is a relatively inexpensive way of gathering information, as most tests recommended can be reused except for answer sheets, and based on the number of inmates entering the Missouri

Division of Corrections, the entire supply budget to provide tests without a computerized grading system would be approximately \$500 per year. This would provide for all test materials used and result in less staff time being involved in the process of testing and monitoring testing activity. A major feature of a standardized testing battery is that each inmate is allowed to respond to a standard set of questions without interjecting the biases of the interviewer. Standard scores are then available for counselors and correctional managers, on which to make decisions once the individual is placed in general population. There is a strong assumption on the part of most evaluators that the decisions can be best made when the greatest amount of accurate information is available on an individual. A standardized program provides the administrator with information with which to make crucial decisions concerning the control of the inmates charged to him by the courts and with some rational bases upon which to make statements to families and public officials as to why a particular individual is placed at a particular facility in his correctional system.

The use of instrumentation also is a strong supporting document to justifying the rational placement of individuals within a correctional system.

Recommendations: It is recommended that the diagnostic processing during the time that medical results are being gathered and evaluated include a testing battery which consists of an intelligence measure, an achievement measure, a personality test, and a clinical questionnaire. The adoption of a battery consisting of these elements will give a much broader picture of individuals entering the prison system and allow classification analysts the opportunity to make appropriate referrals to not only physicians but the limited clinical psychologist staff available.

It would appear that the best use of consultant funds would be to employ a clinical psychologist to train and supervise the activities of the diagnostic staff. The diagnostic staff can act as a referral resource to the psychologist. The psychologist can serve as a monitor of reports being produced by the evaluation team. With clinical supervision and review of the written report produced by a diagnostic section, the psychologist can more adequately screen and pick up those individuals who require more individualized and personal attention required either by the medical section or another clinical psychologist.

It is recommended that a clinical psychologist and a psychometrist be added to the diagnostic staff to deal with the specific problems of those individuals who are either mentally ill or mentally retarded, and also to provide clinical training and supervision for the diagnostic caseworkers who are now performing the assessment function.

It is further recommended that a statistical collection base using computerized services be developed to record all intake information, as well as test results for quick recall, and to assist the Director in monitoring the demands on classification and assessment, and thus take appropriate steps to see that the staff is adequately trained and managed and the needs of the Division are being met in the diagnostic area in the future.

It is recommended that the director of the Department of Corrections in the State of Missouri approach the Department of Labor director with the proposition of placing Labor Department counselors in the diagnostic unit to test inmates with the General Aptitude Test Battery as part of the diagnostic process. The benefits of such batteries being administered by the Labor Department would be to provide appropriate placement of individuals in Labor Department/CETA-funded programs as well as to assist field labor offices in having test data in their files available on people being released from prison who are in need of employment.

Because of the confidentiality of certain records on inmates, it is necessary that psychological reports, psychiatric evaluations, and pre-sentence investigations be held as confidential records. Pre-sentence investigations in particular reveal that certain friends, neighbors, employers, and associates may have commented to the probation officer concerning certain information which, when reported to the judge, resulted in a more severe sentence. Should this information fall into the hands of certain inmates, reprisals may be expected. Thus to protect not only probation staff but institutional staff, a confidential information sheet may need to be maintained in the central office records and made available to key managers as a separate memo to be destroyed after the information has been reviewed. Several states have adopted a standard pre-sentence investigation form with a supplemental confidential information sheet presented to the judge which may either be destroyed or forwarded only for central office use in corrections. The dangers of releasing such sensitive information to the receiving institutions are evidenced by the incidents in the New Mexico system's recent riots.

The Division of Corrections should consider the use of a computerized diagnostic grading system. This would provide instant retrieval of diagnostic information gathered upon entry into the system and would reduce the chance of grading error by staff and allow their time to be used in a more productive manner.

Several systems are available for this purpose. The most well-known and researched on inmates is provided by Psychological Resources, Inc. Other systems for MMPI use have been developed by Megargee who is with the Federal system.

Almost any chosen battery will have its assets and liabilities. However, the use of computerized systems has proven to be a great time saver, and permits administrators more accurate data on which to make projections and administrative decisions.

If the Division can afford a computer system that will track the inmates as well as perform the grading of the psychological information, dual use will be achieved. In the long run, this may be the most profitable strategy to pursue.

d. Diagnostic Center Report

Findings: As soon as possible, all newly received inmates, including recidivists, are interviewed by a member of the Classification Unit Casework staff. (Inmates are assigned to caseworkers by number.) The

interview encompasses various aspects of an inmate's background including his family history, educational history, employment history, military history, marital history, medical history, and criminal history. Information obtained during the interview previously was verified by returned questionnaires, hospital reports, school reports, and correctional institution reports when they were available. Now, however, inmates are generally transferred from the Unit prior to the reports being received. The caseworker then utilizes the available information to write a Diagnostic Center Report which is essentially an admission summary.

Classification personnel at the Diagnostic Center cited the lack of reliable information as the most significant problem affecting the satisfactory classification of new inmates relative to their initial custody and program needs. This deficiency is felt most acutely during the preparation of the Diagnostic Center Report.

One of the most obvious deficiencies in initial classification at the Classification and Adjustment Unit is the attempt to provide a valid classification plan for an individual when there is little more available information than the commitment papers. This problem is especially acute for the first offender for whom minimal data exists regarding his community or institutional adjustment. PSI's are received for only about 40% of the inmate population during the length of their confinement. Even for repeat offenders, especially those entering with a new name, it appears that criminal case data (FBI "Rap Sheets," MILES information, presentence investigations, detainers, etc.) may not reach the Assignment Unit before the inmate is transferred or are not available.

The unavailability of critical information concerning the inmate's past criminal history, the official version of the crime for which he is being incarcerated, and his previous institutional adjustment(s), often forces the Initial Classification Team to classify a man based upon the self-reports he makes during his interview sessions.

Furthermore, these problems create a situation where information forwarded to maintaining institutions from the Classification and Assignment Unit is often incomplete and/or inaccurate. As a result, institutional classification personnel perform another assessment of the individual which usually requires additional interviews and testing.

The format for the Diagnostic Center Report is almost twenty years old and has not been changed to reflect improvements in classification techniques or procedures. In addition, no attempt has been made to alter the report format to include the numerous and varied changes in MDOC policies and procedures nor new programs, services, or facilities.

Six formats are employed by Classification and Assignment Unit staff:

- . Nonrecidivist - No PSI
- . Nonrecidivist - PSI is available
- . Recidivist
- . Parole violator
- . Conditional release violator
- . Reverse and remand from the court

Classification and Assignment Unit staff were asked what information was usually available to them when making custody and institutional assignments. Table IV-1 presents their responses.

TABLE IV-1
INFORMATION AVAILABILITY

Type of Information	Number	Percent
Sentencing Orders	6	100.00
Educational Test Results	6	100.00
Diagnostic Unit Report	6	100.00
Interview Data	5	83.33
Psychiatric Evaluation	1	16.67
Criminal History	1	16.67
Relative Questionnaires	1	16.67

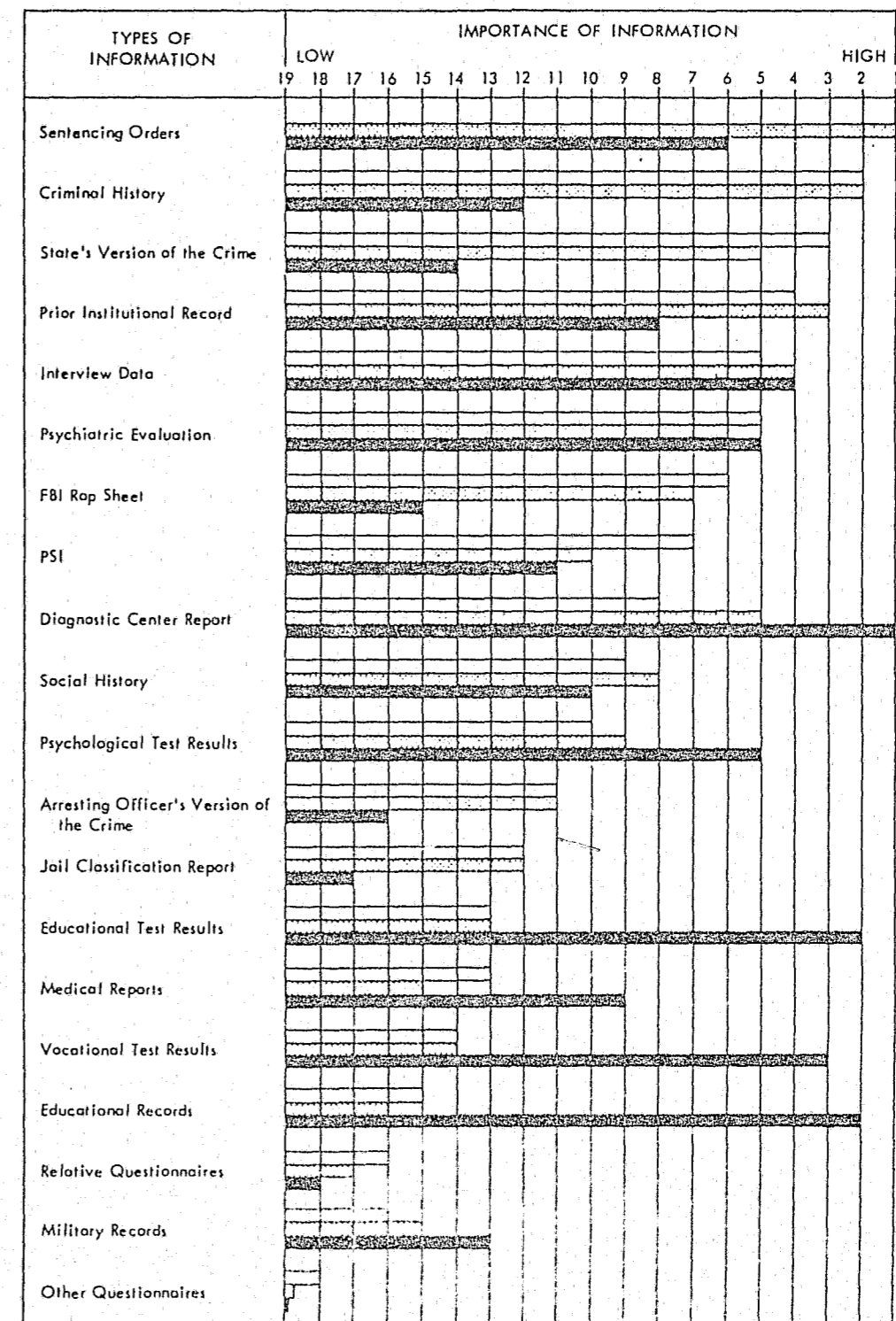
The message of this table clearly supports the staff's position that little information is available with which to classify inmates. The two to three day time period the inmate remains in the Classification and Assignment Unit allows little more information to be collected than the sentencing orders, which arrive with the inmate, the results of educational testing, the inmate's prior institutional record, if any, and inmate self-reports generated during interview sessions. One staff member reported that psychiatric evaluations, criminal history and relative questionnaires are usually available for initial classification purposes. Information normally considered important for initial classification purposes by other jurisdictions is not usually available to MDOC diagnostic staff, i.e., PSI's, FBI Rap Sheet, psychological evaluations, official version of the crime, etc.

Figure IV-4 shows the relative importance of different types of information for making custody, institutional and programmatic assignments. From this figure, it appears that Diagnostic staff give little overall consideration to social history, the arresting officer's version of the crime, a jail classification report, medical reports, relative and other questionnaires, and military records. Adoption of the Correctional Classification Profile will give the acquisition of these types of information added significance.

Because Missouri has traditionally viewed custody (supervision) as synonymous with security (institutional capabilities) the types of information needed for custody decisions is highly correlated with that necessary for making institutional assignments.

According to MDOC Diagnostic staff, the most important information needed to make custody and institutional assignments includes:

- Sentencing orders;
- Criminal history;



LEGEND
 █ Custody Assignment
 █ Institutional Assignment
 █ Program Assignment

Figure IV-4. Relative Importance of Information in Making Custody, Institutional, and Programmatic Assignments

- . States version of the crime;
- . Prior institutional record;
- . Interview data;
- . Psychiatric evaluation;
- . FBI Rap Sheet; and
- . Diagnostic Center Report

Staff felt the most important information needed for making program assignments included:

- . Diagnostic Center Report;
- . Educational Records;
- . Vocational Test Results;
- . Interview data;
- . Psychiatric evaluation;
- . Sentencing orders;
- . Prior institutional record; and
- . Medical reports

Although there is much overlap between staff perceptions of the need for certain types of information for custody/security and program assignments, Diagnostic staff were more concerned with the availability of assessment information, i.e., Diagnostic Center Report, educational records, vocational test results, interview data and psychiatric evaluations, to aid in making program assignments as opposed to custody/security assignments.

Recommendations: The availability of accurate, reliable and timely information is the cornerstone upon which initial classification decisions are made. Without such data, initial classification staff make decisions in a vacuum, uncertain that their recommendations are appropriate in terms of serving the best interests of the public, the Division staff and the individual inmate.

Therefore, the Division should take steps to rectify the gross lack of information with which to assess new offenders. Beyond the recommendations made in CSG's final report, the Missouri Division of Corrections should develop a Task Force to develop a comprehensive plan to provide information needed by initial classification staff to effect a viable classification plan.

Two overriding factors must be considered in attempting to attain additional sources of information. First, the overcrowding problem in Housing Unit Number 1 must be alleviated and the diagnostic assessment phase extended well beyond the two to three day period currently provided. Secondly, completion of the Correctional Classification Profile will necessitate that the Task Force concentrate on obtaining the following types of information:

- . Medical and health care
- . Mental health
 - Psychiatric/psychological testing and evaluation
 - Mental health reports generated by private and public agencies
- . Security/Custody

- Prior offense history (FBI, Missouri Highway Patrol)
- Prior institutional record
- State's version of the offense
- Prior military record
- Detainer information
- Jail classification information
- Adjustment on parole/probation
- PSI
- . Treatment/Counseling
 - Psychiatric/psychological testing and evaluation
 - Substance usage
 - PSI
 - Mental health/substance abuse reports generated by private and public agencies
- . Educational/Vocational
 - Testing
 - Prior records
 - Employer/school questionnaires
 - Interview data
 - Prior institutional record
- . Work skills
 - Prior institutional record
 - Employer questionnaires
 - Testing
 - Interview data

Also, the format of the Diagnostic Center Report should be revised to accommodate changes in current testing and diagnostic procedures that result from recommendations contained in this report. Further revision will be necessary to reflect improvements in classification techniques and procedures and changes in MDOC policies, procedures, facilities and programs.

e. Personalized Plan

In the mid-1970's the Division developed a program designed to "map out" an inmate's participation in agency programs. This program was termed the Personalized Plan (PP). According to Rule No. 20-101.090, the plan is described as follows:

The central element of the team planning process is the development of a personalized plan for each inmate which has as its ultimate goal release of the inmate to society as a productive and useful citizen. This plan would place the future of the inmate in his own hands by achieving goals set forth by him as well as the other members of the treatment team. This will enable the mission and continuing objectives of the Division of Corrections to be achieved.

The PP is to be initiated in the Classification and Assignment Unit. However, due to a shortage of personnel and the absence of classification treatment teams this has not been possible and PP's have been developed by individual caseworkers.

Based upon discussions with both Classification and Assignment Unit and institutional staff, the PP program is, at best, inconsequential in determining the programmatic needs of inmates. This conclusion has been arrived at after considering the following information:

- Eleven out of fourteen administrators and program managers interviewed stated quite emphatically that although the PP was in theory an excellent program tool, in practice it was not used to bring about the corrective changes in inmate behavior as was originally envisioned. (MIR does utilize a behavioral contract in the management of offenders).
- There is minimal if any effort by the Classification and Assignment Unit staff to monitor the progress of the inmate as outlined in his PP. Information obtained from the Unit indicated that institutions rarely inform them of changes in PP's.
- The Parole and Pardon Board apparently pays minimal attention to the PP while placing most emphasis on the programs and activities that the inmate actually participates in.
- The Division has been unable to provide, due to overcrowding and budgetary constraints, a sufficient number of programs in all of the state's correctional centers to make the PP program credible to both inmates and staff.
- Inmates are not supposed to be transferred, according to the PP program unless the transfer permits the individual to follow his/her plan. The only exceptions are supposed to be for cases involving prosecutable crimes, serious security matters or immediate medical attention. However, a review of a sample of transfers effected in early 1979 showed that a significant number, over 30% were for administrative reasons unrelated to the PP.

Recommendation: Given the above information, the Division should either eliminate the use of the Personalized Plan or provide the resources to ensure that it is carried out according to the original procedure. If the PP is eliminated many of the Division Rules will need to be rewritten as their central theme is the use of personalized planning. CSG, however, recommends the Division require that a basic personalized plan be developed for all inmates during the diagnostic and assessment phase of his incarceration. This basic plan is not a "total" incarceration plan. It merely provides a guideline and a set of priorities for institutional classification staff to use in developing a specific Personalized Plan for an inmate once he is transferred from the Classification and Assignment Unit. The basic personalized plan should be developed by a Diagnostic Center Caseworker with the inmate's input. It should be brief, concise, and broad in scope with stated priorities. The plan should reflect realistic programming in the following areas:

- Educational;
- Vocational;
- Medical;
- Psychological;
- Release

The basic program plan should be submitted to the Initial Classification Team for review and approval or revision at the time of the inmate's initial classification hearing. The proposed Correctional Classification Profile, described in Chapter X, will expedite this process.

In conjunction with the Correctional Classification Profile, an automated, continuous monitoring and reclassification process for all inmates, similar to those operating in Georgia, Oklahoma and Colorado, would be able to suggest changes in specific areas, as needs occur, and monitor inmate progress in relation to conformance to MDOC policies and procedures.

Much of the information contained in the existing inmate management system is already available and would not have to be created. However, although the present offender based record system excels at providing a rapid review of tabular information it is not adequate to handle detailed aspects of case management such as the Personalized Plan.

5. Initial Classification Team Review

a. Findings: After a Diagnostic Center report has been written, the caseworker then presents the case at an assignment conference which is held daily in the Classification and Assignment Unit. The primary purpose of the assignment conference is to determine an institutional placement for the inmate whose case is being presented. There are primarily three options available regarding level of custody required for a given inmate: maximum custody, medium custody, minimum custody.

Criteria used in determining institutional placement for an inmate include, but are not limited to, the inmate's present age, the length of his present sentence, the type of offense of which he has been convicted, and whether or not he has a history of escape. Other factors related to the assignment process involve circumstances relating to his prior incarceration (if any) and circumstances involving the location of his enemies (if any) within MDOC. In addition, institutional availability in terms of bed space at any given institution is another factor affecting the assignment process.

Based on interviews with Classification and Assignment Unit staff, it appears that the importance of the assignment conference has been significantly reduced due to limited options created by overcrowding, a cutback on program and services and the federal court order. Short-term goals now take substantial precedence over long-term goals due to the limited options and programming available to Unit staff.

b. Recommendations:

Classification is a way of working with the whole man instead of just part of a man or instead of treating a man in parts which may

not be compatible. It uses many and varied approaches to all of the problems in proper balance instead of overdoing in some and underdoing on others. The latter would be more likely when isolated segmental approaches to diagnosis and management are used instead of the total team approach of classification which pools a variety of skills and knowledge in diagnosis and treatment. Classification is a team operation from the instant of reception to the time of release. It helps to prevent incompatible components in the program.

Representatives of every professional area that can contribute to diagnoses and program planning should be involved in the classification process. The problems of preventing recidivism are so complex that it is impossible for any one discipline or any one person to be cognizant of all the implications of a decision. What may seem highly appropriate or necessary from one point of view may become totally inappropriate or impossible from another point of view. Insights from many disciplines need to be shared and considered in decision-making to the end that the best program possible within the limits imposed by available resources is developed. Classification, recognizing the interdisciplinary character of the problems of preventing recidivism is, therefore, a team process enlisting representatives of as many areas of human behavior as possible to identify and meet the inmate's needs.

With the above in mind, it is recommended that the Classification and Assignment Unit develop a team approach to initial classification which would involve the offenders and representatives from the following disciplines:

- . Educational and Vocational Training
- . Security
- . Casework
- . Psychiatry/Psychology

The suggested Initial Classification Team composition is as follows:

<u>Team Position</u>	<u>Title</u>
Chairman	Director of Reception and Classification
Assistant Chairman	Casework Supervisor II
Permanent Voting Members	Caseworker Senior Correctional Officer (Assigned to Housing Unit #1 or to the Diagnostic Center)
Alternate Members*	Psychologist/Psychiatrist Education/Vocational Training Representative
Nonvoting Member	Representative of the Central Transfer Authority

* The inmate's caseworker will be responsible for determining when to request the participation of mental health, educational or vocational specialists in initial classification decisions.

Correctional Services Group recommends the participation of a representative of the Central Transfer Authority as a nonvoting member because this procedure would keep a line of communication open and facilitate information exchange regarding bed space availability, program availability, population management, etc.

Because of a shortage in correctional officer staff, the Division should permit sergeant level (or above) correctional staff to participate in Team hearings. Such officers, however, should have received formal training in classification objectives, procedures and institutional program resources prior to their participation in Team hearings. The same training requirements should apply also to correctional officers of the lieutenant rank or above who sit on the Initial Team.

Since the Division Rules governing initial classification do not currently specify team hearing procedures or duties and responsibilities of Team members, CSG recommends that a new rule be developed to govern the conduct of an Initial Classification Team hearing. The following format is provided as a guideline.

PURPOSE: (This statement or series of statements should reflect the applicable MDOC objectives of classification and simply describe the reasons for promulgating this particular rule.)

PROCEDURES:

- (1) General Information: The Chairman of the Initial Classification Team and two other members must be present for an initial hearing to take place. The Chairman will vote only to break a tie.
- (2) Prehearing Activities
 - . The Director of Reception and Classification will serve as permanent Chairman of the Initial Classification Team. The Assistant Chairman will be appointed by the Director of Reception and Classification.
 - . The Director of Reception and Classification will designate an appropriate place within the Classification and Assignment Unit to hold Initial Classification Team hearings. The meeting area should provide adequate privacy and a suitable waiting area for inmates and other persons who must wait to appear before the Team. Further, the meeting area should be located so that inmate movement to and from the hearing area can be effected in an orderly and secure manner.
 - . The Chairman of the Initial Classification Team, or his designee, will prepare and distribute the hearing docket at least two working days in advance of the hearing.
 - . The inmate's assigned Caseworker will be responsible for presenting the initial classification recommendations to the Team. In preparing for this presentation, the caseworker will identify any special recommendations made by unit psychologists or

educational/vocational specialists and bring this finding to the attention of the Team Chairman. The Team Chairman will be responsible for ensuring that the appropriate psychologist, education or vocational specialist participates in the inmate's hearing.

- . The caseworker will tell the inmate when he is scheduled for a Team review and will explain the procedural requirements and possible outcomes.
 - . The Initial Classification Team will have each inmate's base file available for reference during the individual review of cases.
- (3) Hearing Procedures:
- . The Chairman, or his designee, will maintain the hearing minutes on Division forms.
 - . The Chairman will review the hearing docket.
 - . The Chairman will identify the inmate whose case is being reviewed and briefly summarize the inmate's record, the Diagnostic Center Report, the Correctional Classification Profile, and the caseworker's assignment recommendation(s).
 - . The Team will discuss the case.
 - . The Chairman calls for the applicable inmate to be admitted to the hearing room.
 - . The inmate's caseworker presents his initial classification recommendations to the Team, gives supporting rationale, and answers any Team questions.
 - . Individual Team members may question the inmate concerning the proposed assignments and the inmate's opinion of his basic Personalized Plan.
 - . The Chairman dismisses the inmate from the hearing room.
 - . The Team members discuss the case.
 - . The Initial Classification Team votes on the caseworker's assignment recommendations.
 - . The Hearing Recorder documents the decision of the Initial Classification team on the appropriate DOC forms.

- . The Chairman calls for the inmate to be readmitted to the hearing room at which time he is advised of the Team's decision and his recourse should he feel that the decision is unfair*.
 - . The inmate is permitted to question the Team concerning its decision.*
 - . The Chairman dismisses the inmate from the hearing room and introduces the next case for the Team's deliberations.
- (4) Posthearing Activities
- . If the Director of Reception and Classification does not participate in an inmate's hearing, he/she will review the Team's recommendation and approve or disapprove it.
 - . If he/she disapproves the recommendation, an alternative recommendation and supporting rationale should be recorded on the form. The case should be referred back to the Team to be re-scheduled for the next initial hearing.

The primary reasons for establishing hearing protocol include:

- . Each of the Team members, including the Chairman, know what is expected of him;
- . Regardless of who chairs the hearing or which Division staff participate in the decision-making process, each hearing will basically resemble all other hearings;
- . Uniformity in hearing procedures will lessen the likelihood of an inmate challenging the Team's decision based upon inconsistent hearing procedures; and
- . The caseworker can describe to the inmate the sequential steps in the hearing process so that he will know what to expect when his case comes up for review.

f. Inmate involvement in initial classification

Findings: It appears from interviews with Diagnostic staff and from their responses to survey questionnaires, that the inmate's involvement in the initial classification process is minimal. Inmates surveyed corroborated this opinion; many inmates questioned said they were dissatisfied with the level of their involvement in the initial classification. Another finding is that, on the whole, the initial team has

*Several Classification and Assignment Unit staff expressed concern over the practice of telling an inmate his institutional assignment. In the past some inmates who received "good" assignments, in the opinion of the inmate population, had to be reassigned after being involved in a disciplinary infraction precipitated by his fellow inmates.

an inadequate knowledge of the inmate. That is, unlike institutional classification staff who work with a man over a period of years, initial classification staff interact with a man only for a few hours over a period of a few days. If they do not counsel him, their knowledge of the inmate is limited to what is gained through interviews, conducted usually for a singular purpose, his records, and other staff's observations concerning that inmate.

Recommendation: Involving the inmate in his initial classification process is mandated by Commission on Accreditation (CAC) Standard Number 4374. Seeking the inmate's input into the development of a basic personalized plan will, in most cases, accomplish two objectives. First, the plan and the inmate's initial institutional placement will more adequately address the inmate's program needs and expectations; and two, it will provide the classification counselor with added insight into the inmate's motivations and potential for positive institutional adjustment. An added benefit may be that the inmate will be more likely to follow through with his treatment program objectives if he has a viable role in developing his program plan.

As the current system is structured, however, there is little room and almost no reason for involving the inmate to any great extent in the classification process. He may provide feedback on the type of programs and services he is interested in but his institutional placement is presently dictated by his security needs and bed space availability, over which he has no control. For these reasons, and others detailed elsewhere in this report, the Division should begin developing basic personalized plans for inmates during the time they are housed at the Classification and Assignment Unit.

6. Inmate Transfer

a. Findings:

The final step in the Unit's classification process is the preparation and transfer of the inmate to the designated correctional center. Transportation of inmates is provided by the individual center and is arranged through the Unit Director. The Unit has no vehicles of its own and is totally dependent on the services of other MDOC administrative staff to carry out this function.

b. Recommendation: The transfer process from the Classification Unit to other centers could be significantly expedited if the Unit was able to manage its own vehicles. Most other states which operate central reception and diagnostic centers authorize the Classification and Assignment Unit to control transportation of inmates out of the Unit. This enables inmates to be transferred as soon as they have completed the classification process rather than to wait around for a correctional center to pick them up.

C. Overview of Proposed Classification and Assignment Process

The proposed initial classification and assignment process should resemble that depicted in Figure IV-5.

Phase I: Data Collection	Phase II: Assessment	Phase III: Personalized Plan	Phase IV: Periodic Evaluation (Institutional Classification)
<p>Focusing on:</p> <ul style="list-style-type: none"> . Criminal . Social . Psychiatric . Psychological . Medical . Educational . Vocational <p>Sources:</p> <ul style="list-style-type: none"> . Sentencing Orders . Presentence Investigation Reports . State's Version of the Crime . Inmate's Version of the Offense . Forensic Reports . FBI Criminal History . Jail Reports . Military Records . Previous Inmate File Material . Diagnostic interviews . Diagnostic Observations . Diagnostic Tests 	<p>Analysis of:</p> <ul style="list-style-type: none"> . Offender Public Risk . Offender Institutional Risk . Sources of Criminal Behavior/Problem . Personality . Socioeconomic . Potential for Change/Rehabilitation . Aptitudes . Skills . Interests . Community Ties . Mental Stability . Vulnerability 	<p>Stated as:</p> <ul style="list-style-type: none"> . Initial Placement . Subsequent Placements and Steps . Performance Objectives for Each Step <p>Constrained by:</p> <ul style="list-style-type: none"> . Bedspace Availability . Custody Level Housing Assignment . Special Management Needs . Program Availability <p>Designed with:</p> <ul style="list-style-type: none"> . Inmate Participation . Staff Input 	<p>Initiated by:</p> <ul style="list-style-type: none"> . Pre-established Interval Since Initial Placement or Last Evaluation . Inmate or Caseworker Request . Managing Officer Request

Days 1 - 3

Days 4 - 13

Days 14 - 20

Figure IV-4. Proposed Classification and Assignment Process

The following general recommendations are presented to guide the Division in restructuring the present Classification and Assignment process. Since receiving institutions within the MDOC typically reevaluate each inmate and develop their own recommendations for his program involvement it is recommended that the Missouri Division of Corrections reduce its emphasis on the reception process as a comprehensive diagnostic process for all offenders. Instead, the reception process should be oriented toward: screening for risk; filling gaps in the historical information received on an inmate; and developing basic treatment program plans. More complete diagnostic workups should be reserved for offenders who have special needs, as identified through screening. These needs may be medical, psychiatric, mental health, etc. To do a complete diagnostic workup on every inmate is costly; wasteful of scarce resources; will be time consuming; is generally not used by the receiving facilities; and simply is not necessary in the majority of cases.

Correctional Services Group recommends that all inmates be tested during the admission process to help identify their general program needs during the duration of their confinement. The results of these tests, along with information obtained during personal interviews, should be used by Diagnostic caseworkers to formulate the basic Personalized Plans described earlier in this chapter.

Such testing should focus on: literacy; achievement levels; vocational ability and preference; and substance abuse involvement. Psychological and psychiatric evaluations as well as extensive medical testing, should be reserved for those inmates who are identified, by mental health or caseworker staff, as in need of in-depth assessment. Likewise, extensive educational and vocational testing should be performed by institutional staff once the inmate is transferred from the Classification and Assignment Unit to a DOC facility.

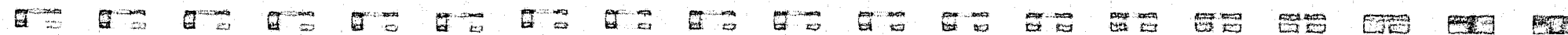
In summary, the receiving institution should have the formal responsibility for extensive inmate evaluation and comprehensive personalized planning while the Classification and Assignment Unit should be responsible for initial placement and for recommending institutional program participation and performance objectives for each offender.

The classification and assignment process for the vast majority of offenders should be much shorter than the 30 days it is supposed to take at present. Screening the population to identify special needs inmates for extensive evaluation will help shorten this process as will any successive measures taken to expeditiously acquire the necessary background information on each inmate received.

Reception centers were initially thought to provide a positive experience for inmates in acclimating them to prison life. Many correctional authorities now believe the reception center experience can become a negative experience, especially for inmates who are housed in the centers for periods in excess of about 2 weeks. Part of the reason for this opinion is that these facilities, charged with identifying the future segregation and classification needs of new commitments, are themselves not segregated or classified, except in extreme cases. Inmates, young and old, first offenders, multiple offenders, property offenders and violent offenders are all mixed together in reception center housing and program assignments.

It is recommended that the Classification and Assignment process consist of:

- (1) Screening for medical and dental needs;
- (2) Identifying special needs and/or special management inmates;
- (3) Selective psychiatric and psychological examinations;
- (4) Compiling legal documents and investigative reports;
- (5) Orienting the offender to the DOC;
- (6) Determining the custody level appropriate for future housing;
- (7) Selective diagnostic testing; and
- (8) Formulating a basic personalized plan.



Chapter Five: Institutional Classification

CHAPTER FIVE: INSTITUTIONAL CLASSIFICATION

While the basic institutional classification procedures utilized by the classification teams at the various MDOC facilities do not vary appreciably, the Division rules governing team classification are sufficiently vague to permit institutional policy and procedural deviations. Therefore, in the sections that follow, policies and procedures will be evaluated, when necessary, on an institutional basis.

A. Initial Institutional Classification

1. Findings:

a. Missouri State Penitentiary (MSP): Shortly after an inmate is received by MSP, he is interviewed by the Initial Classification Team. The inmate is given an interim job assignment; he is asked if he needs protective custody; he is given a copy of the personalized plan to complete; and receives a brief orientation to the institution's rules and regulations. MSP security staff make housing assignments. Caseworkers are assigned by hall (housing unit). The team is usually composed of the Caseworker (Team Leader), Correctional Classification Assistant and the inmate.

b. Missouri Correctional Training Center for Men (MTCM): An Initial Receive and Orient Team, composed of the Reception and Orientation Caseworker, the Correctional Officer assigned to reception and orientation, a representative from the school and a work supervisor, meets with the inmate shortly after his arrival at MTCM to assign him to an interim job, to a housing unit, and to establish his 30 day review data. He is also oriented to the facility's rules and regulations.

c. Missouri Intermediate Reformatory (MIR): During the first ten days following an inmate's transfer to MIR, he is in receiving and orientation. The Chaplain, Superintendent and Assistant Superintendent deliver a series of lectures designed to provide inmates with the necessary orientation to MRI. Then the inmate is assigned to a unit by the Records Officer with the approval of the Casework Supervisor and the Superintendent. Following unit assignment, the inmate is usually seen by his unit caseworker and his initial team hearing is scheduled. During the initial hearing, the inmate receives an interim job assignment, a room assignment, completes the Cornell Index (psychological screening) and participates in developing a behavioral contract (MIR's adaptation of the Personalized Plan). The members who conduct the initial Unit Classification Team hearing include the Unit Caseworker, Correctional Classification Assistant, the Unit Manager and an Institutional Parole Officer.

d. Central Missouri Correctional Center (CMCC): When an inmate is received by CMCC, he remains in Reception and Orientation for approximately 48 hours during which time the Reception and Orientation Team meet with him to explain CMCC's rules and regulations, to check his files, to develop his visiting list, to make his housing unit assignment and to give him an interim job. The Reception and Orientation Team is usually composed of the Reception and Orientation Caseworker, a Correctional Officer assigned to Reception and Orientation and a Correctional Classification Assistant.

e. Ozark Correctional Center: Normally initial unit classification is done by a Caseworker and a Classification Assistant. Housing assignments are made by security. During this initial meeting, the inmate is introduced to the process of unit classification, given an interim job assignment, develops a visiting list, is given a copy of the OCC informational packet to read and return, is asked questions about previous program participation, previous job assignments, medical restrictions, medication usage, etc. His previous offense history is summarized and he is told what to expect at OCC. Inmate's questions are solicited and answered during this hearing and he is told how to sign up to see a Caseworker. The inmate's next review data is also set at this time.

f. Renz Correctional Center (RCC): RCC does not utilize an initial institutional classification team as the women assigned to RCC are housed there also.

g. State Correctional Prerelease Center (SCPRC): When an inmate first arrives at SCPRC, he participates in an orientation program. He receives a check-in sheet with instructions to report to everyone listed on the sheet. During this orientation period, the inmate meets with the classification staff, the psychologist, the job supervisor, and the classification assistant where he receives a basic orientation to the Prerelease Center, an interim job assignment and a dormitory and room assignment. The Superintendent gives an introduction to SCPRC and the Chief of Security reviews the facility's rules and regulations. During this period, the Casework Supervisor also interviews the inmate to update his file. The necessary information is recorded in the Intake Summary.

h. Honor Centers: The Honor Centers have orientation programs for inmates transferred there. Center rules and procedures are explained and all staff members from the Center's major units meet with newly-received inmates to explain details of the program. Within their first week at a Center, all newly-arrived residents meet with their caseworker to formulate an individualized treatment plan.

2. Recommendations: CSG recommends that the MDOC institutions dispense with holding initial or reception and orientation hearings. Instead, the inmate's caseworker should meet with him within 24 hours of his or her reception to perform a basic intake summary that would identify housing and initial job assignment considerations in addition to updating information contained in his base file. Also during this initial interview, the caseworker should schedule the inmate for orientation, set his 30-day review date, develop the visiting list, tell the inmate how to contact his caseworker and answer any questions the inmate has. Security should then use the caseworker's recommendations to make housing and initial job assignments based upon availability.

The inmate should participate in a comprehensive orientation program within his first week at his assigned MDOC facility. This orientation program should cover, at a minimum:

- Institutional rules and regulations;
- Adjustment procedures;
- Grievance procedures;
- Institutional classification process;
- Transfer/custody reduction criteria

CONTINUED

1 OF 4

- Institutional programs and services;
- Community release/temporary leave;
- Recreation/leisure activities;
- Staff/inmate relationships; and
- Mail/telephone/visiting procedures.

The Superintendent or Warden of each institution should appoint a representative of the custody staff and the treatment staff to provide this orientation.

It appears that the primary function of the initial classification hearing is to orient the newly-received inmate to the institution. Other functions usually performed include job and housing assignments, development of visiting lists and setting the 30-day review date. The orientation provided by most of the institutions, is at best cursory, and under the recommended procedures there is no reason to hold this initial classification hearing. The housing and job assignments can be made by custody staff who use the case-worker's initial interview findings to make these determinations. In addition, under present procedures, several staff devote a significant amount of time to making these assignments. The 30 day time period before the inmate is scheduled for a classification hearing will give institutional staff time to evaluate the inmate's adjustment to the institution and to develop a specific Personalized Plan. Discussion of the proposed Personalized Plan and its implementation should be the focus of the 30 day review.

B. Reclassification

Many of the deficiencies noted in this chapter are due to the lack of direction given by Division regulations. The written policies and procedures are loosely worded and, more importantly, the central theme of these procedures is the personalized plan. Because the concept of a personalized plan is practiced in only one Division institution, MIR, the Division's policy, goals and objectives regarding classification are not being implemented by the Division's institutions as they are not relevant to classification as practiced on a daily basis.

Without personalized planning, classification in most of the Division's institutions has become routine, an end in itself. As a result, many of the staff react to the inmate's needs and problems on a piecemeal basis. Each conduct violation, progress review, transfer request, custody change, etc., for example, is dealt with on an individual basis. There is little attempt to view the inmate's period of incarceration as a total entity and to plan accordingly. Again, the Division policies and procedures provide little guidance to the staff.

The lack of specificity in the Division regulations has also contributed to a hodgepodge of classification procedures that are institution-specific. Many of the staff interviewed answered procedural questions with the remark, "We follow Division Policy." The Division regulations are so general that this statement was usually true. In practice, each institution has interpreted Division regulations somewhat differently, and the result has been that no two institutions follow the same procedures.

While some flexibility in policies and procedures is warranted by such factors as unique populations, staff constraints, physical plant configuration, etc., classification should be practiced consistently Division-wide. This will not happen until the Division provides specific guidelines.

The remainder of this chapter elaborates on these general findings.

1. Composition of an Institutional Classification Team

a. Findings: The Division rules governing team classification are tailored to the needs of the institutions and are practiced as written. Special classification committees have been instituted at some of the institutions, e.g., the Medium/Minimum Classification Committee at MSP, that are composed of high level institutional staff, i.e., Associate Warden, Supervisor of Programs, Casework Supervisor, Chief of Custody, etc. Division policies and procedures do not provide for such Committees. Further, classification staff express the sentiment that their sense of professionalism is compromised by such Committees because they feel their training and experience qualifies them to make such decisions, subject to the approval of the institutional head.

b. Recommendation: The composition of the institutional classification team is not an issue but the use of special classification teams or committees that are not governed by Division policies and procedures is an issue--particularly since it seems to require high-level administrative staff to perform what other states consider to be purview of institutional classification staff. The adoption of the Correctional Classification Profile should eliminate the perceived need for special institutional classification committees of this nature. In addition, if a caseworker or foreman sits on a disciplinary committee, he/she should not also sit on the Adjustment Board or Administrative Segregation Review Committee hearing for the same inmate. This practice is not being followed, presently, at MSP.

2. Classification Team Responsibilities

a. Findings: The duties accorded to the institutional classification team are scattered throughout the Division rules or are not specifically referenced. For example, Rule 20-100.080, specifies Team duties as:

- Revision, implementation and institutional monitoring of Personalized Plans;
- Assignment to housing units within the facility;
- Assignment of jobs;
- Development of academic/vocational training plans;
- Review of minor rule infractions and assignment of appropriate disciplinary measures; and
- Award of special merit time.

Rule 20.101.090 empowers the Team to make institutional transfer recommendations. Rule 20-101.100 specifies that the team is responsible for preparing an evaluation report (Pre-Parole Progress Report) prior to parole considerations. Another function performed by the Classification Team is progress reviews.

Rule 20-128.040 states that the Classification Teams evaluate inmate requests to participate in institutional work release and education release while Rule 20-103.020 requires the Classification Team to review inmate requests for temporary leave.

While not specified by Division rules, all MDOC facilities (except the Honor Centers) review an inmate's progress 30 days after his reception and every 90 days thereafter.

b. Recommendations: While the duties accorded to the MDOC classification teams are consistent with other state systems and with national standards, the Division policies and procedures governing these functions are poorly organized, redundant and confusing. Instead of having a series of rules governing classification functions which are overlapping and often-times vague, CSG recommends the Division develop a new, comprehensive rule to govern all institutional classification policies and procedures. This rule should specify, at a minimum:

- The purpose and objectives of team/unit classification;
- The required composition of the team including a quorum, allowable substitutions for required members;
- A delineation of Team responsibilities including individual team member responsibilities and applicable decision-making criteria;
- Specific team hearing procedures;
- Team reporting requirements; and
- Standard MDOC forms to be used for all institutional classification actions.

Once this rule is developed, it should be modified in format to become a classification manual for the express use of institutional staff who perform classification functions. The contents can also form the foundation for a comprehensive pre- and in-service training program for classification staff.

The present DOC practice of performing an initial review of an inmate 30 days following his reception at an institution is sound. However, CSG recommends the focus of this hearing be placed upon the Personalized Plan. The Division's practice of performing progress reviews (an integral part of a viable personalized plan treatment approach) at 90 day intervals is currently a waste of the classification team's time.

Progress reviews now generally consist of a three to five minute discourse by the team chairman or leader on primarily the inmate's job assignment and his/her participation in educational or vocational programs, if applicable. The inmate says little and usually no reference is made to future opportunities or plans. Even in a correctional system that utilizes treatment program planning, a 90 day progress review period is not necessary. A six month progress review period is adequate for the majority of prisoners. A 90 day review period should only be used for inmates who are within 18 months of their expected release date. Further, CAC standard number 2-4044 mandates only an annual program status review.

3. Classification Team Procedures

a. Findings: Division rules do not specify the hearing procedures classification teams are supposed to follow. While Division Rule 20-100.080 calls for the maximum involvement of the inmate in classification proceedings, CSG was informed that MSP holds some classification committee hearings at which the inmate is not present; a practice which is in violation of Division policy. CAC Standard 2-4406 requires that unless precluded for security or other substantial reasons, all inmates appear at their classification hearing and be given 48 hours prior notice. The provisions for 48 hour notice is not referenced in the Division rules nor is it common practice among the MDOC institutions.

b. Recommendations: In developing a new MDOC rule governing institutional classification functions, CSG recommends the following procedures be considered for incorporation into the new rule:

- The institutional head will appoint caseworkers to serve as permanent chairman of their respective Institutional Classification Teams. Any permanent Team member may serve as alternate chairman, at the discretion of the institutional head.
- The institutional head will designate one or more appropriate places within the institution to hold institutional classification hearings. The meeting areas should provide adequate privacy and a suitable waiting area for inmates and other persons appearing before the Team. In addition, the hearing rooms should be located to facilitate the secure movement of inmates to and from the hearing rooms.
- The Chairman of each Institutional Classification Team or his or her designee, will prepare and distribute the hearing docket at least two working days in advance of the hearing.
- The Institutional Classification Team will have each inmate's base file available for reference during the individual review of cases;
- The caseworker assigned to each inmate scheduled for review by the Team will review each inmate's base file prior to the hearing to ensure the file is complete and that the chronological record is up-to-date and legible. The caseworker will also complete a new Correctional Classification Profile for Team consideration.

- In addition to the Chairman or his substitute, two other permanent voting members--in addition to the inmate--must be present to conduct a hearing.
- All permanent voting members, or alternate members, are permitted one vote each. The Chairman, however, does not vote except to break a tie.
- The Chairman, or his or her designee, will maintain the hearing minutes on Division forms.
- At least 48 hours in advance of the hearing, the Caseworker or Correctional Classification Assistant will advise the inmate as to the nature of the review and procedural requirements. At this time, he will have the inmate sign a 48 hour hearing notice or a waiver of hearing notice.

Hearing Procedures

- The Chairman will call the hearing to order and, if desired, designate a member to serve as hearing recorder.
- The Chairman will review the hearing docket.
- The Chairman will call for the inmate to be admitted to the hearing room.
- For each case, the Chairman will identify the inmate, state the reason for the hearing and review the inmate's record.
- The Chairman will then ask the inmate to comment on the request, or if it is a disciplinary or adjustment hearing, to present his version of the incident precipitating the disciplinary charges.
- The Chairman dismisses the inmate from the hearing following his testimony.
- Following the inmate's presentation, witnesses (if any) called by the inmate will be admitted to the hearing to present their testimony. Following their testimony they will be dismissed by the Chairman.¹
- Next, any witnesses called by the institution will be called to present their testimony after which time they will be dismissed by the Chairman.
- The Team then discusses the case and identifies decision alternatives.

¹ This requirement is mandated by Wolff v. McDonnell, 418 U.S. 539 to assure the inmate's right to due process in hearings that may result in loss of good time or solitary confinement.

- The Chairman calls for the Institutional Classification Team to vote.²
- The Chairman calls for the inmate to be readmitted to the hearing room.
- The inmate is advised, by the Chairman, of the Team's decision and its rationale.
- The inmate is permitted to question Team members concerning the basis for their decision.
- The Chairman dismisses the inmate from the hearing room and introduces the next case.

Posthearing Activities

- The Institutional Head reviews each Team action for his approval or disapproval. If it is a final action, a copy of the completed classification form should be placed in the inmate's file and he should be notified of the outcome by his caseworker.
- Cases that must be approved by Central Office should be forwarded immediately for that purpose.
- The hearing minutes are typed by the clerical staff with copies to the appropriate staff and files.
- For those cases referred to the Central Office, the inmate receives a copy of its recommendations as does the Institutional Head and the Team Chairman.

It is important for all institutions to follow the same hearing procedures to provide conformity throughout the Division. Inconsistent procedures are likely to confuse an inmate who is transferred between institutions. Furthermore, it is extremely important when holding hearings that each inmate's due process rights are not violated. The consistent application of hearing procedural requirements will ensure this protection.

Also, by specifying the hearing procedures, delegating responsibilities and setting a standard of performance, the DOC can promote staff accountability for team actions and documentation of these actions.

4. Personalized Planning

a. Findings: To quote from MDOC Rule 20-101.680, "The central element of the team planning process is the development of a personalized plan for each inmate which is geared to his needs." As mentioned throughout this report, personalized planning, other than MIR's behavioral contract, is not being performed. The crux of the problem seems to be the Parole Board's reluctance to commit itself to a firm release date once the inmate has successfully fulfilled his part of the plan. The necessity of this commitment is

² Only one MDOC institution, CMCC, actually votes on institutional classification team decisions.

expressed in MDOC rule 101.100.02, "When the plan, which will contain both short-range and long-term commitments, is acceptable to the Parole Board, it will give its assurance that the inmate will be acceptable for release on parole when he has fulfilled the conditions and made the progress and improvements indicated by the personalized plan."

Missouri Division of Corrections classification staff were asked whether or not a personalized plan should be developed for each inmate. Their responses, by institution, are presented in Table V-1.

TABLE V-1

SHOULD A PERSONALIZED PLAN BE DEVELOPED FOR EACH INMATE?

	MSP (N=12)		CMCC (N=9)		MIR (N=12)		MTCM (N=9)		Tipton (N=4)		JCC (N=5)		KCHC (N=6)		SMCH (N=2)		Renz (N=4)		Total (N=63)	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
No	6	50	2	22	0	0	7	78	0	0	2	40	0	0	0	0	3	75	20	32
Yes	6	50	7	78	12	100	2	22	4	100	3	60	6	100	2	100	1	25	43	68

As can be seen from this table, MDOC staff are split in their opinions of personalized planning. The staff of the minimum security and honor center facilities are decidedly in favor of personalized planning as are CMCC and MIR. Staff from MSP are equally divided and those from MTCM and Renz are decidedly against personalized planning. Reasons given by staff in favor of personalized planning include:

- It puts responsibility on the inmate;
- It provides direction and goals for the inmate;
- It helps prepare the inmate for release;
- It provides a framework for individualized planning and treatment;
- It assesses motivation, attitude and interests of the inmate; and
- It serves as a reference tool for staff and inmate.

Reasons given for not developing personalized plans include:

- Inability of MDOC to provide proper treatment facilities;
- Inability to monitor inmate progress;
- Present system too vague;
- Overpopulation makes plan difficult to implement;
- Inability to update plan; and
- Parole Board will not abide by plan.

b. Recommendations: The MDOC needs to make a major policy decision regarding personalized planning. The Division's mission statement mandates that the agency provide rehabilitative programs for inmates. The Division chose to adopt the personalized plan treatment approach to fulfill this mandate. Proper implementation of the personalized plan approach will require a significant staff commitment by the Division and a concomitant commitment of Division resources.

Correctional Services Group recommends the Division consider beginning a Mutual Agreement Program (MAP) for a segment of its inmate population. The Parole Board's input should be sought into the development of a MAP and participation criteria. In this way, the MDOC can test the viability of the program for a period of time without committing significant staff or program resources. Limited treatment program planning, based on the Correctional Classification Profile, should be available to those inmates who do not qualify for a contract parole program of this nature.

It is our understanding the Division plans to undertake an analysis of its programs and services within the near future. CSG recommends that an integral component of this study be the development of a trial contract parole program such as MAP.

As it presently stands, the Director of Classification and Assignment is responsible for monitoring the implementation of personalized plans and the approval of changes in the plan. A monitoring system should be developed during the program evaluation, referenced above, to permit the Director of Classification and Assignment to fulfill this responsibility. However, it should be noted, that over 60% of the MDOC classification staff felt this was an institutional responsibility.

5. Information Needs:

a. Findings: Insufficient information for classification decision-making was a frequently cited problem with Missouri's current classification system. The following factors contribute to this deficiency. Generally speaking:

- There is no manual for classification staff to provide guidance in the performance of classification duties. Casework Supervisors, Caseworkers and Correctional Classification Assistants must use the Division rules or institutional guidelines when seeking information relative to classification;
- Many classification staff are not familiar with the programs operating at other institutions. The Division does not have a program manual nor is a programmatic information exchange in operation among the various institutions. Further, numerous programs, particularly vocational training programs, are initiated and terminated on an individual facility basis without such information being disseminated to other MDOC institutions;
- After an inmate has been in the MDOC system for a while, most of the information contained in his file is concerned with his institutional adjustment. As a result, classification staff rely most heavily on this information, good, bad or indifferent, when making classification decisions;
- There is no individual and/or aggregate information with which to assess the success/failure of the classification system. The Division is still in the process of implementing its offender management information system. Further monitoring of inmates on a Division-wide basis is virtually non-existent; and

- Reporting requirements and forms vary from institution to institution.

Specifically, staff were asked to identify the types of information available to them for classification decision-making. Table V-2 summarizes their responses. The following types of information were cited as usually available by over 50% of the MDOC classification staff:

- Prior Institutional Record (89%)
- Educational Test Results (89%)
- Criminal History (86%)
- Psychiatric Evaluation (84%)
- Interview Data (79%)
- Medical Reports (78%)
- Diagnostic Center Report (78%)
- Educational Records (76%)
- FBI Rap Sheet (71%)
- Psychological Test Results (71%)
- PSI (70%)
- Vocational Test Results (57%)

If the classification staff utilize the inmate's base file during classification hearings, the following types of information should be available to them one hundred percent of the time: prior institutional record; educational test results; criminal history; interview data; Diagnostic Center Report; and psychological test results.

For the most part, MDOC staff perceived what information they did have as fairly accurate. Only five percent of the respondents said the information was inaccurate. Reasons given for this response included: lack of information regarding warrants, detainers, criminal history, and previous incarcerations; lack of verification of inmate's self-report to caseworker, and incomplete information and lack of documentation.

In terms of priority, MDOC staff felt they needed the following types of information to properly classify inmates:

- Medical Reports;
- Criminal History;
- Psychological/Vocational Testing;
- More Detailed Information;
- Enemies List;
- Previous Institutional Adjustment; and
- Inmates Likes/Dislikes (Interview Data).

b. Recommendations: As cited previously, the Division should develop a classification manual for use by staff. This recommendation is supported by CAC Standard Number 2-4400.

Further, an overview of MDOC programs and services should be included in a comprehensive training program for all classification staff. The Assistant Director, Program Services, should oversee the development of a program manual to meet the needs of the users of the system, classification/treatment staff and inmates. Institutional staff input should be sought in the development of a program manual. The format should be developed to facilitate updating and program changes should be made at least every six months. Entries should include, at a minimum, the name of the program, the MDOC staff person responsible for administering or sponsoring the pro-

TABLE V-2

AVAILABILITY OF INFORMATION

	MSP (N=12)		CMCC (N=9)		MIR (N=12)		MTCM (N=9)		Tipton (N=4)		OCC (N=5)		KCHC (N=6)		SMHC (N=2)		Renz (N=4)		Total (N=63)	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Sentencing Orders	4	33	3	33	6	50	2	22	3	75	4	80	0	0	0	0	2	50	24	38
State's Version of Crime	8	67	1	11	5	42	4	44	3	75	3	60	1	17	0	0	1	25	26	41
Arresting Officer's Version of Crime	5	60	0	0	2	17	3	33	2	50	0	0	0	0	0	0	0	0	12	19
Educational Test Results	9	75	7	78	12	100	9	100	4	100	5	100	6	100	0	0	4	100	56	89
Interview Data	8	67	5	56	8	67	9	100	4	100	5	100	6	100	1	50	4	100	50	79
FBI Rap Sheet	12	100	7	78	4	33	8	89	4	100	3	60	2	33	1	50	4	100	45	71
Medical Reports	10	83	6	67	9	75	7	78	4	100	3	60	5	83	1	50	4	100	49	78
Psychiatric Evaluation	12	100	7	78	9	75	8	89	4	100	4	80	4	67	1	50	4	100	53	84
Educational Records	9	75	7	78	9	75	6	67	4	100	5	100	5	83	0	0	3	75	48	76
Vocational Test Results	9	75	2	22	4	33	5	56	4	100	3	60	6	100	0	0	3	75	31	57
Psychological Test Results	12	100	5	56	4	33	7	78	4	10	4	80	4	67	1	50	4	100	45	71
Military Records	4	33	2	22	3	25	0	0	0	0	0	0	4	67	0	0	2	50	15	24
Relative Questionnaires	8	67	1	11	6	50	4	44	2	50	2	40	2	33	0	0	1	25	26	41
Diagnostic Unit Report	10	83	7	78	7	58	9	100	3	75	4	80	4	61	1	50	4	100	49	78
PSI	10	83	3	33	8	67	8	89	4	100	5	100	1	17	1	50	4	100	44	70
Criminal History	11	92	8	89	10	83	8	89	4	100	5	100	3	50	1	50	4	100	54	86
Prior Institutional Record	10	83	9	100	10	83	9	100	4	100	5	100	4	67	1	50	4	100	56	89
Other Questionnaires	1	8	0	0	1	8	0	0	1	25	0	0	2	33	0	0	1	25	6	10
Jail Classification Report	2	17	0	0	1	8	0	0	2	50	0	0	1	7	0	0	0	0	6	10
Other	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	(154)		(80)		(118)		(106)		(60)		(60)		(60)		(9)		(53)		(700)	

gram, the number of total program slots, a description of the program, program criteria, if any, program duration, and program benefits, i.e., diploma, certificate, etc.

Recommendations regarding offender information may also be found in Chapter Four: Initial Classification.

Information essential to initial as well as institutional classification decisions should become an integral part of the Division's offender management information system. The Admission, Assessment, Institutions, Parole, Movement Status, Legal Status, Management and Research Modules found in the Offender Based State Corrections Information System (OBSCIS) should be evaluated thoroughly to determine which elements of the classification operation should be incorporated into the information system.

Good management practices dictate the use of standardized reporting forms and requirements. For example, one institution reported that a caseworker can deny an inmate's request to be seen by a classification team while another said this was not within the caseworker's jurisdiction. While CSG staff feel it is acceptable to deny an inmate's request for a hearing for a program, custody reduction or transfer for which he/she is not eligible, the caseworker should explain his/her rationale to the inmate and the exchange should be documented in the inmate's file. Staff accountability with inmates and staff from other institutions suffers from inconsistent reporting.

C. Overview of Institutional Classification

This section presents general observations regarding classification procedures as practiced in the following MDOC institutions:³

- Missouri State Penitentiary;
- Missouri Training Center for Men;
- Central Missouri Correctional Center;
- Missouri Intermediate Reformatory; and
- Renz Correctional Center for Women.

1. Missouri State Penitentiary (MSP)

The following types of classification hearings were observed at MSP: grievance, disciplinary and protective custody. There were three MSP staff members on the Classification Team; they were: the caseworker, who functions as the chairman or Team leader; a work foreman; and a correctional classification counselor.

In addition to observing Team hearings, evaluation staff also interviewed casework staff.

The following statements reflect the most serious classification-related deficiencies noted at MSP.

³ Team proceedings at Ozark Correctional Center, State Correctional Pre-Release Center and the Honor Centers were not reviewed during Phase II of this evaluation.

a. Hearing Location

- The location where the Disciplinary Team meets to review inmates temporarily held in disciplinary segregation poses a safety hazard to both the Team members and to the inmates who must appear before the Team.
- The noise levels and poor acoustics are not conducive to conducting an orderly meeting.
- The current location provides little or no privacy during the hearing deliberations and further fosters an informal approach to performing classification functions.

b. Team Actions

- The Classification Team spends a large percentage of its time acting on job-related, e.g., job transfers, assignments. Other, less time-consuming methods are available to accomplish the same objectives, particularly in the larger institutions.
- Missouri State Penitentiary should look more closely at its practice of having the Classification Team interview inmates and screen them for referral to the Protective Custody Committee. This function could be performed as readily, and more time-efficiently, by individual caseworkers, particularly if a set of criteria were developed for use during the screening interview.
- If the Correctional Classification Profile is adopted for use during Team hearings, there is no reason why existing Classification Teams could not also recommend transfers and security reductions directly to the Warden. At the present time, these recommendations are made by a Medium/Minimum Classification Committee composed of high-level administrative staff.

c. Team Composition

- The Classification Team quorum should be an uneven number. At a minimum, members should include:
 - Caseworker (Chairman)
 - Program Services representative (work foreman, teacher, chaplain, etc.)
 - Correctional Classification Counselor or security representative, and
 - The inmate.
- If a caseworker sits on a disciplinary committee, he/she should not also sit on the Adjustment Board or Administrative Segregation Review Committee for a hearing for the same inmate. This holds true also for the work foreman.

d. Team Hearings

- In general, the classification team hearings are held very informally, the procedures followed varying from inmate to inmate.
- The caseworker completes a screening report for each inmate on the docket for the team's review during the hearing. The chairman should review these forms prior to admitting the inmate to the hearing, elaborate on any information presented, as needed, and answer any questions team members may have.
- As stated previously, MSP holds some Classification Committee Hearings at which the inmate is not present. This is in violation of Division policy.
- One of the most unsettling practices of the Classification Team is that the inmate remains in the hearing area while the Team deliberates and reaches its decision.

For example, during the disciplinary hearing observed by CSG staff, two inmates who were written up for fighting were called before the Classification Team. Although each inmate was called individually to present his version of the violation, the second inmate remained in the hearing while Team members discussed the case and the disciplinary measures to be taken against both inmates.

In this particular hearing, the Disciplinary Team agreed on a period of disciplinary segregation before verifying that space was available to impose this particular sanction.

- Although Division policy states each member of the Team has a vote (for or against recommended actions), this practice is not followed. Instead, the Chairman subjectively determines when consensus has been reached.
- Team practices regarding the testimony of witnesses vary from team to team, as does testimony presented by a counselor or other employee advisor.

e. Warden's Review

- Division policy enables the Warden to approve, disapprove or change the recommendation of the Team. Although he normally informs the Team if he disapproves or changes a recommendation and provides a rationale for his actions, he is not required to do so.

f. Recordkeeping Practices

- Classification forms are generally unique to each institution.
- A caseworker can deny an inmate's request for a hearing, but he/she does not have to document the denial.

2. Missouri Training Center for Men (MTCM)

Classification hearings were not observed at MTCM; casework staff, however, were interviewed.

a. Team Composition

- The quorum used by MTCM in order to convene a classification hearing is two, plus the inmate. There should be at least three persons involved; not including the inmate to adequately represent the interests of the institution and to provide any necessary background information concerning the inmate in question.

b. Team Actions

- An Initial Reception and Orientation Team makes housing and job assignments. These functions could be performed in another manner thus eliminating the need for a number of staff to devote a significant amount of time to these routine functions.

c. Team Procedures

- Missouri Training Center for Men does not utilize voting to determine Team decisions. Similar to MSP, the Chairman discerns Team consensus and this becomes the Team's decision.
- No set procedures are following during Team or Committee hearings. The hearing was described as an open meeting using reality therapy techniques to help the inmate to behave more responsibly and to accept the consequences for his misbehavior.
- Missouri Training Center for Men does not utilize a personalized plan because the Parole Board will not adhere to its provisions.

d. Reporting Requirements

- The classification forms used at MTCM are institution-specific.

3. Central Missouri Correctional Center (CMCC)

At CMCC, CSG evaluation staff observed the following types of hearings: major rule violations, job assignments and changes, administrative reviews (90 day) and custody changes. In addition, casework staff were interviewed:

a. Hearing Location

- The objectives of team classification would be better served if a more informal setting were available in which hearings could be held. Caseworkers and Correctional Classification Assistant's offices in each hall must double as a hearing room. Their proximity to inmates who will appear before the Team is advantageous, but the formality imposed by the

office furnishings is not.

b. Team Actions

- The Classification Team makes initial job assignments and changes. This practice could be performed by less staff thereby increasing the amount of time caseworkers and correctional classification assistants can devote to other case-work functions such as counseling.

c. Team Composition

- Normally, CMCC does not convene a classification hearing unless three members are present, not including the inmate. If the action to be taken is minor, e.g., job change, the hearing will be held if only two members are present. Because each person has a vote except the inmate in a disciplinary hearing, there should be an uneven number of team members. Further, the types of staff participating should adequately represent the institution's interests both to avail the team of first-hand knowledge of the inmate's institutional adjustment and to identify any problems or needs that should be considered in classification decisions.

d. Team Procedures

- The CMCC classification team, observed by CSG staff, conducted its hearings in a logical, progressive manner.⁴ In addition, following case discussion by the Team members, the Chairman asked each member his opinion regarding the Team's recommendation. Disagreements were then surfaced, discussed and compromise reached. This approach appears to be less subjective than relying on the Team Chairman to gauge Team consensus.

4. Missouri Intermediate Reformatory (MIR)

The CSG evaluation team observed several classification team hearings including disciplinary, job changes, transfer requests, custody changes and progress reviews. Unit staff were also interviewed.

Missouri Intermediate Reformatory utilizes the Functional Unit Management System. It also utilizes a personalized plan.

On the day the hearings were observed, the Unit Team composition was as follows:

- Caseworker (chairman)
- Unit Manager
- Correctional Classification Assistant
- Parole Counselor

⁴ Division policy does not specify team procedures. It appears this is left up to the discretion of the Team Chairman.

a. Team Actions

- Like other Division institutions, MIR unit teams make initial and subsequent job assignments. If the job placement is an integral part of the inmate's personalized plan, this function is an important responsibility of the unit team; if it is not, MIR work supervisors, in conjunction with the caseworkers, could effect these assignments utilizing a job roster system, with input from caseworkers.
- Like MTCM, MIR holds hearings in an open meeting fashion. Many of the hearings appeared to be routine and even the more sensitive cases such as transfers appeared to be "open and shut cases" with the outcome of the hearing preset in the minds of the team members. Perhaps the inmates were somewhat intimidated by the presence of visitors (the presence of evaluation staff was not explained), because the inmate's participation in the hearings (with one exception) was minimal.
- Again, the Chairman of the Unit Team determines when Team consensus is reached and what this consensus is. No voting takes place, the inmate is essentially told what will happen. Further, the inmate is present for the Team deliberations.
- The Correctional Classification Assistant made chronological entries in the inmate's "mini file"⁵ and the Parole Counselor maintained the hearing docket minutes. Other than the CCA, Team members did not refer to the inmate's file in case consideration.

b. Reporting Procedures

- Missouri Intermediate Reformatory does not utilize standardized classification forms.

5. Renz Correctional Center for Women (Renz)

During an on-site visit, CSG staff observed a series of team hearings involving work assignments, progress reviews and one temporary leave request. Team composition on that day was:

- Caseworker II - Chairman
- Correction Classification Assistant
- Caseworker

Correctional Services Group staff were informed that normally a work foreman participates in team hearings.

In addition, casework staff were interviewed.

⁵ Complete institutional files are maintained in the Administration Building.

a. Hearing Location

- On the day of the observations, the hearings were held in the conference room. Normally, they are held in what is referred to as the old classification office. This latter space is much too small and cramped to put an inmate at ease.

b. Team Composition

- At least two team members, plus the inmate must be present to convene a team hearing. Although Renz has a limited number of staff, the quorum should be at least three staff members. Otherwise, the institution's best interests will not be adequately represented and the knowledge and experience brought to bear on classification issues will be limited to that provided by two persons. Further, these two persons usually represent the treatment aspects of the inmate's incarceration not security.

c. Team Procedures

- Like most of the institutions in the Division, Renz holds very informal classification team hearings. CSG staff were informed that no one team member functions as a Chairman, although the Caseworker II did call for a vote on the temporary leave request.
- Even if an inmate does not meet the stated eligibility requirements, the Caseworker cannot deny his/her request for a team hearing to consider a specific request.
- The only time an inmate is requested to leave the hearing room during case discussion is when the discussion may reflect adversely on an employee of the Division.

d. Reporting Requirements

- Standardized classification forms are not in use at Renz.

D. Prerelease/Honor Center Classification

1. Team Composition

a. Findings: Division Rule 20-101.080, Team Classification, simply states that the minimum security institutions work toward the team classification concept utilizing available personnel. The team at SCPRC is usually composed of a caseworker, correctional classification assistant, psychologist, school teacher and a 3X3 drug program representative.

The composition of the Kansas City Honor Center is specified by Division Rule 20-901.080. It states the classification team will include a mixture of staff from the security section and the treatment section of the institution.

b. Recommendations: CSG recognizes the staff limitations faced by the MDOC minimum security facilities and while these facilities appear to have adequate representation of security and treatment staff, the minimum team complement should be specified by Division Rule 20-101.080. The minimum number of staff comprising a classification team should be three, including:

- A caseworker familiar with the inmate;
- A representative from one of the programs the inmate is participating in--work, education, vocational training, prison industries, substance abuse, etc.; and
- A senior level security officer (rank of sergeant or above).

2. Team Responsibilities

a. Findings: As explained earlier in this Chapter, the Division rules governing classification are fairly ambiguous and references to team responsibilities are not summarized in a single rule but are scattered throughout the rules. Some of the institutions have developed more comprehensive institutional policies and procedures but these are not systematic Division-wide.

Interviews with SCPRC staff indicate the classification team makes recommendations relative to: transfers to honor centers or halfway houses; program participation and progress reviews; discipline (minor rule violations) and subsequent disciplinary measures; grievances, etc. The Kansas City Honor Center classification team makes recommendations concerning transfer requests, full-time participation in educational programs, extra pass time, discipline, progress reviews and grievances.

b. Recommendations: Because staff do not have a comprehensive classification manual available for use, they are not familiar with the practices of other institutions. This situation contributes to a lack of perspective. In addition, responsibilities and individual responsibilities of the team members should be set forth in Division policy as should criteria to be used in classifying inmates. This particular Rule should introduce staff to the Correctional Classification Profile and provide instructions and rationale for its usage.

3. Hearing Procedures

a. Findings: Specific hearing procedures are as noticeably lacking for the Prerelease/Honor Center system as they are for institutional classification.

b. Recommendations: Please refer to section B, 3, b of this chapter for a comprehensive recommendation concerning the development of standardized hearing procedures.

4. Transfers to the Prerelease System

a. Findings: After its opening in the late 1970's, staff from SCPRC screened all recommended transfers to SCPRC based upon written eligibility criteria and a personal interview. This practice was curtailed in late 1980 due to severe overcrowding in the Division's medium security institutions and the sheer numbers of inmate being processed into the Prerelease Center and then, into the Honor Centers.

As of September 1981, this screening practice was eliminated altogether with the creation of the Central Transfer Authority.

b. Recommendations: CSG concurs with transferring the authority for making prerelease transfer recommendations to the institutions housing the inmates subject to the approval of the institutional head and the Central Transfer Authority. However, CSG recommends the Correctional Classification Profile be used by institutional classification teams to screen inmates for transfer to the prerelease system.

5. Orientation

a. Findings: Inmates housed at the SPRC undergo a thorough orientation to the honor centers prior to their transfer. The focus of the orientation is upon the Basic Life Skills Course, a week-long program, and job readiness preparation.

After transfer to the Kansas City Honor Center, inmates undergo an extensive orientation to the Center rules and procedures. Specifically, the session includes familiarizing the residents with the rules and procedures regarding security, the treatment program, finances and the food service operation. All inmates are considered to be Pre-Work Release status for the first week. While in Pre-Work Release status, the inmate meets with his caseworker to formulate an individualized treatment plan. A month before inmates are to be released they are given special orientation regarding problems they may encounter immediately upon release.

b. Recommendations: Interviews with MDOC staff indicate the Pre-Release Center and Honor Centers are providing satisfactory orientation programs. One aspect of the Honor Center orientation warrants commentary however. During the week-long orientation period, an effort should be made to impress upon new residents the frustrations inherent in the "half-free" status they now enjoy. They should be made aware that this is a normal reaction but that Center staff are ready to help them work through these frustrations and temporary setbacks.

E. Classification for Parole

1. Findings: The institutional classification team is responsible for preparing an evaluation report prior to any parole hearing. In addition, the team leader or his representative is to be present at all parole hearings. The pre-parole report, as described by Division Rule 20-101.100, is supposed to be a progress report based upon the inmate's personalized plan. As indicated elsewhere in this report, a comprehensive personalized plan is not developed for any inmate in the MDOC system. As a result, the caseworker must use his/her knowledge of the inmate, the chronological report and supporting documentation, past pre-parole reports, if any, and other relevant information from the inmate file to develop a pre-parole report each time it is necessary.

Also, many staff indicated their difficulty in measuring, objectively, an inmate's progress given no objectives have been set for him.

2. Recommendations: Adoption of the Correctional Classification Profile will facilitate the preparation of pre-parole reports in conjunction with the Division's commitment to bonafide personalized planning.



Chapter Six: Central Office Classification

CHAPTER SIX: CENTRAL OFFICE CLASSIFICATION

A. Central Classification Authority

1. Findings: At the present time, central classification authority is concentrated in the position of the Director. For example, Division Rules specify that community release recommendations, educational and work release, are reviewed by a screening committee composed of the: Assistant Director of Program Services; Assistant Director of Support Services; Custodial Services Coordinator; and Director of Classification and Assignment. In practice, these staff do not meet as a committee, instead they complete worksheets on each inmate recommended for educational or work release. Each committee member records his vote on the proposed recommendation on the worksheet and provides written commentary. The Director then reviews each case and the applicable worksheets and approves or disapproves the request.

Temporary Leave requests are also forwarded by the institutional classification teams to the Director for his approval. Upon their receipt by Central Office, the Assistant Director of Program Services reviews each case and provides written recommendations and support for his decision to the Director. The Director then acts on the request.

A new coordinative unit, the Central Transfer Authority (CTA) was created in September of 1981 to review all interinstitutional transfer recommendations. Under revised Division Rule 20-110.140, only the Director of the Division or his/her designee may overturn the transfer decisions of the CTA. Previously, this function was performed by the Director of Classification and Assignment. In fact, statutory authority to effect inmate interinstitutional transfers is still vested in the position of the Director of Classification and Assignment (§ 216.211).

Staff were asked whether they favored more, less, or the same level of Central Office control. Table VI-1 summarizes their responses by institution.

LEVEL	CENTRAL OFFICE CONTROL										
	MSP N=10	CMCC N=9	MIR N=11	MTCH N=9	TIPTON N=4	OCC N=5	KCHC N=6	ST.MHC N=1	RENZ N=2	TOTALS N=57	
More	3	1	0	4	1	3	0	1	0	13	23%
Less	7	8	11	5	1	2	6	0	0	41	71%
Same	0	0	0	0	2	0	0	0	1	3	6%

Well over two-thirds of the staff who answered this question (71%) favored less Central Office control. Reasons given for this position centered around the need to retain institutional control over major classification decisions. Staff stated that their daily interaction with inmates and their familiarity with the needs of their individual institutions combine to make them better qualified than Central Office staff to make these decisions. Other staff voiced the opinion that the institutional heads, i.e., the warden or superintendent, should play a major role in transfer and custody decisions because he is in the best position to understand how proposed transfer and custody changes impact his ability to effectively manage his institution.

Reasons staff gave for desiring more Central Office control centered around the need to standardize Division policies and procedures and to eliminate or minimize

what they perceived to be arbitrary and/or inconsistent classification decision-making.

The reasons given by Missouri classification staff for more and less Central Office control are similar to those cited by classification staff in other correctional systems CSG has worked with. Whether they support more or less Central Office control, staff recognize the need to utilize standard classification policies and procedures to ensure the consistent and fair application of classification criteria to all members of the inmate population. However, most staff, especially those who work in systems wherein the institutions have heretofore operated more or less autonomously, resist relinquishing this institutional autonomy to achieve these objectives.

An effective and efficient classification system cannot be developed and implemented in a correctional system that operates on the premise of institutional autonomy. Classification decisions made by the staff of one institution potentially impact all other institutions and the Division, if not immediately then at a future date. What is needed to transform Missouri's present classification practices into a classification system is a strong Central Classification Authority that will represent the interests of all institutions, those of its inmate population and the public. The Central Classification Authority must assume a position of leadership in classification matters to fulfill this mandate.

2. Recommendations: The Missouri Division of Correction should establish a Central Classification Authority with responsibility for:

- Providing a systematic review and approval process for the following team classification actions:
 - Initial Assignments;
 - Inter-institutional transfers;
 - Increase/decrease in the Public Risk score;
 - Increase/decrease in the institutional risk score in excess of one step;
 - Community release;
 - Temporary leave;
- Performing population management functions including:
 - Overcrowding management;
 - Distribution of medical cases;
 - Custody/security control and distribution;
 - Institutional and Division needs, including maintenance; and
 - Racial distribution
- Insuring that classification actions which involve a potential risk to the public receive the maximum possible consideration prior to implementation;
- Monitoring classification actions including:
 - Development and implementation of the personalized plan;
 - Retention of inmate in 1-5 level for more than 6 months;
 - Retention of inmate in 1-level 2 - 4 for more than one year;
 - Changes or lack of changes in inmate's individual Correctional Classification Profile scores;
- Evaluating, on a regular basis, the classification system operated by the Division and making recommendations for improving the process;

- Serving as a liaison between the Director and the institutions and providing direction to institutional heads through semi-annual meetings;
- Keeping institutional staff informed of Division classification policies and procedures to ensure that new or updated procedures are being performed in a timely and efficient manner, and to secure their input into development of these policies and procedures;
- Ensuring Division conformity to Constitutional safeguards for inmates; and,
- Considering, at all times, the overall needs of the Division, including those of the institution and staff, the needs of the individual inmates, and the needs of the public.

This recommendation will be viewed as a radical departure from current practice by most Division staff. CSG's experience in other states has shown that the implementation of centralized control over a Division's classification system has been used successfully to ameliorate the problems associated with overcrowding, particularly in the area of escapes from minimum or pre-release custody. For example, the Virginia correctional system was able, with the adoption of a centralized classification system, to reduce its escapes from 10 percent of the inmate population in 1974 to less than one percent in 1978. During this same time period the Department's inmate population increased from approximately 5,000 inmates to over 7,000.

The administration of the Missouri Division of Correction would profit from the creation of a Central Classification Authority. At the Central Office level, the management needs of the Division and the public may be given the necessary consideration. The needs of the inmate and the institution are addressed through the operation of the Institutional Classification Team. No one institution is in a position to monitor the changing needs of the Division. The concept of the Central Classification Authority is to provide a mechanism for balancing the needs of the Division and the public with those of the institution and the inmate. Institutional staff, as noted previously, partially base the argument for less Central Office control on the premise that each institution has needs that must be considered in classification decision-making. What they fail to consider is that this is true for each institution and that what is best for MSP, for example, is not necessarily in the best interests of MTCM. Only a Central Classification Authority can be expected to maintain the impartiality that is necessary to balance what are often competing institutional needs.

Another important function of a central authority over classification is in the area of population management. In an overcrowded system such as Missouri's, this responsibility for performing the following population management functions--medical distribution, custody distribution, institutional maintenance needs--it also monitors intake, release and inmate movement within the system to anticipate and plan strategies to cope with the fluctuations in daily inmate population and to minimize the adverse impacts of these fluctuations on the entire Division.

Further, for any classification action that may be considered a public risk, i.e., community release or placement in minimum security housing, the Central Classification Authority should review the action recommended by the Institutional Classification Team and the justification it provides for its decision. While it is true, as staff argue, that institutional staff interact with the inmate on a daily basis and are thus in the best position to assess his or her needs and capabilities, it is also true that institutional staff, and particularly caseworkers, use institutional

transfers and custody reductions as rewards for good inmate behavior. This is an understandable practice because within a correctional system staff frequently have few rewards to offer inmates.

Although the Missouri Division of Correction is not currently using personalized planning to its maximum benefit, Division rules still require that classification actions be consistent with an inmate's Personalized Plan.

Therefore, custody/security reductions and transfers should have a definite relationship to an inmate's Personalized Plan. That is, the action should facilitate a logical progression in the inmate's plan. The Central Classification Authority would monitor each inmate's progression in the system through its review of transfer and custody/security change recommendations and use of the Correctional Classification Profile. If the Institutional Classification Team is recommending an action that is a departure from the inmate's Personalized Plan, adequate justification for the action must be supplied by the team.

Also, transfers and changes in custody or security affect the Division's overall management of the inmate population, particularly as it relates to overcrowding. It cannot be overstressed that a Division grappling with an overcrowding problem should have the capability for exerting control over inmate movement with its system.

B. Composition of the Central Classification Authority

Recommendations: The results of this evaluation emphasize the Division's need to establish an effective and efficient classification system. Two elements of a classification system are currently lacking in the Missouri correctional system. One is the Central Classification Authority discussed previously. The second, and most important, is a Director of Classification who is charged with the administration of classification on a Division-wide basis. This person would be responsible for both initial and institutional classification and, in addition, would oversee the operation of the Central Classification Authority. Because of the authority needed to effectively perform this job and the responsibilities inherent in this position, CSG recommends the MDOC redefine the position of the Director of Classification and Assignment to include the administration of the Division's classification system. CSG believes the current Director of Classification and Assignment is the most qualified candidate both in terms of experience and because of the authority he now exercises over classification decisions. Because CSG recommends the Director of Classification and Assignment and staff of the Central Classification Authority become part of Central Office and be housed in the Division's offices, the MDOC should promote a current Diagnostic Unit staff member to the position of Director of the Diagnostic Unit. The Central Office-based classification authority should be organizationally separate from the operations of the Diagnostic Unit. The Director of the Diagnostic Unit would manage the daily operations of the unit and approve all initial assignments before they are submitted to the Director of Classification and Assignment for final approval.

Specific duties of the Director of Classification and Assignment should include:

- Final approval of all initial assignments;

- Final approval of all classification actions recommended by Central Authority staff, except those for which the inmate does not meet suitability criteria;¹ the Director of Classification and Assignment would review these recommendations and if he concurs, forward them to the Division Director for final approval.
- Liaison with institutional classification staff and institutional heads;
- Development and implementation of classification policies and procedures;
- Monitoring of classification decisions and development of a feedback mechanism to improve classification decision-making Division-wide;
- Monitoring of the Personalized Plan and changes or lack of changes in the Individual scores that comprise the Correctional Classification Profile;
- Development of pre-service and in-service training programs for both classification staff and correctional officers; and
- Ensuring that the classification information needs of the Diagnostic Unit and institutional classification staff are met.

The Central Classification Authority should be composed of the following staff positions:

- Director of Classification and Assignment.
- Security/Custody Coordinator. This person will be responsible for reviewing all recommendations for interinstitutional transfer and custody (I-score) and security (P-score) changes. The Security/Custody Coordinator will also monitor the Public and Institutional Risk scores as reflected within the Correctional Classification Profile. This person has all the duties of the current Central Transfer Authority plus the added responsibility for monitoring changes in custody and security scores that may not result in a transfer recommendation.
- Community Leave Coordinator. This person will be responsible for conducting an in-depth review of all requests for temporary leave, educational and work release and for preparing his/her findings and recommendations for consideration by the Director of the Division.
- Population Management Coordinator. This person will be responsible for monitoring the distribution of inmates throughout the system, and for preparing regular impact statements concerning population management issues for the MDOC Director's review. As needed, the Population Management Coordinator will screen the inmate population to identify candidates for custody/security reduction, transfer and institutional cadre. These candidates will be reviewed by the applicable Institutional Classification Team prior to their consideration by the Security/Custody Coordinator.

¹The concepts of eligibility, suitability and acceptability, as they relate to classification decision-making, are discussed in Section C of this chapter.

- Programs/Services Coordinator. This person will be responsible for monitoring the Personalized Plans developed for MDOC inmates and for changes (or lack thereof) in the program/service areas of the Correctional Classification Profile. For example, this Coordinator would ensure that an inmate who receives an M-4 or M-5 medical score and is designated as treatable is re-examined by a physician every year, or that an inmate who receives a mental health score of MH-4 or MH-5 and is designated as treatable is seen by a psychologist or psychiatrist at least annually and preferably semi-annually.

In all cases, the Director of Classification and Assignment should review, approve or disapprove the recommendations of the coordinator, including the community release and temporary leave requests that must be approved under current Division rules by the MDOC Director.

Benefits of the Central Classification Authority include a central monitoring function that can be used to provide feedback to institutional classification staff concerning not only the quality of their recommendations, but their documentation regarding classification recommendations, their judgement concerning certain factors in an inmate's record, the quality of their classification reports, particularly progress reports, etc. This type of feedback information should be provided to classification supervisors, who should use the information to develop pertinent in-service training programs and to individually help classification caseworkers with their case-work functions and thus, improve their service to inmates.

As discussed previously, the Missouri Division of Correction has significant population management concerns that should be handled at a central level where the needs of the Division and the individual institutions are given impartial consideration. The Population Management Coordinator will screen inmate records to identify candidates for custody reduction, transfer and institutional cadre. Because decisions of this type may involve both public and institutional risk, it is advisable to request institutional feedback from the Institutional Classification Team.

Finally, the creation of a strong central classification position will help the Division establish the lines of communication necessary to the development and implementation of effective classification policies and procedures. To effectively perform a liaison function, the Director of Classification and Assignment must become familiar with all aspects of classification which means frequent trips to the field and active participation in decisions that impact classification. He must take the lead in identifying needed changes in the classification system and developing new or revised policy and procedures to meet these needs based upon input from line classification staff and headquarters staff alike. A system for monitoring classification decisions and DOC population management needs will facilitate the identification of needed changes.

Figure VI-1 represents the proposed organization of the Central Classification Authority. It should be noted that staff to fill the recommended positions are available within the Division.

C. Central Classification Authority Decision-Making

It is important, for purposes of this evaluation, to stress that the objective of the Central Authority is not to usurp the authority of the institutional classification team nor to scrutinize its decisions in order to override them. The role of the Central Classification Authority is essentially three-fold:

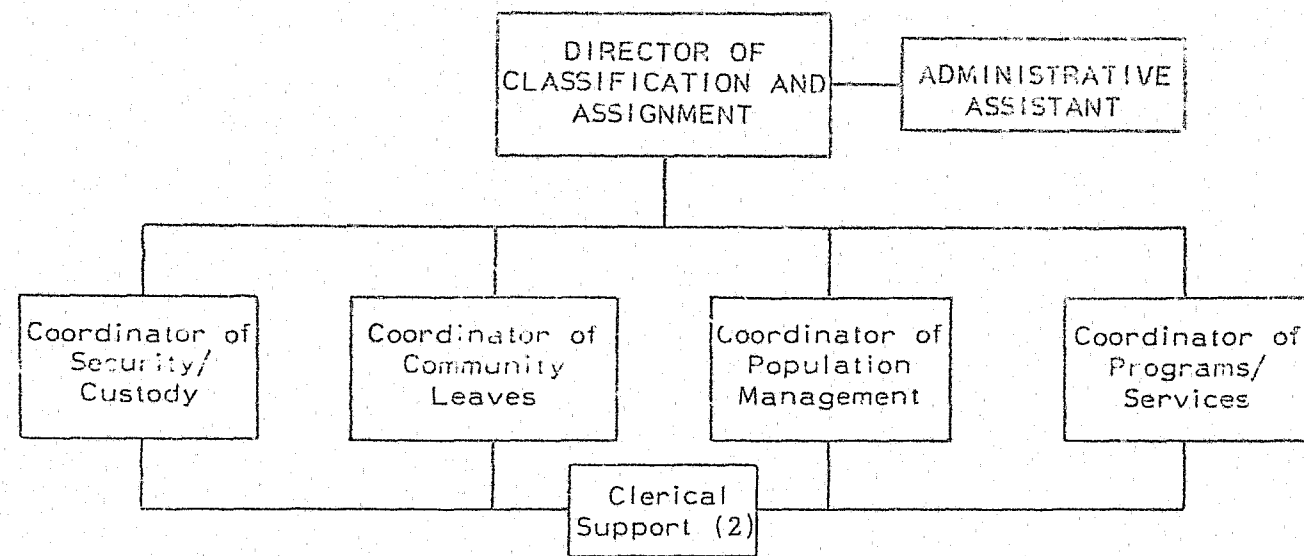


Figure VI-1. Proposed Organization of Central Classification Authority

- First the Central Classification Authority is charged with performing a quality control function with regard to institutional classification decision-making. This role is necessary to ensure that classification policies, procedures and criteria are being fairly and consistently applied to the inmate population and that their application is adequately documented.
- Second, the Central Classification Authority is responsible for monitoring the implementation of the classification decisions that have been made. For example, the Central Authority must monitor the implementation of the Personalized Plan which is developed using the Correctional Classification Profile. Thus, it behooves the Authority to verify that the profile is being used by institutional staff and that the individual scores that comprise the profile are reviewed regularly by institutional staff so that program, service, custody or security statuses, for example, are not stagnant.
- Third, when approving institutional classification recommendations, the Central Classification Authority must consider classification issues that are outside the purview of a single institutional classification team. These issues include:
 - Judicial recommendations;
 - Assignment of inmates that need to be kept separate from other inmates;
 - Overcrowding;
 - Racial distribution;
 - Medical/mental health distribution;
 - Public reaction; and
 - Institutional needs, Division-wide, including maintenance.

The following discussion is presented to clarify the role of the Central Classification Authority in reviewing classification recommendations. The concepts of eligibility, suitability and acceptability are reviewed as they relate to system-wide classification decision-making. It is the responsibility of the institutional classification team to determine--based upon criteria and their knowledge of the inmate--the inmate's eligibility and suitability for the classification action they are recommending. Although the Division does not have a definition for the concepts of eligibility and suitability, the following statements describe how Division staff use these concepts:

Eligibility: Eligibility is defined, for purposes of classification, as the utilization of objective, measurable factors or criteria which are employed to determine the inmate program status (transfer, security, program placement, etc.). An inmate must meet the eligibility criteria prior to assessing suitability. Examples of eligibility criteria for pre-release, for example might include: the inmate must be within 12 months of parole eligibility date, the inmate must be eligible for "C-1" custody status, the inmate must have had no escape or escape attempts for the previous 24 months, etc.

Suitability: Suitability is defined as the utilization of objective, measurable variables, usually employed in combination, to determine inmate program status. Examples of suitability criteria for pre-release, for example, might include: the number of prior felony convictions, the number of adjustment reports (major institutional offenses), the number of months to release date, etc.

Using eligibility criteria alone is not sufficient to determine whether or not an offender should be placed in a certain status, e.g., pre-release. Some offenders who have been determined to be eligible for a reduced custody level may not, in fact, be suitable for that status.

Institutional classification staff are encouraged to use their discretion to recommend classification actions for which inmates do not meet suitability criteria if there is adequate justification for making these exceptions. Specific circumstances of a case must be considered in such cases so that criteria do not become inflexible and, thus, dictate classification outcomes.

The Central Classification Authority is primarily concerned with determining the acceptability of certain proposed classification actions. The proposal must be weighed by the Central Authority in terms of its impact and potential impact on the Division, the inmate and the public. In the example just noted, it is imperative that the Central Classification Authority examine the team's rationale for disregarding one or more suitability criteria particularly due to the problems that may arise if classification staff do not employ criteria without adequate justification and a serious incident occurs. For purposes of clarification, acceptability is defined as follows:

Acceptability: Acceptability is defined as the utilization of quasi-objective, non-measurable variables to determine inmate program status. Many inmates who have been adjudged to be both eligible and suitable, for a certain program, would not be approved if not found to be also acceptable. The issue of acceptability is much more subjective and is generally based on sensitive/nonsensitive considerations. For example, an inmate convicted for a sexual offense is determined to be both eligible and suitable for Honor Center assignment, but wants to be placed in an Honor Center where the local citizenry are actively opposed to the presence of individuals who have a history of sexual offenses. In this case, the inmate would not be acceptable and would either be placed in another nonsensitive center or be eliminated from consideration. To make such determinations, Central Authority staff consider information that is usually not available to institutional staff, often for reasons of security. As discussed previously, such issues center around:

- Protective custody;
- Medical/mental health distribution;
- Judicial recommendations;
- Public sentiment
- Population control;
- Racial distribution; and,
- Institutional needs.

Far from negating the importance and experience of the institutional classification team, the Central Classification Authority is dependent upon the classification teams to utilize their first-hand knowledge of the inmate and their institutions to recognize, act on and justify needed classification actions. The key here is to employ the classification procedures adopted by the Division and to adequately document their rationale for each recommendation. In this way the classification procedures recommended by this study can be responsive to the Division staff and inmates and not simply become routine paperwork functions.

To perform this review function, Central Classification Authority staff must have immediate access to the complete MDOC file on each inmate within the system. Therefore, CSG recommends that two inmate files be maintained; one in the Central Office; and the second in the institution to which the inmate is assigned.

D. Appeal of Central Classification Authority Decisions

Recommendations: The decisions of the Central Classification Authority should be subject to appeal by both institutional administrators and inmates. An institutional head may appeal a decision of the Central Classification Authority to the Director of the Division. All appeals of the Central Classification Authority decisions should be submitted in writing and include a specific, detailed justification concerning why the Central Office decision should be amended or reversed. The Director of the Division may deny the appeal, stating the reasons for his action. If the Director feels the appeal merits further consideration, then he forwards it to the Director of the Department for final disposition.

Inmates may appeal Central Office decisions to the Director of the Division by submitting an appeal through the Division's established grievance procedures.

Within all organizations there is frequently disagreement concerning decisions that are made by staff of that organization. Corrections is no exception. While usage of the Correctional Classification Profile will minimize the number of capricious classification decisions, the allowances within the instrument made for individual discretion will continue to be a source of possible disagreement. Further, because straight-forward, honest communication between administrative staff throughout the Division is a necessary goal, providing a structured mechanism for resolving disagreements that arise is a judicious action.

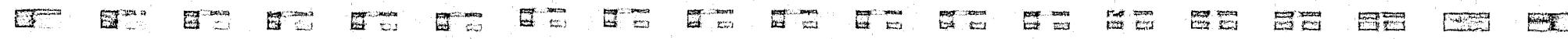
Furthermore, affording an appeals mechanism to institutional administrators provides a needed "checks and balances" system of monitoring decisions made at the Central Authority level. The institutional administrator knows that should a decision be made, without apparent justification, that is unfavorable to his institution or to an inmate, he does have recourse through an appeals process.

E. Visitations

1. Findings: At present, DOC relies primarily on Division memoranda or new and/or revised Division Rules to communicate policy/procedure changes to the field.

2. Recommendation: At least semi-annually, the Director of Classification and Assignment should meet formally with the classification and treatment staff of each institution. During these meetings, the Director of Classification and Assignment should review Division policy concerning program eligibility requirements, transfers, custody changes, etc. The Director will also answer staff questions concerning Division policy and the Central Classification Authority rationale for denying specific recommendations of the Institutional Classification Team.

Responses to the questionnaires disseminated during this evaluation indicate that institutional staff have a basic mistrust of and lack of appreciation for the role of Central Office in the classification system. Formal visitations are one method for establishing lines of communication and for promoting mutual appreciation and cooperation between institutional and Central Office staff.



Chapter Seven: Classification of Female Offenders

CHAPTER SEVEN: CLASSIFICATION OF FEMALE OFFENDERS

A. Reception and Initial Classification

All women sentenced to a period of confinement within the MDOC are received at the Renz Correctional Center (RCC) outside Jefferson City. Upon an inmate's reception at Renz, her sentencing orders are checked for incompleteness or verifiable inaccuracies. If her papers are in order, the inmate showers and her clothing is checked. Usually within the first day, the newly received inmate undergoes medical screening which includes a urine analysis and blood tests (the results of these tests take from two to three days.) After the medical screening, the inmate is interviewed by the Casework Supervisor who provides her with a basic explanation of the reception process and an orientation to Renz. All new receptions are housed in Dormitory Five pending the outcome of the diagnostic and assessment process.

Usually the diagnostic and assessment process takes from three to four weeks, although it can be as short as two weeks. During this time, a battery of tests are administered including intelligence, educational and psychological inventory (the Minnesota Multiphasic Personality Inventory). Depending upon identified need, some inmates undergo a complete psychological evaluation. The results of these tests and interview sessions are compiled into a Diagnostic Summary that is used by a Movement Committee to determine the inmate's custody level and dormitory assignment.

The Movement Committee is composed of the Casework Supervisor, Major in charge of security, the Captain and the psychologist. At the time of this review, Renz did not have written guidelines governing the responsibilities, procedures or composition of the Movement Committee. At that time, the Casework Supervisor and psychologist had to be present for a Movement Committee hearing to be held.

The Movement Committee makes custody level assignments according to the risk each inmate presents to the institution's security and control. Risk is defined as established behavior, sentence length, nature of the crime, attitude, or trait that classification staff judge to be a threat to the institution.

Custody levels range from Level 1 (high risk) to Level 5 (low risk). Dormitory assignment is dependent upon custody level assignment. In the near future, Level 5 inmates, aged 17 to 24 with a sentence length of five years or less, will be transferred to the First Offender Program at the Chillicothe Correctional Center.

B. Institutional Classification

Inmates are assigned to a caseload automatically by the last number of the intake register. The caseworker who is initially assigned to an inmate usually remains her caseworker throughout the period of confinement. This

¹ A comprehensive physical examination may not be performed for several months.

promotes a continuity and opportunity to work closely with an inmate that is not possible at the male institutions, with the exception of MIR.

The composition of the institutional classification team is similar to that of the other DOC facilities. Division Rule 20-101.080 allows Renz the opportunity to form its classification teams consistent with the principles of team classification. The team is ordinarily composed of the Caseworker, Correctional Classification Assistant and Work Supervisor.

The recently instituted Movement Committee also reviews the Team's recommendations for increases and decreases in custody level. The team makes recommendations directly to the Superintendent in cases of job or program assignment or reassignment, temporary leave requests, personalized plan development and review and grievances.

Renz utilizes an Adjustment Board composed of the Casework Supervisor, Major in charge of security, and Correctional Officer I to hear major violations. The psychologist always sits on the Administrative Segregation Review Committee. Inmates assigned to administrative segregation are reviewed every 30 days.

Protective custody hearings at Renz are conducted by two or more of the following staff: Casework Supervisor, Records Officer, Psychologist, Correctional Classification Assistant II and Chief Security Officer.

Each inmate is reviewed every 90 days by the Classification Team which will provide its recommendations for all level changes to the Movement Committee.

The five Custody Levels, cited earlier, utilized by RCC and the criteria for assignment to each is summarized below:²

- Level (1) - Those individuals considered high security risks such as a history of serious or numerous conduct violations, long sentences (25 years and up) and those that have a history of assaultiveness or escape and those with detainers.
- Level (2) - Those individuals considered medium risk such as older, physically less active individuals with long sentences (25 years and up) and those with medium sentences (less than 25 years) and those that have a history of serious or numerous conduct violations. Also those that have served a significant period of time on Level (1).
- Level (3) - Those individuals considered medium low risk, such as first offenders over age 24, those with short sentences, and the physically disabled regardless of sentence.
- Level (4) - Those individuals considered minimum risk, such as work and educational release, in-house work release, institutional clerks, and those individuals assigned outside the fenced compound.

² These custody levels, although in reverse numerical order, are similar to the five "C" levels CSG recommends in Chapter Ten.

- Level (5) - Those individuals assigned to the First Offender Program (ages 17 through 24, and five or less years sentence).

In addition, those inmates with detainers shall be considered high risk until they have served 1/2 of their 7/12th date and escapes shall be considered high risk one (1) year from the time they are returned to the institution. They then shall be considered for medium risk. Minimum risk shall be considered only when the inmate is within 120 days of her established release date.

C. Classification in Women's Institutions

Several major characteristics of female institutions make it difficult, or at least inconvenient, to fit them neatly into a state-wide classification plan. These same characteristics are also probably responsible for female institutions being ignored in litigation and the literature.

First, established policy and procedure manuals apply to classification of the 97% male majority. Most women's institutions must develop their own systems in order for classification to be accomplished at all. Some of these systems are quite informal. Most are formal, but highly subjective. Classification instruments that attach weights to certain characteristics based on relevant criteria are all but unknown in female institutions.

Secondly, most states have one facility which houses most, if not all, women given state prison sentences. It usually includes women in all custody levels, all ages, all offense types, all degrees of mental stability and all sentence lengths. One can recognize these categories as bases for separate housing in male institutions/systems. Placement in the proper facility--a major function of classification--is, therefore, not within the domain of a classification system for women.³ Separate placement within the facility is usually the only option--a practice not nearly as widely used in men's prisons, therefore, not dealt with in DOC policy or literature as thoroughly.

Third is the availability of programs and services: two important outcomes of classification. As a rule, women have far fewer, and different, program/treatment options than male inmates. Classification procedures designed to determine the proper program placement are of little or no use for a population that does not have access to those programs. In addition, many tests which determine treatment and program needs are not necessarily valid for women offenders. This trend is changing, but it is doubtful that opportunities for women will be equal to those for men in the near future.

The final characteristic--classification in women's institutions--to be discussed is the development and implementation of classification instruments. In recent years, there has been a trend toward development an instrument or set of instruments that weigh certain criteria and issue scores to determine an inmate's proper security/custody level. From the custody/security level, a program and job placement for the individual can be determined. There is often a treatment component as some of these have been implemented be-

³ The impending opening of the Chillicothe Correctional Center will negate this finding in Missouri.

cause of the lack of an objective classification procedure central to court findings of system-wide unconstitutionality (e.g., Alabama, Colorado). The assumption would be that if the entire prison system was held unconstitutional and classification was part of the remedy, then the women's prison would be unconstitutional as well, and classification would still be part of the remedy. However, system-wide classification designs in response to court order have yet to apply to women.

The few research studies that have attempted to study classification in women's institutions have concluded that the classification systems that work best and appear most valid are the ones designed specifically for the institution. Systems that appear to work less well follow the general state-wide classification procedures, but tailor them to their specific needs. While this is a reasonable solution, it is not always the best one.

D. DOC Policy Considerations

In developing classification policy, correctional policy-makers often make certain assumptions about the population that are not applicable to women. Custody and security requirements, the influence of prior record on prison behavior, program needs etc., all are underlying bases for classification procedures and instruments. Yet, they reflect the requirements, behavior influences and needs relative to men. If such assumptions, or even valid characteristics, are forced on women, then problems will inevitably arise. The simple fact is that women behave differently from men when incarcerated. The major problems associated with classification in women's prisons center on correctional policy makers ignoring this one plain fact--a fact easy to ignore because women account for such a small percentage of most prison populations.

A classification instrument such as the one provided later in this report cannot, as it stands, apply to women. This instrument was designed to determine the appropriate facility placements based on a particular set of factors. Some of these factors may be appropriate for women, but because the outcomes differ, their weightings should also differ. Other items may not be relevant at all, because the same custody/security considerations do not exist for women. Typically, when a woman requires a security level other than minimum or medium that requirement will not be based on personal characteristics of that inmate upon admission; rather, it will be based on the circumstances surrounding her; that is, pretrial detention, death row, etc.

Glick and Neto⁴ (1977) even concluded that the term classification itself may be a misnomer because most women's institutions are too small to permit effective use to be made of a classification process as it is generally perceived. They indicated that the bulk of the resources should be directed toward effective program placements that will enable a woman to support herself upon release. This judgement was based upon the observation that incarcerated women do not require vastly different levels of custody supervision; most are suitable for minimum custody.

⁴ Ruth M. Glick and Virginia V. Neto, National Study of Women's Correctional programs, Law Enforcement Assistance Administration, 1972.

Programming is difficult in women's institutions because they are often isolated from major population areas and cannot support a large-scale vocational center. Further, women inmates tend to prefer training in the traditional clerical, medical and service occupations even when other options exist. This is a problem in its own right, because most women trained in these areas are not likely to earn enough money to support their families. Other options must be explored that will lead to vocational training programs which offer salable skills to women on the same level as those available to men. Various trade unions and professional associations have become involved in corrections; co-correctional facilities have been established; restitution and community service programs have been established in combination with shorter sentences. However, none of these options has been used to its potential, and certainly not for the female population.

E. Summary⁵

This examination of female classification in the MDOC system and relevant literature leads to several conclusions about RCC. First, only when classification formats, determinants, and outcomes are organized specifically for the women's prison can effective classification occur. Divisional policy must continue to allow for the development of a relevant classification manual, provided by the Superintendent and Casework Supervisor of the women's prison in conjunction with the state Director of Classification.

Second, because programs differ for men and women, placement criteria must differ; above all, criteria must be based on characteristics of women inmates, not men.

Third, the guidelines presented in Chapters Ten and Eleven for implementation of a classification system and its assessment, monitoring and evaluation are relevant to women's institutions. When a system is assessed, monitored and evaluated, the women's institution must be included. These chapters present requirements for any classification system, male or female. What is crucial to remember is that equality does not necessarily imply similarity. Often it does, in the areas of awarding "good time," payment for work, etc., but often it does not. For example, if policy dictates that "adequate medical care" be provided for all prisoners, then one might assume that the identical types of care should be offered to all; however, that is obviously not appropriate. Similarly, in programming, the objective might be to provide 50% of inmates job skills with which they can support themselves and their families upon release. The same options are not necessary, and not even advisable--few women would take diesel mechanics, and few men would take nurse's aid training.

Finally, classification and prediction of criminal behavior are subjects about which little is known generally, and even less is known in relation to females. A few jurisdictions are beginning to perform research in order to develop better classification systems for women, notably Michigan and Illinois. The Michigan Department of Corrections is gathering data on 350

⁵ The basis for these findings is an unpublished report describing a model classification system being developed by the National Institute of Corrections.

variables related to nonviolent felony behavior on parole. Such information could be especially valuable for institutional programming, as well as for community corrections planning. Illinois is developing a historical data base for females, which is intended to lead to a classification format based on validated behavioral predictors. It is important to develop a consistently applied classification scheme for women, even though the scheme may not be empirically based. In time, though, the data gathered from the Correctional Classification Profile as well as from a social history will be able to yield information essential to the development of an empirically derived classification system. Such a system should stress the need for programming and job training skills that are proven successful in the long run.

F. Recommendations

While the Correctional Classification Profile developed during the course of this project is not applicable to making security and custody classification determinations about female offenders, it is useful in terms of collecting information about female inmates which can be used at a later date to develop a similar instrument tailored to female offenders. In addition, the profile will allow RCC staff to monitor inmate progress in critical areas including medical, mental health, substance abuse, and educational and vocational training. Therefore, CSG recommends the MDOC implement the classification system described in this report including use of the Correctional Classification Profile. However, procedures for utilizing the profile should be specifically written for Renz.

As recommended for the male facilities, specific policies and procedures governing classification should be written for the RCC. CSG does not, however, recommend that the RCC abandon its Custody Level designations nor the criteria used to make these determinations. As mentioned previously, the classification systems that work best in women's institutions are the ones developed specifically for the institution. It should be noted that the Central Classification Authority will review the same types of classification actions taken by the women's institution that are reviewed for the men's facilities.

Conversations with RCC staff indicate that they recognize the need to upgrade the orientation program they now offer to newly received inmates and are taking steps in this direction. In planning for a comprehensive orientation program, RCC staff should consider incorporating the following:

- Rules and regulations;
- Reception process;
- Institutional classification
- RCC Custody Levels--criteria for assignment;
- Visting procedures;
- Mail/package procedures;
- Medical services;
- Treatment services;
- Educational/vocational programs
- Other programs/services
- How to access services;
- Parole procedures; and
- Grievance procedures

The RCC should complete comprehensive physical examinations on all women admitted to the facility. This procedure is necessary to provide RCC classification staff with the information necessary to complete the Correctional Classification Profile and the Diagnostic Summary. Preliminary medical screening for contagious diseases should be conducted within the first day and these women should be placed in quarantine pending the results of their tests. This procedure is necessary to control the spread of contagious disease among the inmate population.

Programs provided to RCC residents should concentrate on providing them with the knowledge and skills they will need to support themselves upon release.

Automatic team classification reviews every 90 days are not any more necessary or advantageous for the women's institutions than for the men's institutions. A six-month progress review is adequate for the majority of inmates. A 90 day review period should only be used for inmates who are within 18 months of their expected release date or are participating in the First Offender Program.



**Chapter Eight:
Classification of Special Management Inmates**

CHAPTER EIGHT: CLASSIFICATION OF SPECIAL MANAGEMENT INMATES

Prisoners who are management problems and require special considerations in programming and placement fall into several categories:

- Those who require protection and separation because they may be in danger from other inmates;
- Those who by reason of their offense, criminal record, or institutional behavior, require particularly close supervision;
- Those who are mentally ill or mentally retarded; and
- Those who are physically disabled or medically handicapped in a way that creates a special need.

A. Classification of Protective Custody Inmates

According to a recent article in Corrections Magazine,¹ there has been an ever increasing number of inmates in the nation's prisons who are demanding protection from their fellow inmates and in prison officials who are willing to grant it, which reflect the increasing violence and declining control in many of the nation's largest prisons. To quote the article, "The rising level of fear is forcing aggravating management problems upon prison administrators as protective custody units--once havens for only a handful of the most notorious child molesters or convicts who turned state's evidence--begin to overflow."

The protective custody problem has also generated new litigation as inmates in protective custody challenge the conditions of their confinement, which in some places differs little from disciplinary segregation. This dilemma has brought about new debate on some basic issues of corrections philosophy, as prison administrators turn from concerns with rehabilitation or humane punishment and focus on the more immediate problem of how to guarantee an inmate his life without totally dehumanizing him.

No national statistics exist on protective custody, but conversations with prison administrators and observers in several states amply document the trend. In California, where gang activity among inmates has contributed to tension and violence in the prisons, the protective custody count recently was 912 inmates, or four percent of the 23,000 population. That represents an increase of two percent over the 1975 level of 266. In Illinois, with a total of 11,438 on a recent day, 782 inmates were housed in protective custody units and another 1,130 occupied two facilities reserved exclusively for protective custody cases. That adds up to 1,912 or 17 percent of the Illinois prison population.

1. Findings:

The protective custody situation in Missouri is not quite as serious as that experienced by California or Illinois primarily due to the absence of major gang activity in the state. However, there is a significant protective custody problem in the Missouri correctional system which must be addressed. (See Figure VIII-1.)

¹"I Want to Lock Up," Corrections Magazine, August 1980.

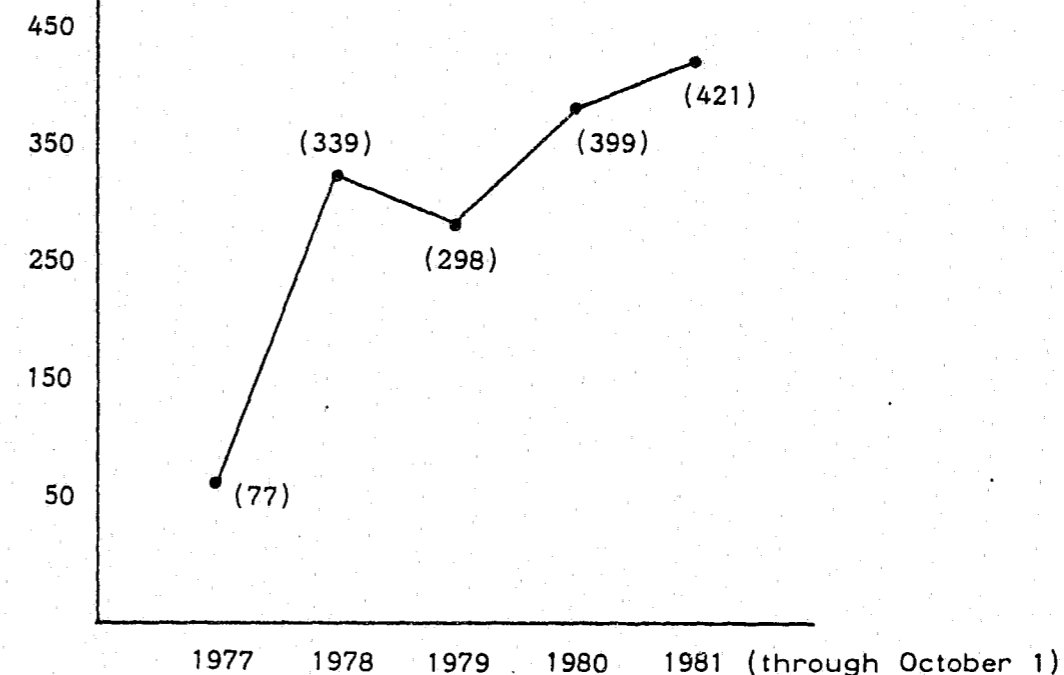


Figure VIII-1

The protective custody population has risen dramatically from 1977 when such statistics were first kept. It has stabilized at around 400 the past three years apparently as a direct result of lack of bedspace for protective custody inmates. Administrators from several institutions stated that they have a backlog of protective custody candidates waiting for cell space and that in a few occasions, some inmates have been convinced to leave their protective confines to make room for other protective custody cases. According to available records, protective custody units are maintained at MSP, MTCM, MIR, CMCC, Renz, OCC and the Classification and Assignment Unit.

Below is the number of protective custody inmates (per institution) as of October 15, 1981.

	Capacity	Count
Missouri State Penitentiary	336	336
Missouri Training Center for Men	57	86
Missouri Eastern Correctional Center	0	0
Missouri Intermediate Reformatory	20	10-15
Central Missouri Correctional Center	54	50
Renz Correctional Center	12(F) 2(M)	1(F) 0(M)
Ozark Correctional Center	4	0
State Correctional Pre-Release Center	0	0
St. Mary's Honor Center	0	0
Kansas City Honor Center	0	0
CSU	0	0
Classification and Assignment Unit	24	12
Total	509	500

Based upon an analysis of each institution's protective custody population it appears that an estimated 550 beds are needed. It is difficult however, to accurately determine the actual number of protective custody individuals since a number of variables influence this figure. For example, one inmate or small group of inmates may regularly prey on other inmates in a facility forcing one or more to seek the protection of Administrative Segregation.

Newly received offenders at the Diagnostic Center are screened for protective custody needs shortly after they arrive. Diagnostic counselors employ an interview schedule which identifies areas in which the inmate may be vulnerable. As a result of this screening, those inmates who staff believe should not be assigned to the general Diagnostic population are placed in protective custody. From August 17, 1977 to the present, Diagnostic Unit Staff have held 3,309 protective custody hearings which resulted in the assignment of 1,545 of these inmates to protective custody status (Housing Unit No. 1 at MSP).

The institutional procedures for assigning an inmate to protective custody (when there is reason to believe that an inmate is in danger from another inmate or inmates) are relatively the same from institution to institution as they are described in Division Rule 20-104.170 Protective Custody.

Placement in Protective Custody is a function of the institution's Classification Team with approval by the institutional head, although immediate placement in this status may be made pending Classification Team action by the shift captain.

Interviews with institutional managing officers and classification staff determined that when an inmate wants to "lock up" invariably all he has to do is request same and sign the request for such placement. Conversely inmates who institutional staff believe need protective custody can sign a written statement denying they need such a status. However, the classification committee still has the opportunity to place an inmate in protective custody against his or her will if the committee perceives a clear and present danger to the inmate.

Division of Correction officials express a reluctance to deny protective custody to inmates even when they are positive the individual was "taking a vacation" from general population. This reluctance is based on the increasing willingness and ability of inmates to sue for damages and the likelihood that prison officials may be held personally liable for injuries suffered by inmates in their care. Procedures in most states permit officials to force an inmate out of protective custody against his will if they decide the inmate's fears are groundless. However, this authority is rarely used since the legal consequences might be dire if he should be hurt or killed by other inmates after his release into general population.

As just stated, inmates may be placed by the Classification Team either via self request (voluntary) or when officials believe the inmate is in danger from other inmates but refuses protective custody. Inmates placed in this status at their own request may return to the general population at any time while those remaining in protective custody are reviewed every 90 days by the Classification Team. Those placed involuntarily are reviewed every 90 days also.

Inmates in protective custody generally have access to few programs enjoyed by inmates in the general population. All institutions reported that they provide for recreation outside the cell, generally one hour per day, visiting arrangements and mail service. However, due to a shortage of correctional officer staff in several

institutions, it is difficult to provide recreation and exercise on a daily basis. Administrators in every institution reported that they have difficulty providing protective custody inmates with educational and vocational training opportunities (except in-cell) or regular access to the institutional library (except legal library).

Staff were also asked which institution provided the best location to maintain protective custody inmates. Most respondents stated there does not now exist a DOC institution which can simultaneously provide for the adequate protection of vulnerable inmates while providing reasonable access to programs and services. However, given that such a facility is not available, the majority of respondents indicated that the Missouri State Penitentiary would be the most appropriate site given its internal design, staff supervisory capabilities and prior experience with such inmates. The second choice was MTCM followed by MIR.

Staff were also queried as to which factors were important in identifying protective custody candidates. The following list represents, in order of selections, these criteria:

- . Evidence of victimization;
- . Former law enforcement/correctional officer;
- . Age of the inmate;
- . Physical stature of the inmate;
- . Nature of the inmate's request;
- . History of mental problems/anxiety;
- . Sexual appearance of inmate;
- . Adjustment of inmate to confinement;
- . Offense committed by inmate;
- . Staff knowledge of the inmate;
- . Evidence of mental retardation;
- . History of inmate serving as an informer; and
- . Debts owed by inmate.

As can be readily seen by a cursory review of the above list there are numerous factors associated with an inmate seeking protective custody, although many are inter-related. For example, a small, young inmate confined for child molestation may have a feminine appearance. All of the factors together will probably warrant the offender seeking protection although one alone may be sufficient to create a need for placement in Protective Custody.

2. Recommendations: The current practice of maintaining a protective custody unit in each maintaining institution is generally unworkable for both staff and inmates. As has been stated, it is nearly an impossible task to provide even remotely the same level of programs and services for protective custody inmates as those in the general population. The eventual product is an institution within an institution.

Correctional Services Group recommends that the DOC either convert a section of an existing institution or construct a new facility to serve the needs of protective custody inmates.

The first alternative is to design and build an institution specifically for this group. Such a facility would need to be secure and staff intensive to protect inmates from themselves and to insure the protection of society. A recent survey showed that many of the inmates now in protective custody are themselves very violent.

The DOC may also consider a tactic other states with large protective custody populations have attempted and apparently succeeded with. This has involved the conversion of an existing facility into a separate and distinct protective custody institution for inmates who have either been assaulted or who are prone to assault. The State of Illinois in 1974 converted the Sheridan Correctional Center, a medium custody institution for youthful offenders, into a full-scale protective custody institution for 380 inmates. The criteria for transfer of inmates to this facility include:

- . Inmates who are small, frail, unsophisticated, young and/or effeminate in appearance;
- . Inmates who have testified as a witness for the state;
- . Inmates who have been physically assaulted (generally more than once) or who have been threatened with assaults which have been documented;
- . Inmates who have been labelled as "snitches" and who may be prone to assault.

Generally, inmates who cannot identify their enemies or who themselves have been assaultive are not eligible for transfer to Sheridan. Further, since it can be assumed that inmates who were victims in one of Illinois' other institutions may become predators at Sheridan, there was a strict rule established which placed such individuals in segregation as soon as they acted out. A serious violation could result in the inmate being transferred back to his "parent" institution where he would be placed in disciplinary segregation.

A distinct advantage created by having such an institution is the ability to provide a wide range of programs and services for inmates who previously were confined 23 hours a day in another facility. Illinois, like many other states, was (and continues to be) under a court order which mandated almost the same level of programming for protective custody inmates as general population inmates.

The development of Sheridan also reduced the management problems created by trying to maintain protective custody offenders in a maximum or medium security institution where the general population was justifiably of a greater priority. Attempting to provide a separate unit for protective custody inmates within a correctional institution requires a considerable increase in custody personnel as this type of inmate should not leave his cell unescorted and in most instances should only participate in outside cell activities either by himself or in small groups.

The above example shows what a neighboring state has done in an attempt to resolve its protective custody dilemma.

Short of setting aside a separate facility for protective custody inmates, other, albeit less dramatic, alternatives exist.

The first alternative is now in effect at the Washington State Prison in Shelton. The Shelton "R-3 Program" benefits from the availability of secure space for program activities--previously unused rooms in a basement beneath the cellblock and a yard that covers three acres. The unit houses 80 people. (The total population of the prison is 774.) Three guards are on duty in the unit at all times, instead of the normal complement of two, and counselors who serve the unit have a reduced caseload. A Ph.D. psychologist works full-time with the unit's inmates.

The unit offers education and motivation programs, assertiveness training, drug and alcohol information classes, "relaxation" sessions, crafts and weight lifting providing for a relatively normal day out of the cells. Inmates who feel confident enough to do so may also go out of the unit to attend education classes in the main prison. At times as many as 60 of the 80 inmates in the unit have chosen to do so. Inmates taken into the unit are encouraged to participate in programs through a six-step system. When they are admitted to the unit privileges are limited; as they accumulate program credits, they move up a series of "steps." When they reach the final step they may wear their own clothes, have their own TV sets and tape decks and enjoy other amenities.

The administrators of Shelton unit assume that many protective custody inmates are in the unit not because they are in real danger, but because they are weak and easily intimidated. Thus, one goal of the program is to get as many inmates as possible to rejoin the general population. At Shelton, 230 inmates have left the unit since it began in the summer of 1976; of these, 55 have gone back into the main population, while most of the others were paroled or transferred to other institutions.

The second alternative program for protective custody inmates is now being operated at the Minnesota State Prison in Stillwater. At the protective custody unit at Stillwater, inmates are confined to a 56-bed cellblock, and make use of the corridor in front of the cells and a small fenced yard off the block for recreation and rudimentary programs. Since most of the violence in the 1,111 inmate prison occurs during the dinner and evening hours, rules permit some inmates in the unit to go out to the main population during the day for breakfast and lunch, school and work. They return to the unit for dinner and evening activities. Those who remain all day may take jobs cleaning up the unit, folding the prison newspaper or assembling little plastic dolls as part of an industry program. They also play dominoes, lift weights and do other exercises in their small recreation yards.

While inmates have complained that confinement to the unit is frustrating and claustrophobic compared with life in the general population, they state that it is clearly superior to being locked up in a small cell for 23 hours a day in a traditional protective custody unit. The unit was set up in 1975 in order to gain control of a deteriorating protective custody situation in the prison, but the original concept has not been fully implemented.

In addition to the involvement of inmates in work and programs in the general population and within the unit itself, the plan is for unit staff members to engage in an aggressive program to build up inmate's confidence and encourage them to return to the general population.

Both of these protective custody programs are now operative and as stated, have demonstrated some success with a minimal amount of cost both in terms of additional funding and staffing. It appears that, based upon many of the similarities that exist between these states and Missouri, overcrowding, shortage of staff and funds, etc. A similar program could be readily adapted into an existing wing or unit of a DOC institution.

B. Classification of Mental Health Problem Inmates

It is estimated that between 10 and 35 percent of state and federal inmates have mental problems. In a recent article in Corrections Magazine² the identification, classification and treatment of the mentally ill is said to be the largest single health care problem in our nation's prisons and jails. The same article goes on to state that this problem receives the least attention and resources.

1. Findings:

The identification, care and management of emotionally disturbed offenders in Missouri is, in most respects, less satisfactory over programs found in many other states.

The identification of emotionally and psychologically disturbed offenders begins on the arrival of the individual at the Diagnostic Unit where new inmates are screened by classification staff to determine obvious emotional problems. These persons are then referred to the Unit's Psychiatric Consultant for assessment and counseling.

The formal assessment to determine mental illness and mental retardation is performed by Diagnostic Unit staff who employ a variety of tests and in an attempt to evaluate the present psychological status of the inmate. When available, prior psychiatric/psychological history information is used. However, similar to other informational and data problems experienced by the unit, such information is rarely available other than in those instances where the person has been in the Division previously and the records are on file. (For a detailed analysis of the Psychological Evaluation process refer to Chapter IV, Initial Classification.)

In a recent study of the Maryland Correctional System by CSG, a series of recommendations were made pertaining to the evaluation and classification of mentally ill inmates. These included the following, several of which directly pertained to both the identification of these individuals at the Maryland Reception, Diagnostic and Classification Center and, subsequent evaluations as these persons progress through the correctional system. Many of these findings/recommendations appear to have relevance in Missouri:

- The utilization of psychological evaluation needed to be more closely integrated with the goals of the Division and integrated with the other service needs of the institutions.

It was hoped that the priority assigned to psychological evaluations would be decreased in favor of treatment needs.

- The performance of psychological evaluations should be accompanied by the allocation of staff time for research on test validity and continuing education training.
- The provision of test outcome information to the individual inmate by a trained psychologist is seen as potentially quite beneficial.

²"Who Will Care for the Mad and Bad," Corrections Magazine: Vol. No. 6. (February 1980).

- An advisory committee, composed of Division of Correction psychologists, should be created to monitor usage of psychological evaluations and to ensure compliance with professional standards.
- Psychological evaluations should focus more on the inmate's program needs and place less emphasis on security change issues.
- The prediction of violence within the psychological evaluation reports should be approached with considerable caution.
- The Divisional psychologists should formulate a set of criteria for making security change recommendations.
- There were numerous ways identified which could assist in upgrading the efficiency of the psychological evaluation process. These included:
 1. Making the effort to obtain copies of recent psychological evaluations performed by other state and local agencies.
 2. Replacing routine system intake evaluations with briefer screening evaluations to help identify special needs inmates.
 3. Purchasing an optical scanner and linkage with the State computer so as to allow efficient machine scoring of psychological and vocational evaluation forms.
 4. Utilizing group evaluations instead of time consuming individual evaluations for personality and intellectual assessment.
- Greater caution should be exercised in the interpretation of personality test data in the absence of information denoting the inmate's reading and intelligence levels.
- Increased emphasis should be placed upon the delineation of an inmate's strengths and assets, not just the delineation of his/her deficits and weaknesses.
- Therapists should not serve as the psychological test evaluators of their clients for security change purposes.

As has been stated, inmates with mental health problems present a serious dilemma to the Division, particularly for those identified as in need of intensive treatment.

Another resource the Division has available in treating mentally ill inmates is the Fulton State Hospital. This facility is operated by the Missouri Department of Mental Health and is used for short term evaluation and treatment of DOC inmates. Essentially, this resource serves as a stop-gap solution for inmates with serious mental deficiencies as they are diagnosed, medicated and returned to the Division (usually the Hospital at MSP), where minimal resources are available to provide for continuity of care.

MTCM is another facility within the Division that provides space for inmates with mental health problems. A number of beds are set aside at MTCM for this group. Psychological and psychiatric services are available on a regular basis.

2. Recommendations:

The Missouri correctional system, much like most other state correctional systems, has a substantial segment of its inmate population (estimated at 10 to 15 percent) which is subject to one or more types of emotional or psychological disturbance and for which acceptable programming is not now available. Further, this population is extremely disruptive to the operation of each institution where they are inappropriately treated as management problems.

Procedures should be developed to identify these offenders and the type of mental problem they are experiencing. This would involve a comprehensive analysis of the present psychological evaluation process now being used at the Diagnostic Center including a review of all assessment instruments by a team of psychologists and professional psychometricians. This review should include a review of the present psychological and psychiatric interview processes. CSG believes that several of its recommendations in the chapter on Initial Classification, if implemented, will go a long way in improving this process. Individuals who are diagnosed as in need of treatment should be segregated from the general population. Once segregated, either through the development of a new facility designed and staffed to deal with mentally ill offenders or a wing of an existing structure, programming should be made available to treat both acute and chronic psychological problems manifested by this group. It is anticipated that many, if not the majority of this population, will vigorously reject any psychological treatment. However, this should be expected given the composition of the group. In any event, custodial and treatment staff should react to the individual as someone who is mentally disturbed and not as an inmate who is a chronic and intentional disciplinary problem.

In addition to the short term unit recommended for each major institution, there is a need for a centralized multi-purpose unit to service the Division. Ideally this unit would be part of the recommended new Diagnostic Center. This unit would be utilized in a twin capacity. First, this unit would receive those inmates who could not be stabilized at the home institution. Once stabilized these inmates would be returned to the home institution. Second, this unit would serve as a long term housing unit for those inmates with chronic emotional disturbance.

These chronic inmates require a consistent, supportive, well-structured, long term environment. While efforts would be made to ultimately return the chronic inmate to general population within the Division, the inmate could conceivably re-enter society (perhaps via parole to a psychiatric inpatient or out-patient facility) from this unit.

It is proposed that this unit would have from 75 to 100 beds and would provide an active work/treatment program within a therapeutic milieu. The staff of this unit could serve as a resource to the Division for those chronic inmates who were eventually placed back in the general population. Additionally, the staff would participate in the phased, structured societal re-entry of those inmates too debilitated to return to general population. Community follow-up by the staff secondary to the re-entry process could also help improve societal readjustment. This unit would provide what are currently almost non-existent mental health services for inmates, comparable to those presently received by Missouri citizens.

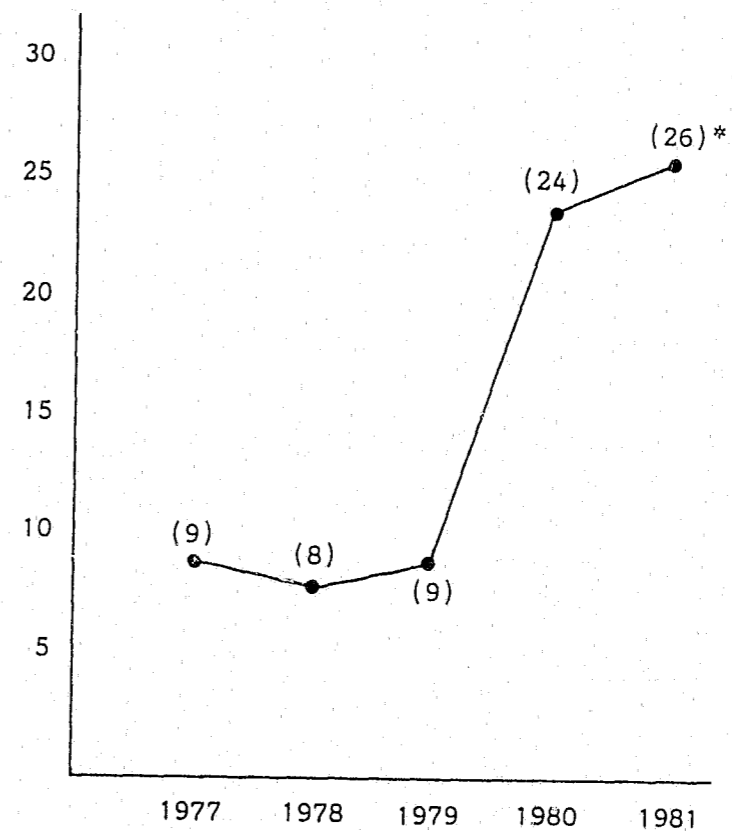
Correctional Services Group would like to emphasize that the above effort should not totally fall upon the Division of Corrections. The Department of Mental Health should be expected to share in a cooperative venture aimed at developing an institution, programming and staffing similar to that just described.

C. Classification of Behavioral Problem Inmates

1. Findings:

Another group of inmates for which special classification procedures are necessary are those who manifest serious behavior problems.

The incidence of violent behavior in Missouri prisons appears to have increased significantly since 1977 for assaults against staff and 1979 for inmate against inmate assaults. (Figures VIII-2 and -3) Since records maintained by the Division are incomplete for some years relative to this subject, these findings may be open to question. However, it is apparent that the number of assaults against staff and inmates is on the rise. This increase is possibly the result of the following:



* Prorated based on number of staff assaults as of October 1, 1981.

Figure VIII-2. Inmate Assaults Against Staff

	Assaults*			Suicides			Murders		
	1979	1980	1981	1979	1980	1981	1979	1980	1981
MSP	6	6	13	1	2	3	1	2	2
MTCM	6	3	4	1	2	0	1	0	0
CMCC	1	1	2	0	0	0	0	0	0
MIR	2	5	5	0	0	0	0	0	0
OCC	0	0	3	0	0	0	0	0	0
SCPRC	0	0	1	0	0	0	0	0	0
RCC	0	1	0	0	0	0	0	0	0

* Where serious injury resulted.
 ** Prorated for entire year.

Figure VIII-3. Inmate Violence

- The overcrowding situation which many correctional experts cite as creating tension leading to violent acting-out behavior;
- An increase in the number and proportion of violent offenders admitted to the DOC;
- Improved disciplinary procedures which document incidents on a regular basis;
- Improved reporting procedures and recordkeeping.

There is a general consensus among prison administrators throughout the nation that violence in correctional institutions has increased significantly in the past decade with a definite lag in the capacity of classification techniques to keep up with this trend.

Violence in prisons is not the only problem facing correctional administrators relative to inmate behavioral problems. Similar increases in incidence have occurred in other areas such as drug trafficking, extortion, drug use, homosexual assaults and general victimizing of vulnerable inmates.

In Missouri over the past three years, the number of inmates confined to Administrative Segregation and Punitive Segregation has averaged almost 300 or approximately 5 percent of the DOC inmate population. This number, according to many Division personnel, could have been much higher but was, and continues to be, limited by the number of cells available in Administrative Segregation and Punitive Segregation. (See Table VIII-1) Many DOC administrators, i.e., MSP, MIR, stated that, due to the limited size of their respective institutions' segregation units, they are often required to release inmates prior to the expiration of their segregation sentences so that new institutional rule violators can be admitted.

The procedures for assigning inmates to Administrative Segregation are elaborated in Division Rule 20-104.140. According to this guideline:

Administrative Segregation is used for prisoners who are incorrigible, who exhibit a habitual pattern of serious misconduct, who must be confined on suspicion of serious misconduct pending investigation, who must be held as material witnesses to criminal acts, who have been found guilty by the classification committee of committing serious acts of misconduct, or who must be held to prevent serious injuries to themselves or to others. It is the objective of this rule to hold inmates in administrative segregation status who have been so classified by the classification committee with the approval of the institution head until the permanent committee, acting pursuant to authority delegated by the institution head, determines that it is safe and proper to return them to the general population. It shall be the rule of the division to follow procedures which will result in prompt return of inmates to the general population when the security of the institution permits.

They appear to be in line generally with contemporary standards relative to the legal safeguards for inmates assigned to disciplinary segregation for the following reasons:

1. To prevent escapes (reasons exist to believe the inmate to be an escape risk);
2. To prevent an inmate from doing harm to himself/herself;
3. Inmate is under sentence of death;
4. Reasons exist to believe an inmate is dangerous to the security of the institution, and/or inmates, and/or personnel of the institution;
5. Prior to the adjustment hearing, when the inmate has been charged with an infraction or violation, and one of the above conditions exists or inmate is involved in a drug-related incident when custody and control is an obvious factor.

Other than protective custody inmates it can be seen that most inmates in the above group would not voluntarily place themselves in Administrative Segregation. Division Rule 20-104.140 states that such inmates may be confined in Administrative Segregation for up to one year prior to review by the institution head. This in essence means that an inmate could spend his entire sentence in this status if so determined by the Classification Team.

TABLE VIII-1

Institution	Capacity	In Use**
Missouri State Penitentiary	Administrative Segregation - 110	96 (General Population)
	Punitive Segregation - 36	13 (Capital Punishment) 32
Missouri Training Center for Men	Administrative Segregation - 31	36 (5 Over)
	Punitive Segregation - 40	29
Missouri Intermediate Reformatory	Administrative Segregation - 84	84 (Several Protective Custody)
	Punitive Segregation - 20	
Central Missouri Correctional Center	Administrative Segregation - 0*	17
	Punitive Segregation - 20	
Renz Correctional Center	Administrative Segregation - 12 (Female)	4 (Includes Punitive Segregation)
	Punitive Segregation - 2 (Male)	0
Ozark Correctional Center	Administrative Segregation - 2	0 (Generally transfer inmate to higher custody level)
State Correctional Pre-Release Center	Administrative Segregation - 14	7
	Punitive Segregation - 2	1
Missouri Eastern Correctional Center	Administrative Segregation - 10	0 (Population of segregation units will increase as general population increases)
	Punitive Segregation - 10	0
St. Mary's and Kansas City Honor Centers	No facilities for either Administrative Segregation or Punitive Segregation	
Totals	393	339 (Includes Capital Punishment inmates)

* No Administrative Segregation Facilities, transfer inmate to higher custody facility.

** Segregation population as of October 1, 1981.

2. Recommendations:

Correctional Services Group is well aware of the Division's need to manage disruptive inmates. The effective operation of any correctional institution can be directly thwarted by a group of recalcitrant offenders, no matter how small, if adequate procedures for their control are unavailable.

The current procedures, as delineated in Division Rule 20-104.140 for the most part meet both the needs of the agency and inmate in that they provide a systematic approach to identifying and segregating individuals from the general population, for other than punitive reasons, who warrant additional supervision in more secure housing.

It is recommended, however, that the recently developed Central Transfer Authority monitor, review, and when necessary, act on cases of inmates who remain in administrative segregation for more than 90 days. This office should be aware of all inmates who are assigned to Administrative Segregation and require documentation from each facility for each inmate retained in segregation for unduly long periods.

The Division may also wish to consider the use of a formalized guideline such as included in Appendix B to provide direction as to who should be placed in segregation. Inmates who score a certain number of points in one category or a combination of points across several categories would be considered candidates for administrative segregation. It must be emphasized that this guideline, if employed, would be used only as a classification tool to provide direction to the institutional classification teams in identifying behavioral management inmates who should be segregated from the general population.

D. Classification of Other Special Management Inmates

Commission on Accreditation for Corrections Standard Number 4375 provides for written policy and procedure for special needs inmates:

Special needs inmates include, but are not limited to drug addicts, drug abusers, alcoholics, alcohol abusers, inmates who are emotionally disturbed, mentally retarded, suspected mentally ill, or who pose high risk or require protective custody. Procedures should exist to identify the number, type and frequency of commitment of these groups of inmates. Where numbers or frequency of commitment warrant, special programs should be instituted for the appropriate management and effective handling of these inmates.

1. Findings:

The classification of protective custody mentally ill and high risk inmates by the Division has just been reviewed. However, there are a number of other special needs offenders whose classification has not yet been addressed. These include drug and alcohol abusers, the mentally retarded, physically handicapped and sexual offenders.

These inmates are first screened and identified during the initial reception process at the Diagnostic Unit. The assessment techniques include IQ tests to screen for mental retardation, personality tests to screen for mental illness or emotional

disturbance and medical exams to screen inmates with chronic ailments or other handicaps.

The Division has recently developed a treatment program for sexual offenders. This program, headquartered at the Missouri Eastern Correctional Center, is designed to provide individual and group treatment for all sex offenders in the Division. Candidates for this program are first identified by staff from the Diagnostic Unit based on the nature of the current offense and/or a history of offenses involving sexual violence. Generally inmates who are candidates for parole planning and those with between one and ten years to serve are afforded treatment priority.

Other factors, determined in the initial interview and from file records and used by program staff to prioritize treatment candidates are:

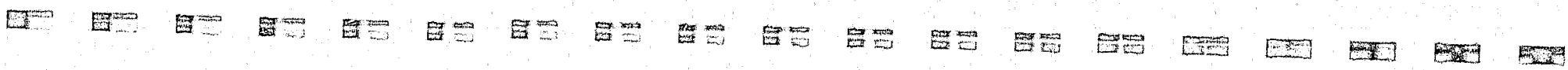
- . Institutional adjustment;
- . Age (offenders under age 35 are generally considered the most amenable);
- . Offense details; and
- . The inmate's general attitude and motivation for treatment.

As has been stated elsewhere in this report, information, particularly in the reception process, is extremely lacking for such special needs offenders as identified above.

2. Recommendations:

The classification process for special needs offenders, such as discussed above, cannot be effective without proper and sufficient information to begin to identify and plan programs and services. It is recommended that the Division develop improved policy and procedures at the reception process similar to the Special Needs Assessment Group (SNAG) operated by the Maryland Division of Corrections, to provide a thorough assessment of all new admissions and to identify any special needs or management problems. The SNAG program is designed specifically to identify and refer for service offenders with extremely low IQ's.

The present procedures are essentially sound, but have been diluted by insufficient staff, the abbreviated diagnostic period, and inadequate data. As such, the assessment process will require delaying the diagnostic period for special needs inmates to provide sufficient time to acquire data to assist in both the screening of these groups as well as identifying any proposed treatment programs. No special needs offender should ever be assigned to a maintaining institution until all known information has been evaluated and a specific program plan has been developed. All such plans should be monitored by Central Classification Authority staff at least semi-annually.



Chapter Nine: Institutional Capabilities/Inmate Profile

CHAPTER NINE: INSTITUTIONAL CAPABILITIES/INMATE PROFILE

A. Staff Perceptions of Institutional Capabilities

Correctional Services Group, having determined the types of inmates assigned to each DCC facility through the custody analysis and inmate profile exercise, interviewed a sample of staff representing classification, custody and administration to determine, based upon their individual experience and knowledge of inmates and their respective institution, which type(s) of inmate their facility could best provide security and program services. These individuals were not selected randomly, as a group was wanted which was very much involved in the operation of the institution and quite knowledgeable about the issues under consideration. A sample of the interview schedule employed with these staff is available for review by request. The questions attempted to elicit respondent's perceptions of the types of inmates best suited for their facility. The interview opened with the questions "What types of inmates can this institution best deal with?" For example: "Which inmates is your institution best suited for?" and "What types of inmates can your institution handle?" These questions aroused a number of responses from staff ranging from concise descriptions to lengthy explanations on offender philosophy and the operation of corrections.

1. Findings: As expected, staff from the more secure institutions, e.g., MSP, stated that the more staff-intensive, perimeter-wise, secure institutions could deal with inmates who are escape risks and have a history of violence while personnel from the less secure facilities, e.g., OCC, related that a much less serious and compulsive offender was best suited for assignment to their facilities. (See Figure IX-1)

It should be noted that staff from the Classification and Assignment Unit and Renz Correctional Center were also interviewed relative to their institutional capabilities. However, given the Missouri statutes that require all adult male inmates be initially confined at the Classification and Assignment Unit and all female offenders be assigned to RCC, it soon became apparent that all answers would generally be affirmative except for first-time female offenders who will qualify for the new female institution at Chillicothe.

Staff from the Missouri State Penitentiary (maximum security) in Jefferson City were in general agreement that almost every type of inmate in the Division could be assigned to MSP although many voiced the opinion that special management inmates such as the mentally ill or retarded offender, or the individual who has a history of self-mutilation or suicide attempts would be better served in a facility designed to treat such special needs inmates. They also observed that inmates with short sentences, first offenders and youthful offenders who generally do not warrant the security MSP provides should be placed in less secure settings. When questioned as to what types of inmates MSP "could handle" staff responded that every inmate in the Division could feasibly be confined at this facility although, again services for most special management inmates may be marginal at best.

Staff from the Missouri Training Center for Men (medium security) in Moberly were somewhat more reserved as to the types of inmates MTCM was best prepared to incarcerate and serve.

TYPE OF INMATE INSTITUTION SHOULD (COULD) HANDLE

	Violence Potential	Escape Risk	History of Prior Commitments	Expected Length of Stay 10 Yrs +	Expected Length of Stay 3-10 Yrs	Expected Length of Stay Less than 3 Yrs	Institutional Management Problem	Mentally Ill Mentally Retarded	Protective Custody
Missouri State Penitentiary	Y(Y)	Y(Y)	Y(Y)	Y(Y)	Y(Y)	D(Y)	D(Y)	Y(Y)	Y(Y)
Missouri Training Center for Men	D(Y)	N(D)	Y(Y)	D(Y)	Y(Y)	Y(Y)	D(Y)	D(Y)	Y(Y)
Central Missouri Correctional Center	N(D)	N(N)	Y(Y)	N(D)	Y(Y)	Y(Y)	N(D)	N(D)	N(D)
Missouri Intermediate Reformatory	N(D)	N(D)	N(Y)	N(N)	N(D)	Y(Y)	D(Y)	N(D)	N(D)
Ozark Correctional Center	N(N)	N(N)	D(Y)	N(D)	D(Y)	Y(Y)	N(N)	N(D)	N(N)
Kansas City and St. Marys Honor Centers	N(N)	N(N)	Y(Y)	N(N)	N(N)	N(N)	N(N)	N(N)	N(N)
Tipton Pre-Release Center	N(N)	N(N)	D(Y)	N(N)	N(D)	Y(Y)	N(D)	N(D)	N(N)

	Suicide Potential	First Offender	Any Age Offender	Youthful Offender (17-25)	Alcohol/Drug Abuse	Parole/Probation Violations	Warrants and Detainers
Missouri State Penitentiary	N(D)	D(Y)	Y(Y)	D(Y)	Y(Y)	Y(Y)	Y(Y)
Missouri Training Center for Men	N(Y)	Y(Y)	Y(Y)	D(Y)	D(Y)	D(Y)	D(Y)
Central Missouri Correctional Center	N(D)	Y(Y)	D(Y)	D(Y)	D(Y)	D(Y)	N(D)
Missouri Intermediate Reformatory	N(D)	Y(Y)	N(N)	Y(Y)	D(Y)	N(D)	D(Y)
Ozark Correctional Center	N(N)	Y(Y)	Y(Y)	Y(Y)	N(D)	N(D)	N(N)
Kansas City and St. Marys Honor Centers	N(N)	Y(Y)	Y(Y)	Y(Y)	N(D)	N(D)	N(N)
Tipton Pre-Release Center	N(N)	Y(Y)	Y(Y)	Y(Y)	N(D)	N(D)	N(N)

Y - Yes, the institution should (could) handle an inmate with this characteristic.
 D - Depends, under some circumstances the institution should (could) hand an inmate with this characteristic.
 N - No, the institution should (could) not handle an inmate with this characteristic.

Most respondents indicated that inmates with a history of violence should not be housed here. They also stated that individuals who have demonstrated an inability to adjust to confinement as evidenced by one or more serious violations or a lengthy list of minor infractions should be incarcerated in a more secure environment. Further, according to respondents, inmates who are mentally ill or retarded, are suicidal or who are older should not be incarcerated at this facility.

Missouri Training Center for Men respondents were also hesitant to acknowledge that escape risks could be successfully confined there, pointing out there have been a number of successful escapes in the past few years and that inmates who are escape-prone should never be transferred to this institution.

Respondents from MTCM when questioned as to what inmates they could maintain, given that classification cannot create the perfect inmate, stated that with additional staff and physical plant modifications, most offenders could be maintained there. However, there was continued concern about the institution's capacity to confine inmates prone to assaultive behavior or who posed a serious threat of escape. They also continued to express concern relative to providing services for special needs offenders.

The Central Missouri Correctional Center (medium security) located north of Jefferson City is seen by the majority of its personnel as a low/medium security institution due to its minimal perimeter security and internal design which includes a number of open dormitories.

Staff indicated that no inmate with a history of violence or escape or a length of stay exceeding ten years should be confined at CMCC. Staff were quite concerned about inmates with any escape tendencies being transferred there pointing out that a series of escapes in 1979 followed by several in 1980 demonstrated the security weaknesses of the institution. This is true they state, even given the improvements in the security perimeter which they, and is supported by CSG's facility analysis, emphasize have not made CMCC a medium security institution. Staff further related that inmates in need of mental health treatment or who are mentally retarded should not be confined there nor should inmates who require separation/protective custody.

These same personnel stated that CMCC was generally an excellent facility for most first and repeat offenders (again, if they were basically nonviolent) and those inmates who would present only minimal institutional management concerns. When pressed as to what types of inmates CMCC could deal with, staff related some long-term inmates could be acceptable, although this decision was dependent on the offense as well as a variety of other types of special management inmates as long as the problems created by them were not serious.

Staff from the Missouri Intermediate Reformatory (medium security) in Alcoa generally viewed that institution as an educational and vocational facility for younger inmates in need of programming. They do not believe that offenders who display violent tendencies, are escape risks, have long sentences, have a significant number of previous confinements, are adjustment problems who have special needs or are older (26+) should be housed at MIR. The principal reasons given for these observations include the lack of physical restraints, the openness of the institution and the mission of MIR

as a program-oriented facility. Staff asserted that it would be difficult to maintain this orientation without the maintenance of somewhat conservative eligibility guidelines.

Relative to the types of inmates MIR could confine, respondents stated that they would continue to be very hesitant to accept inmates with a history of violence or escape. Several staff were adamant that the youthful training focus of MIR had deteriorated in the past few years with the introduction of older offenders and longer sentence inmates which they see as a direct result of the current Division bedspace problems. Further, they stated that should this trend continue, it would be difficult to maintain even the current level of programming.

Again, the MIR respondents, like their counterparts, were quite open with their comments relative to the maintenance of special needs inmates. They pointed out that these offenders are disruptive to programming, which is more of an issue at MIR than other institutions due to its functional unit management system. They, unlike the other respondents from MSP and MTCM but similar to CMCC, did not believe MIR would be an appropriate facility for vulnerable, protective custody inmates.

The Ozark Correctional Center (minimum security) located in Fordland is viewed by most of the staff CSG interviewed as essentially just that, a minimum security/custody institution which is designed to accommodate inmates who are neither public nor institutional risks. As such, OCC staff do not believe any prisoner with a history of violence or escape should be sent there. They also assert that generally inmates with long sentences should be held in higher security facilities and those individuals who manifest institutional management problems, need protective custody, have mental health concerns, have serious drug problems or an outstanding detainer are not good candidates for OCC. Their rationale for these beliefs, in addition to the intended mission of the institution, is the lack of a secure perimeter, the internal design of the facility and the low staff-to-inmate ratio.

Ozark Correctional Center staff were not quite as willing to bend when asked what types of inmates the facility could handle. Most respondents stated quite emphatically, again due to the lack of security and staff, that there are certain categories of inmates OCC is unable to manage under any circumstances. Further, they related that approximately 20% of the current inmate population fits into that grouping which they contend is the result of the classification system which has broken down due to overcrowding. The only concessions OCC staff made as to additional types of inmates the institution could somewhat effectively manage were those with long sentences for either nonviolent offenses or inmates who committed essentially a one-time violent offense (other than rape). They also acknowledged that OCC could manage inmates with mild mental health problems or retardation and offenders prone to acute rather than chronic drug abuse.

As expected, staff from the State Correctional Prerelease Center and the Honor Centers (minimum security) were much more conservative relative to their criteria for assignment to prerelease. Respondents almost to a person, stated that no inmate with a violence or escape history, who has more than one year to an expected release, who is an institutional management problem, who has special needs other than drug abuse, or who has an outstanding detainer or warrants should be selected for participation in this program.

When questioned as to what type of inmates they could handle, many respondents stated quite openly that this question more accurately addresses the existing situation. That is, numerous staff mentioned that the prerelease program was currently, and has been for the past several years, maintaining individuals who were not suited for prerelease or, furthermore, minimum security.

The majority of respondents stated that they could handle inmates with previous confinements and some individuals with more than a year to expected release, although the latter group should not be permitted to enter the community unescorted. They also mentioned that the system could accept some inmates who have been institutional management problems although only those whose adjustment difficulties were not directed toward staff. This group, again according to respondents, would best be supervised in a center where there was sufficient internal structure to monitor and control their behavior. Some staff believed that marginal inmates (those whose assignment to prerelease is questionable) should not be placed in urban settings and should not have the same community and family leave program as those prerelease inmates who meet DOC criteria for transfer to either the Kansas City or St. Louis (St. Mary's) Honor Centers. They stated that the security and rural location of the State Correctional Prerelease Center could provide the necessary restraints for such inmates while still affording them prerelease programming.

2. Recommendations: This analysis, based upon the perceptions of DOC personnel who operate the institutions, provides support for the following recommendations, several of which are discussed elsewhere in this report:

- Inmates who are psychologically disturbed or severely mentally retarded cannot be adequately served in existing Division maintaining institutions and should be located in a unit or units where they can be treated while not being disruptive to the general population;
- Inmates who are substantiated escape risks should generally be incarcerated at MSP, particularly those individuals who are likely to become involved in serious criminal activities should they successfully abscond;
- Based on the results of the staff analysis of institutions, it would appear that only MSP and, to some extent, MTCM, should manage long-term inmates (length of stay greater than ten years). However, and as is stated elsewhere in this report, CSG recommends that certain inmates be considered for assignment to a C-3 (medium security) or C-2 (minimum security) institution early in their sentences. This would include individuals who are low public risks (P-3 or below) and who have either evidenced a successful institutional adjustment or whose prior community stability would warrant an I-score of 2 or lower. P and I scores are described in Chapter Ten.
- Protective custody inmates generally should not be housed at any institution except MSP and MTCM. As was recommended in Chapter Eight: Classification of Special Management Inmates, the Division should consider establishing a separate protective custody facility which could provide adequate programming aimed at reintegrating these inmates back into the general population of DOC institutions.

- Suicidal offenders cannot be adequately accommodated at any existing institution and should be placed in a unit where they can be treated and constantly observed; and
- Inmates who are institutional management problems can best be dealt with at either MSP or MTCM and inmates who have a history of serious disciplinary violations should be housed in either of these institutions with preference given MSP, especially when the Super Maximum Security Unit opens later this year.

B. Classification Staff Analysis of DOC Inmates

In addition to the custody inmate analysis conducted by staff from CSG, comprehensive inmate profiles were completed by classification personnel from the following institutions:

- Missouri State Penitentiary;
- Missouri Training Center for Men;
- Missouri Intermediate Reformatory;
- Central Missouri Correctional Center;
- Ozark Correctional Center;
- State Correctional Pre-Release Center;
- St. Mary's Honor Center; and
- Kansas City Honor Center.

Inmates were selected at random from caseworker's caseloads with an attempt to equally represent the various DOC security levels in the sample. This latter issue was not deemed to be that significant as the principal objective was to assess inmates within a custody level and not between institutions.

A total of 494 inmates were profiled for the survey from the eight facilities. (See Figure IX-2) The findings in this figure appear to be worthy of further discussion. CSG requested that MDOC staff provide information on inmates in the following areas:

- Current Offense(s);
- Current Sentence;
- Time Completed on Sentence;
- Institutional Adjustment;
- Special Needs;
- Proper Institutional Assignment?;
- Proper Security Level?;
- Escape Risk?;
- Previously Assigned to Prerelease or Honor Center?; and
- Other Pertinent Classification Information.

The Inmate Profile Questionnaire that was used for this task and the directions that were provided MDOC staff are available for review upon request.

MDOC INMATE PROFILE

Inmate Characteristics	MDOC Institution															
	MSP (N=94)		MTCM (N=74)		MIR (N=91)		CMCC (N=90)		OCC (N=45)		SCPRC (N=40)		KCHC (N=30)		SMHC (N=30)	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Offense:																
Serious	73	78	48	65	26	29	37	41	21	47	27	69	13	43	5	17
Nonserious	21	22	26	35	65	71	53	59	24	53	12	31	17	57	25	83
Total	94	100	74	100	91	100	90	100	45	100	39	100	30	100	30	100
Special Needs:																
Mental Health	18	19	13	18	13	14	8	9	3	7	5	13	9	30	*	*
Educational/Vocational Training	22	23	26	35	25	24	62	69	26	58	19	48	12	40	*	*
Substance Abuse	11	12	14	19	9	10	17	19	3	7	32	80	8	27	*	*
Medical	2	2	0	0	0	0	2	2	1	2	0	0	1	3	2	7
Special Management	9	10	7	10	3	3	0	0	1	2	0	0	1	3	*	*
Assignment to Proper Institution:																
Yes	67	72	62	84	80	90	65	72	39	89	29	73	24	80	18	60
No	26	28	12	16	9	10	25	28	5	11	11	27	6	20	12	40
Total	93	100	74	100	89	100	90	100	44	100	40	100	30	100	30	100
Assignment to Proper Security Level:																
Yes	71	76	61	82	85	96	66	73	40	91	28	70	26	87	28	100
No	22	24	13	18	4	4	24	27	4	9	12	30	4	13	0	0
Total	93	100	74	100	89	100	90	100	44	100	40	100	30	100	28	100
Assignment to Honor Center Previously:																
Yes	6	6	9	12	1	1	11	12	1	2	3	8	16	53	30	100
No	88	94	64	88	89	99	78	88	44	98	37	92	14	47	0	0
Total	94	100	73	100	90	100	89	100	45	100	40	100	30	100	30	100
Escape Risk:																
Yes	63	68	5	7	5	5	7	8	1	2	3	8	4	13	1	4
No	29	32	69	93	86	95	81	92	44	98	37	92	26	87	27	96
Total	92	100	74	100	91	100	88	100	45	100	40	100	30	100	28	100
Institutional Adjustment:																
Excellent	17		14		4		6		8		2		7		0	
Good	26		21		44		44		23		7		8		5	
Satisfactory	13		21		21		5		4		16		0		25	
Below Satisfactory	15		9		12		16		5		10		6		0	
Poor	22		8		10		11		4		4		9		0	
No Response	1		1		0		8		1		1		0		0	
Mean Sentence	19.7		11.0		4.1		7.2		7.4		10.9		5.9		4.6	
Mean Time Served	4.2		3.11		0.8		1.8		2.8		4.6		2.5		1.7	

* Information Unavailable.

Offense

- A comparison of the Division institutions shows what one would expect--the percentage of serious offenders to total population decreases as the security capability of the institution decreases--with one exception. The State Correctional Prerelease Center (SCPRC) and the Kansas City Honor Center (KCHC) have high percentages of serious offenders; 69% and 43% respectively. This finding reflects the mission of these two facilities--the reintegration of all but the most serious and/or recalcitrant offender. It is interesting to note that the St. Mary's Honor Center (SMHC) has a low percentage of serious offenders compared to the prerelease system as a whole.

Special Needs

- All but one DOC facility reported low percentages of inmates with mental health needs. These estimates ranged from a low of 7% at the Ozark Correctional Center (OCC) to a high of 19% at the Missouri State Penitentiary (MSP). One facility, KCHC, reported that 30% of the inmates sampled had mental health needs.
- Educational/vocational training needs were highest among the inmate populations of the Central Missouri Correctional Center (CMCC - 19%); the Ozark Correctional Center (OCC - 58%); and the State Correctional Prerelease Center (SCPRC - 48%). This is an interesting finding given that the mission of the Missouri Training Center for Men (MTCM) is vocational and educational programming.
- The majority of the MDOC institutions reported consistent percentages of substance abusers among the inmates profiled. However, both SCPRC and the KCHC reported significantly greater numbers of substance abusers when compared to their overall inmate population. The presence of the 3X3 drug program at SCPRC probably accounts for these findings.
- The presence of medical problems among the inmates profiled is low across all facilities. The DOC institutions reported from 0 to 3 percent.
- The greatest percentage of special management inmates were reported, appropriately enough, at MSP and MTCM.

Proper Institutional Assignment

- St. Mary's Honor Center reported the greatest number of inappropriately classified inmates--40%. The remainder of the facilities ranged from a low of 10% at the Missouri Intermediate Reformatory (MIR) to a high of 28% at MSP. MIR has fairly stringent assignment criteria so this finding is not too surprising. Over- and underclassification of inmates in the DOC is discussed in greater detail in Chapter Ten.

Assignment to Proper Security Level

- For the most part, MDOC staff felt the majority of inmates sampled were assigned the proper security classification; MIR, particularly, reported only 4% were not properly classified for security. It should be noted that MIR is a multi-security level institution and thus has more internal control over the security classification of its inmate population. The State Correctional Prerelease Center reported a full 30% as being inappropriately classified for security purposes. Again, inappropriate classification of inmates is discussed further in Chapter Ten.

Previous Assignment to Honor Center

- Only the two Honor Centers reported large percentages of inmates who had been previously assigned to an Honor Center. A full 53% of the sample drawn from the KCHC had been assigned to an Honor Center before. St. Mary's indicated that each of the 30 inmates sampled had been previously assigned to an Honor Center. CSG staff believe these findings may have resulted from a misunderstanding of directions supplied by CSG for completion of the profile. Among the remaining facilities, MTCM and CMCC indicated 12% of the inmates profiled had previously been assigned to an Honor Center.

Escape Risk

- Other than MSP and the KCHC, the percentage of escape risks among the inmates sampled was less than 10%. MSP estimated a full 68% were escape risks while KCHC staff felt 15% were escape risks.

Institutional Adjustment

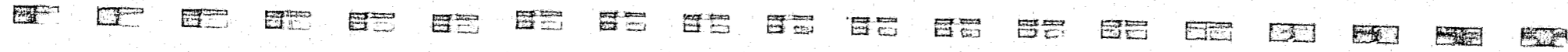
- Staff of the KCHC felt that 50% of the inmates sampled exhibited below satisfactory or poor institutional adjustment. Staff at MSP, CMCC, and the SCPRC felt that one third of the inmates sampled at their respective institutions had poor or below satisfactory institutional adjustment.

Mean Sentence

- MSP, MTCM and SCPRC reported the longest mean sentence lengths for inmates profiled. Whereas it is expected that MSP and MTCM being respectively (C-4) maximum and (C-3) medium security facilities, would house inmates with long sentences; it may seem surprising that SCPRC has an average sentence length of 10.9 years which runs close third to the mean 11.0 years sentence at MTCM. However, as the mission of the Tipton facility is to prepare inmates who have been confined for reentry into the community and since these individuals are in the latter portions of their sentences, it can be assumed that many offenders with relatively short sentences would not have sufficient time left, according to the transfer criteria, to qualify for SCPRC programming. As a result, it appears that inmates serving longer sentences tend to comprise the prerelease population.

Mean Time Served

- In terms of mean time served, MSP and SCPRC report the longest periods of confinement for the inmates sampled. This is not surprising given that MSP inmates, for the most part, are assigned there based upon length of sentence. Likewise, inmates of SCPRC have served the majority of their sentences before they become eligible for transfer to the prerelease system. Since MIR can only take inmates with sentence lengths of five years or less, the 0.8 mean time served is also not a surprising finding.



Chapter Ten: Security/Custody Determination

CHAPTER TEN: CLASSIFICATION FOR SECURITY/CUSTODY DECISION-MAKING PURPOSES

A. Definition of Security/Custody Levels

Correctional Services Group's experience in classification has been that very few correctional systems are able to clearly define either the custody capabilities of their institutions or their custody levels. For example, a recent study by CSG of the classification system at the Georgia State Prison in Reidsville found that while Reidsville is considered to be a maximum security facility by most Georgia Department of Offender Rehabilitation personnel, it is in reality, according to most security analysts, a much less secure institution. This confusion appears to be the result of the historical mission of Reidsville as Georgia's maximum security prison, a mission which has carried over to the present day even though this facility lacks many of the necessary requirements, e.g., secure perimeter, single cells, etc., normally associated with a maximum security institution.

CSG found a similar problem in a large scale study of the Maryland Division of Corrections classification system conducted for the Governor's Commission on Law Enforcement and Administration of Justice.

This same problem is also found nationally in attempting to distinguish inmates of various custody levels. An inmate who may be defined as a maximum security inmate in one facility may very well be, even within the same system, a medium security prisoner in another. This appears to be the result of the many and varied perceptions of correctional staff as to just which factors are important, as discussed elsewhere in this report, in determining an offender's custody level.

1. Findings: Correctional Services Group found that the Missouri correctional system is subject to the same problems in defining custody as just identified. This finding was determined through a series of questionnaires administered to Division personnel representing administration, custody and classification. In these questionnaires, staff were asked to define what constitutes a maximum, medium, and minimum security facility and also to define what type of inmate is normally associated with these three custody levels. The terms maximum, medium and minimum were selected for two reasons: one, they are commonly employed in most correctional systems; and two, they are used by the Division and should have some meaning to staff.

As has been characteristic of findings in other states, CSG found that these terms have different connotations depending on a variety of factors including functional category of the respondent, e.g., security, treatment, as well as experience, personal correctional philosophy, education and overall knowledge of custody. Wide variances were also found between staff from different Division institutions relative to their perceptions of custody meanings.

The effect of diverse custody definitions is most dramatically observed in the classification process when an inmate is given a custody status and institutional assignment. For example, if a Diagnostic counselor believes an inmate is in need of constant supervision due to his current offense, the counselor may assign him to the Missouri Penitentiary since it is defined as maximum security and should afford the security deemed necessary. However, a security analysis of the Penitentiary by CSG determined that it does not overall provide the internal security that most correctional security experts would define as necessary for a maximum security prison.

2. Recommendations: Based upon the misconceptions and confusion among Division personnel pertaining to custody definitions, CSG recommends that every inmate in

the Missouri correctional system should be assigned new custody statuses based on a numerical scale. These statuses or C-levels would range from C-5 to C-1 which would be based on an inmate's Public Risk (security) and Institutional Risk (custody) scores which are discussed elsewhere in this report. Security is defined as the type of perimeter and housing unit an inmate's risk requires while custody is the amount and type of supervision.

The custody levels are based on a survey of custody definitions used in other states and the Federal Prison System. These definitions are described here in detail.

C-5 Custody Level: This custody level would be comparable to the supermaximum classification status that will be available with the opening of the new "Supermax" Unit and is presently similar to the Administrative Segregation level now being employed. This level would be reserved for inmates who:

- Are rated as C-5 by the proposed security/custody determination instrument;
- Pose an extreme risk of violence to others;
- Are an extremely high escape risk; or
- Who have a history of serious institutional violations, one or more of which have involved extensive violence.

As can be seen from the above descriptions, C-5 is to be reserved for inmates who are determined to be both extreme public or institutional risks (5 level) or who score so highly in either category (5 level) to warrant constant control and supervision. An inmate assigned to C-5 shall be supervised as follows:

1. The inmate shall always be confined to a single cell in a staff-intensive housing unit;
2. When moving about the institution the inmate must be in restraints and supervised by an officer;
3. The inmate generally will not be able to leave the institution. However, when such a situation is necessary, the inmate must be in restraints and supervised by a minimum of two staff;
4. An inmate in this status shall be housed in an institution with a secure perimeter manned on a 24-hour a day basis.

Assignment to a C-5 housing unit is appropriate if reliable evidence shows:

- Recent episodes of serious violence towards other inmates and/or staff;
- Recent or numerous escape attempts particularly when the attempt is premeditated and/or violence is involved; and
- Numerous and serious rule violations, particularly when the institutional security is threatened.

NOTE: No inmate should ever be assigned to C-5 from the Diagnostic Unit unless he commits an act serious enough while being initially classified to warrant direct assignment to this level.

C-4 Custody Level: This custody grade most closely approximates the current "maximum" security level now employed by the DOC. However, this new level would be reserved for inmates who:

- . Are rated as C-4 by the proposed Custody Determination Instrument;
- . Pose risk of violence to others;
- . Are a probable escape risk; or
- . Have a history of serious institutional violations.

As can be seen from the above descriptions, C-4 is to be used for inmates who are either both a public and institutional risk or score so highly in either category (up to 4 level) as to warrant regular control and supervision. An inmate assigned to C-4 shall be supervised as follows:

1. Except under the direct supervision of a correctional officer, the inmate shall be housed in a single occupancy cell.
2. When the inmate is permitted to move about within the institution, he or she shall be within the view of a correctional officer.
3. The inmate shall not be permitted to leave the institution unless he or she is accompanied by a correctional officer.
4. An inmate in this status shall be confined in a facility with a secure perimeter.

Assignment to a C-4 facility shall be appropriate if reliable evidence shows:

1. Episodes of violence toward others;
2. Recent or numerous violent criminal offenses or serious rule infractions, committed in a pattern over the preceding three years, accompanied by reliable evidence sufficient to justify a reasonable belief that if the inmate were permitted to leave the institution without supervision, he or she would promptly commit additional offenses or infractions;
3. Recent and numerous escapes or attempts to escape;
4. Recent but not necessarily numerous escapes or attempts to escape, if the circumstances from which such escapes or attempts and the manner of the inmate's return to custody (if effected) indicate that the inmate misused a less restrictive custody level to accomplish an extended escape from correctional supervision.

C-3 Custody Level: This custody grade most closely approximates the present "medium" security level employed by the Division. This custody level is to be reserved for inmates who pose a somewhat lesser risk as determined by the proposed instrument than C-4 inmates. This assessment is measured in terms of recency, frequency and severity of behavior.

Specifically, this level will be applied to inmates who:

- . Are rated as C-3 by the proposed Custody Determination Instrument;
- . Pose some risk of violence to others;
- . Are a possible escape risk (rated High);
- . Have a limited history of serious institutional violations.

An inmate assigned to C-3 shall be supervised as follows:

1. Except when under the direct supervision of a correctional officer, the C-3 inmate shall be housed in a single-occupancy unit in a penal institution.
2. When the inmate is permitted to move about within the institution, he or she shall be under the periodic supervision of a correctional officer.
3. The inmate shall be permitted to move about within the institution during daylight hours, but shall not be permitted to leave the institution unaccompanied by a correctional officer.

C-2 Custody Level: This custody grade most closely resembles the Division's present "minimum" security level. This level is to be reserved for inmates who pose a substantially lower public or institutional risk than C-4 and C-3 inmates.

- . Are rated as C-2 by the proposed Custody Determination Instrument;
- . Pose limited risk of violence to others;
- . Are a marginal escape risk (rated Medium or Low); or
- . Have no history of serious institutional violations.

An inmate assigned to C-2 shall be supervised as follows:

1. The inmate will be periodically supervised by a correctional officer and shall be housed in either a single or multiple occupancy room to which he or she should have self access;
2. When the inmate is permitted to move about the institution, he or she need not be under direct correctional officer supervision;
3. The inmate will not be permitted to leave the institution without an escort although the escort does not necessarily have to be a correctional officer; and
4. The C-2 inmate shall be confined in a facility that has a secure perimeter.

C-1 Custody Level: This custody grade most closely approximates the Division's Pre-Release status. Inmates assigned to this status would either be those that are within one year of the end of their prison stay and have a limited history of violence, escape, institutional adjustment problems or emotional disturbance. Inmates with non-serious offenses could be assigned directly to this status but must also be within one year of release.

Specifically, this level is to be applied to inmates who:

- . Are rated as C-1 by the proposed Custody Determination Instrument;
- . Pose limited risk of violence to others;
- . Are a limited escape risk (rated Medium or Low);
- . Have no history of serious institutional violations;
- . Are generally in the last 25 percent of their sentence.

An inmate assigned to C-1 shall be supervised as follows:

1. No direct supervision shall be required either in the unit or in the community;
2. Inmates shall be housed in single rooms with their own keys; and
3. Personal clothing and most articles normally used in the community may be retained by C-1 inmates.

B. Present Custody Decision Process

1. Findings: In the existing DOC classification system, all classification custody actions are made either during the initial classification at the Diagnostic Center or during institutional reclassification hearings conducted after an inmate is permanently assigned to a facility.

A review of this process at the Diagnostic Center determined that the inmate's current offense and length of sentence are the two principal factors employed in determining an offender's custody status. Since these two factors are generally highly correlated it can then be assumed that the offense(s) for which an inmate is presently confined is the principal criterion for assigning custody and hence institutional assignment. This appears to be the result of a variety of situations:

a. The unavailability and/or inaccuracies of criminal history, psychological and social information pertaining to the individual. When faced with unavailable or unverified information, Diagnostic Center classification staff are forced to utilize what criminal data sources are available. Since the offender's current offense is always stated on the court commitment papers, this information is readily available;

b. The belief commonly held by many correctional personnel that an offender's past crime or crimes are most predictive of his/her future behaviors, particularly violent and assaultive behaviors. Research has demonstrated that individuals who are incarcerated for a sexual offense are more likely than not to resort to similar criminal actions in the future while other studies have demonstrated that apart from offenses related to a psychological aberration, e.g., rape, most repeat offenders are those who have committed non-dangerous, property-oriented crimes such as burglary and forgery;

c. The concern that an offender with a history of violence will commit additional violent acts if placed in reduced security which in turn could result in extreme public reaction. The public historically has not over-reacted to property offenses committed by inmates confined in minimum custody, even a lengthy series of such offenses. But the public has reacted quite strongly to the commission of one violent offense. An excellent example of this was an incident which occurred in the Summer of 1979 when a DOC inmate sentenced for rape abducted a female officer and committed several rapes. This one incident provoked considerable public and media reaction even though the offender's custody level could be reasonably justified based on his institutional adjustment;

d. Individual classification staff reaction to the offense. Correctional staff, like most noncorrectional citizenry, are socialized to believe that certain acts by their fellow man are not to be easily excused and should be punished. To many Division staff a security classification system that rewards desirable behavior and punishes undesirable behavior is as important for staff as a system which predicts behavior.

The efforts conducted to identify additional factors currently used by classification staff in the Missouri DOC led to the identification of several problems with the existing custody/security determination system:

- The current factors are generally quite subjective, except for those concerned with offense characteristics;

- Missouri classification staff as in all correctional systems, develop their own set of classification factors and assign a relative importance to each of these factors according to their own value scale, and apply these standards in making classification decisions;
- The validity of classification decisions is quite dependent on a number of variables including: training and experience of staff; amount of feedback and reinforcement the staff member receives; the quality and quantity of offender data; the pressure to move inmates into available beds, etc.;
- Offender classification information is generally quite lacking at initial classification. Not only is it often incomplete, but much of it is of questionable value as it has not been verified. Other data are subject to a broad interpretation;
- There have been minimal specific guidelines given to Division of Probation and Parole staff regarding the collection of offender data to support comprehensive Presentence Investigation Reports (PSI's) which are not prepared for the majority of inmates entering the Division since they are not requested by judges;
- The needs of the agency, e.g., to fill available bedspace, etc., often supercede established classification procedures. There appear to be instances where custody grades have been reduced to facilitate movement of inmates into facilities where lower custody bedspace is available. This is discussed in detail elsewhere in this report;
- Custody designations are not consistently applied throughout Missouri's institutions. For example, a custody grade of "medium" at MTCM may be roughly equivalent to the "minimum" at MSP. Other correctional systems, e.g., Florida, have moved the "least worst" of the maximum security population into lower custody facilities in response to overcrowding. This has created a situation wherein inmates normally assigned to maximum custody facilities are now maximum custody offenders in a medium security setting.

2. Assumptions: Several assumptions have been made which appear to be basic to the course of action recommended via the development of a new security/custody determination process:

- The present Missouri classification system, though overworked and non-uniform, does somewhat effectively work to meet the needs of the Division, particularly as it relates to filling available bedspace.
- The existing classification system is not very flexible in that it is not designed to take into consideration state-of-the-art correctional practices. There appears to be no formal mechanism to modify current practices based upon changes in inmates or inmate behavior.
- The emphasis on filling available beds is understood and necessary, although priority should be given to the needs of the individual inmate and the protection of the general public in a new classification system.

- The development of standardized factors and associated custody scores should not preclude the judgement and experience of Division classification staff decision-making;
- The existing number and types of physical plants limit the options for assignment of offenders. This must be taken into consideration in the development of a custody determination instrument. It appears there is presently a lack of beds in the DOC which creates severe problems in the assignment of inmates to institutions.
- Currently, information for classification is minimal due to the failure of committing jurisdictions to provide necessary data and materials. The success of any new classification system will require the availability of uniform and relevant data which has been supplied in a timely manner.
- Staffing for classification, particularly the initial classification of inmates at the Diagnostic Center, is inadequate and must be increased to carry out professional assessments of inmates.

Given the above findings and assumptions of the project staff, a custody determination system should be designed as follows:

- The system should reflect those classification factors that Missouri DOC officials consider important.
- It should be in compliance with standards issued by the Commission on Accreditation for Corrections¹ and consistent with recent court decisions pertaining to custody determination and offender assignment.
- It should provide a structure based upon empirical offender data that can be supported through measurable and observable actions.
- It should meet the classification needs of the Division while reducing the amount of narrative and subjective reporting that staff now engage in.
- It must provide for the deficiencies now existent relative to current problems in securing reliable, complete and timely offender data yet be comprehensive enough to adequately assess custody and assign custody levels based on relevant information. It should also be amenable to analysis and evaluation to permit a determination of validity of data being employed so that factors can be identified that should be deleted or added to improve the custody determination ability of the overall instrument.

¹The Commission on Accreditation for Corrections, Standards for Adult Correctional Institutions states in Standard 4372:

The classification system should help insure that inmates participate in appropriate integrated programs that will assist them during their incarceration and subsequent release to the community. The classification system should consider an assessment of risk and the efficient management of the inmate population. It should provide that no inmate is kept in a more secure status than potential risk requires.

Finally and as indicated previously, it must be capable of responding to changes in inmate populations, court orders, changes in correctional policy and most importantly, of meeting the mandates of the general public in protecting them from offenders who have demonstrated or possibly could demonstrate violent behavior.

3. Recommendations: Based upon CSG's classification experience and recent efforts undertaken by other states, particularly the New York Department of Correctional Services, it is recommended that a new classification decision-making process be developed that employs a custody determination instrument which should distinguish between Public Security Risk and Institutional Security Risk. For further clarification, institutional risk refers to the likelihood that an inmate will be dangerous to other inmates or staff or disruptive of order in a facility; public risk refers to a combination of the likelihood that an inmate will escape and the likelihood that he will be dangerous to the public if he does escape. The idea of public risk can be illustrated by the following diagram:

	Likely to Escape	Unlikely to Escape
Likely to be Dangerous to the Public	Very High Public Risk	High Public Risk
Unlikely to be Dangerous to the Public	Medium Public Risk	Low Public Risk

The diagram below, illustrates that an inmate may be a low risk in one area while being a high risk in the other:

	Low Public Risk	High Public Risk
Low Institutional Risk	Low Public and Low Institutional Risk	High Public but Low Institutional Risk
High Institutional Risk	Low Public but High Institutional Risk	High Public and High Institutional Risk

In determining public risk, the major factors normally considered by correctional classification analysts include seriousness of the current offense, history of violence, record of escape, length of time to release, and community stability.

The principal factors used by classification staff to assess institutional risk are the inmate's behavior while under confinement, both current and prior, and the adjustment stability or instability of the individual as determined through a review of his adjustment in the community.

Public risk and institutional risk can also be illustrated by the following guidelines:

Institutional Risk = (Prior Institutional Adjustment + Maturity) + Street Stability (Post Confinement Factors); while,

Public Risk = Degree of Violence in Current Offense + History of Violence + Time to Expected Release + Escape History + Street Stability (Pre-confinement Factors).

The first task for CSG in completing these guidelines was to specify the factors and their degree of importance. It is necessary to define the factors if the instrument is to be useful to the Division in making objective and consistent custody determination decisions. It should be stressed that the final instrument is to serve only as a classification tool. Staff will not always be able to classify all inmates correctly based solely on the use of the instrument because some inmates will present unique difficulties; an allowance in the instrument must be made for the classification counselor's subjective evaluation of an inmate.

The method of determining factors important to custody determination involved a series of field interviews with both staff and inmates. We also distributed three questionnaires to assess factors considered important in making initial and reclassification decisions as well as to rank severity of offenses for which individuals may be confined in the DOC.

The factors included on the three questionnaires were derived from an extensive review of factors considered important in other states and the Federal Prison System. The approach to determining the importance of each factor relative to custody determination is similar to that utilized by the Federal Bureau of Prisons in 1977 in the development of its new classification system.

Unlike the Bureau, however, which originally employed forty-seven factors to determine an inmate's custody status during initial and reclassification hearings, thirty-three factors were used in the Missouri survey to establish initial classification levels. In addition, twenty-six factors were selected to determine an inmate's reclassification level. In addition, an Offense Severity Scale was used to determine the perceptions of staff relative to the seriousness of crimes for which offenders could be confined in the DOC, since it was assumed a priori that the nature of the current offense would be one of the key factors considered as important by staff in determining an inmate's custody level. (See Figure X-1, Offense Severity Findings.)

A sample of administrative custody and classification staff were given the questionnaires so as to provide representation among the various correctional staff categories. The actual breakdown of personnel completing questionnaires in each category is as follows:

- 52 Classification Personnel
- 39 Security Personnel
- 14 Administrative Personnel

The rationale for surveying more classification staff than personnel from other categories was twofold: first, the focus of the study is on the classification system and the staff who conduct the various classification functions from initial

	Rating
<u>Homicide, Assaults & Kidnapping</u>	
Capital Murder	10.0
First Degree Murder	9.8
Second Degree Murder	9.1
Manslaughter	8.3
Manslaughter-Assisting in Self Murder	7.2
First Degree Assault	7.6
Second Degree Assault	6.8
Third Degree Assault (Class A Misdemeanor)	5.7
Assault by Prisoners on Guards and Employees	6.9
Harrasment (Class A Misdemenaor)	4.6
Kidnapping	8.5
Felonious Restraint	5.1
False Imprisonment	4.8
Interference with Custody	4.1
<u>Sexual Offenses</u>	
Rape	9.6
Sexual Assault - First Degree	8.9
Sexual Assault - Second Degree	8.1
Sodomy	9.3
Deviate Sexual Behavior - First Degree	8.8
Deviate Sexual Behavior - Second Degree	8.4
Sexual Abuse - First Degree	8.8
Sexual Abuse - Second Degree	8.1
<u>Armed Criminal Action and Weapon Offenses</u>	
Armed Criminal Action	6.9
Dangerous and Concealed Weapons	6.1
<u>Offenses Against Public Order</u>	
Rioting (Class A Misdemenāor)	5.3
<u>Offenses Against the Administration of Justice</u>	
Concealing an Offense	3.9
Hindering Prosecution	3.8
Perjury	3.6
Resisting or Interfering with Arrest	4.2
Escape from Commitment	7.1
Escape from Custody	8.1
Escape from Confinement	8.2
Failure to Return to Confinement	7.0
Aiding Escape of a Prisoner	7.4
Permitting Escape	7.1
Tampering with a Witness	4.9
<u>Offenses Affecting Government</u>	
Bribery of a Public Servant	4.1
Public Servant Acceding to Corruption	3.8
Bribery or Receipt of Gifts from Prisoners by Officers or Employees	3.7
<u>Drug and Related Offenses</u>	
Possession, Sale, Distribution or Transfer of Controlled Substances	6.1
Obtaining Controlled Substances by Fraud or Deception	5.8
Delivery or Concealment on Premises of Institution of Narcotics, Liquor or Prohibited Articles	7.9

Figure X-1. Offense Severity Findings

reception and orientation to the offender's release. Second, the Federal Bureau of Prisons classification project found that there was no appreciable difference between the rankings of classification (treatment) and those of custody staff as evidenced by a correlation of .90.

Correctional Services Group's findings were almost identical. The correlation between the rankings of treatment and custody staff relative to the importance of those factors that should be used to determine an inmate's initial custody was very high. (The average correlation was 0.86. This compares to a correlation of .88 in CSG's Maryland Study.) Staff were asked to identify the top ten factors that should be used as a basis upon which to assign custody designations using a custody determination instrument. Figure X-2 represents the scores given each factor by personnel category as well as the overall ranking. These include:

- History of escapes/escape attempts
- History of violence
- Nature of Current Offense
- Length of sentence
- Number of prior arrests/commitments
- FBI Rap Sheet
- Prior institutional adjustment
- State's Version of Current Offense
- Number and type of detainers
- Street stability factors²

Concerning the Severity of the Offense questionnaire, CSG considered it important for DOC staff to rank the seriousness of crimes for which offenders are sentenced to the Division of Correction. This was done to provide "up front" information relative to the weighting of offenses for the proposed Security/Custody Determination Instrument.

In determining Institutional Risk, attention is focused on prior Institutional Adjustment, and Street Stability factors while Public Risk is measured by using History of Violence, Escape, Length of Sentence, Nature of Current Offense, Adjustment on Parole and Probation and Number of Prior Arrests/Commitments. The factors are weighted according to the relative importance attached to them by staff with those relating to criminal behavior counting the most and those associated with street stability the least.³ Each factor is given point scores and these scores are added to provide Institutional and Public Risk scores. These scores in turn are combined to provide a total Security/Custody score which is computed as follows:

	P ₁	P ₂	P ₃	P ₄	P ₅
I ₁	C ₁	C ₂	C ₂	C ₃	C ₄
I ₂	C ₂	C ₂	C ₃	C ₄	C ₄
I ₃	C ₂	C ₂	C ₃	C ₄	C ₅
I ₄	C ₃	C ₃	C ₄	C ₄	C ₅

²This factor is a combination of several other factors which will be included on the Security/Custody Determination Instrument.

³The actual weightings were not computed by CSG and should be done using regression analysis.

	Classification (N = 52)	Administration (N = 14)	Security (N = 39)	Mean*
History of Escape	9.22	9.38	9.83	9.41
History of Violence	9.28	9.21	9.63	9.36
Nature of Current Offense	9.38	9.01	9.42	9.29
Length of Sentence	8.96	9.11	9.44	9.24
Prior Arrests/Commitments	9.01	8.96	9.09	9.04
FBI Rap Sheet	9.00	8.83	9.11	8.98
Prior Institutional Adjustment	9.14	8.86	9.01	8.96
State's Version of Current Offense	8.63	8.80	8.59	8.65
Detainers	8.19	8.69	8.73	8.49
Disciplinary Reports	8.29	8.31	8.79	8.43
Involvement in Alcohol/Drug Use	8.61	8.27	8.21	8.39
Notoriety (Inmate/Offense)	8.41	8.57	8.11	8.33
First Felony Conviction	8.10	8.43	7.92	8.21
Judicial Recommendations	7.97	8.84	7.63	8.09
Inmate's Version of Offense	8.19	7.24	7.60	7.71
Age of Inmate	7.19	7.34	7.48	7.31
Adjustment on Parole/Probation	7.01	7.48	6.39	6.68
Respect Toward Staff	6.48	6.98	7.03	6.64
Member of Subversive Organization	6.58	6.13	7.21	6.60
Military Record	6.11	7.01	6.48	6.49
Psychological Test Data	6.60	6.31	6.01	6.31
Age at First Arrest	6.03	5.98	6.13	6.07
Length of Time Since Last Confinement	5.03	6.11	6.98	5.92
Cooperativeness of Inmate	6.11	5.11	5.93	5.71
Health of Inmate	6.93	6.14	5.12	5.69
Peer Group Associates	5.91	6.01	5.01	5.58
Marital Record	5.31	6.92	6.01	5.56
Physical Stature or Handicaps	6.78	5.12	5.00	5.48
Employment History	5.01	5.62	5.09	5.31
Age at First Commitment	4.78	4.63	5.61	5.02
Length of Time at Home Residence	4.42	5.19	4.49	4.63
Family Background	4.92	4.32	3.98	4.49
Educational History	5.91	3.99	4.91	4.32
Community Attitudes	4.31	5.09	3.78	4.26

Figure X-2. Initial Custody Determination Factors

For example, an Inmate scored as a P-4, I-1 would have an overall initial Security/Custody grade score of C-3. This would indicate the inmate has an extensive criminal history which is probably violent but who has effected an excellent institutional adjustment during a prior incarceration and is probably, other than his violent episodes, quite stable on the street.

As already stated, CSG collected information from DOC personnel relating to factors considered important during reclassification. Survey results indicated reclassification factors differed significantly from consideration used in the initial classification process as post-incarceration factors were the most significant items. This correlation is built into the Custody Determination Instrument. The following ten factors were considered the most important by DOC personnel relative to reclassification:

- ⊙ Escape or attempted escape
- ⊙ Assaults or threats against staff
- ⊙ Major disciplinary violations (other than assaults)
- ⊙ Assaults against inmates
- ⊙ Suicidal tendencies
- ⊙ Possession of a deadly weapon
- ⊙ Time spent in Disciplinary Segregation
- ⊙ Psychological instability of offender
- ⊙ Protective custody needs
- ⊙ Trafficking/contraband possession

Figure X-3 represents the scores given each reclassification factor by personnel category with the overall score computed by CSG for each factor.

4. Rationale: The system of security and custody classification proposed by CSG is not revolutionary in that it structures or formalizes time-tested practices that are currently, at least in part, in use by Division classification personnel. However, with the adoption of the proposed system, it is anticipated that there will not only be significant improvements in the operation and management of the classification process, but that it will be legally defensible in court and accepted as an impartial system by both staff and inmates. The advantages to the proposed system include:

- ⊙ Increase in efficiency and reliability of the classification process:

Correctional Services Group anticipates that should all the relevant data be available the custody decision instrument can be completed in less than 20 minutes per case. Tests conducted in other states have demonstrated not only is this type of system more efficient, but the decisions reached through its use were highly correlated with decisions made by current methods in all but extremely unusual cases.

- ⊙ Improvement in uniformity and consistency of offender classification decisions:

As can be seen in a review of the instrument, the proposed system is intended to enable classification decisions to be made according to valid factors, weighted according to the significance assigned to them by DOC staff. For example, the types of prior escapes are weighted according to their importance in determining future custody. Escape from behind a

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	Classification (N = 52)	Administration (N = 14)	Security (N = 39)	Mean*
Escape or Attempted Escape	9.31	9.42	9.88	9.44
Assaults Against Staff	9.21	9.12	9.68	9.30
Major Disciplinary Violations	9.08	9.14	9.61	9.26
Assaults Against Inmates (3 or More)	9.11	9.13	9.48	9.24
Suicidal Tendencies	9.07	9.09	9.21	9.12
Possession of a Deadly Weapon	9.08	9.03	9.18	9.11
Time Spent in Disciplinary Segregation	9.15	8.92	8.99	9.01
Psychological Instability	9.10	8.86	9.01	8.97
Protective Custody Needs	8.81	8.84	9.06	8.93
Trafficking of Contraband	8.70	8.61	9.20	8.88
Major Disciplinary Violations (3 or Less)	8.81	8.61	8.89	8.78
Previous Transfer(s) to Increased Custody	8.48	8.90	9.01	8.68
Threats Against Staff	8.30	8.59	9.08	8.59
Successful Participation in Community Release Activities	8.41	8.70	8.31	8.44
Successful Adjustment While Under Minimum Security	8.48	8.31	8.20	8.36
Possession of Contraband	8.21	7.98	8.98	8.30
Unsuccessful Participation in Community Release Activities	8.24	8.10	7.60	8.08
Minor Disciplinary Violations (3 or More)	7.98	7.78	8.40	8.01
Membership in Subversive Organization	7.62	8.10	8.03	7.80
Removal of Good time	7.43	8.02	7.60	7.61
Overt Homosexual	6.91	8.04	7.63	7.40
Meritorious Conduct	7.04	7.14	6.90	7.03
Program Involvement	6.80	7.21	7.11	7.02
Minor Disciplinary Violations (3 or Less)	6.60	6.99	7.21	6.91

Figure X-3 Reclassification Custody Determination Factors

closed perimeter is more important than walking away from a work release center and is weighted accordingly.

It is believed that this practice will increase the objectivity of classification decisions and allow staff to devote more effort to evaluating offender behavior, leaving the results of unacceptable adjustment as the rightful responsibility of the inmate.

- Improvement in the documentation of the classification decision:

The proposed system requires that certain types of offender and offense data are available at the time of initial classification. Such documentation will improve assessment and enhance the support of management decisions. It will also eliminate much of the unnecessary narrative that is employed in the current classification reports.

- Increase in the ability to determine the validity (predictive) and significance of factors used in classification:

The proposed system will enable staff to uniformly collect relevant information and establish correlations among classification factors. This system can also be used to provide feedback to classification personnel, both positive and negative, relative to the results of decisions made.

- Ability to include new factors and input:

The proposed system is capable of changing with the changing needs of the Division, inmate population and general public. It will also permit the incorporation of new knowledge in the field of classification.

- Maintenance of a system of classification that is responsive to individual inmate characteristics and needs:

In developing the proposed system, CSG staff employed a large number of factors that take into consideration the unique characteristics of offenders requiring classification.

This new custody determination system should also realize the following advantages specific to Missouri's correctional needs:

- Maintain the Missouri DOC inmate population in appropriate custody levels; provide for more appropriate assignments to the Division's various institutions; reduce the number of transfers for custody purposes; reduce the number of escapes, assaults and other serious disciplinary actions committed by DOC inmates; and reduce the number of inmates requesting placement in protective custody.
- Eliminate or at least significantly reduce preferential transfer of inmates between institutions. This often results in inmates being placed in facilities that are inappropriate in terms of custody and security.
- Assist the Division in making better use of available resources by facilitating its ability to plan for future inmate populations; to plan for new facilities; and to develop inmate programs and services, etc.

- Assist in the development of a formal, documented review process whereby each inmate's custody level is assessed to determine if he or she is assigned to the proper institution based upon the inmate's institutional adjustment during the preceding period.

A mock-up of each proposed Security/Custody Determination Instrument is included in Figures X-4 and X-5. The first figure represents the instrument to be employed in initial custody assessment and the second represents the instrument to be employed in reclassification procedures. The scoring instructions are to be found in Appendix C.

MISSOURI DIVISION OF ADULT INSTITUTIONS Initial Classification Score Sheet

Inmate Name: _____	Sentence Length: _____
Inmate Number: _____	Date Received: _____
Committing Status: _____	Date of Birth: _____
Current Offense(s): _____	Race/Ethnic Status: _____

Public Risk Score
1. Extent of Violence in Current Offense: _____
2. Use of Weapon in Current Offense: _____
3. Escape History: _____
4. Prior Commitments: _____
5. Violence History: _____
6. Holds and/or Detainers: _____
7. Time to Expected Release: _____
8. Community Stability: _____
Public Risk Level: _____
Institutional Risk Level: _____
Overall Custody Score: _____

Institutional Risk Score
1. Community Stability: _____
2. Prior Institutional Adjustment: _____
3. Protection Considerations: _____
4. Psychological Stability: _____
5. Adjustment while on Probation/Parole: _____
6. Alcohol/Drug Use: _____
Other Considerations: Notoriety of Crime(s) or Criminal: _____ Sophistication of Crime(s) or Criminal: _____ Gang Affiliation: _____ Enemies: _____ Suicidal: _____ Other: _____

**MISSOURI DIVISION OF ADULT INSTITUTIONS
Institutional Classification Score Sheet**

Inmate Name: _____ Last Previous Institution: _____
 Inmate Number: _____ C-Score Before this Rating: _____
 MDOC Institution: _____ C-Score After this Rating: _____
 Present Assignment: _____ Caseworker Name: _____

M-Score: _____ T-Score: _____
 MH-Score: _____ E-Score: _____
 P-Score: _____ V-Score: _____
 I-Score: _____ F-Score: _____

Adjustment Since Last Rating Period

- | | |
|--|---|
| 1. Program Involvement: _____ | 7. Involvement in Institutional Disturbances: _____ |
| 2. Work Assignment Performance: _____ | 8. Other Serious Disciplinary Violations: _____ |
| 3. Escapes/Attempted Escapes: _____ | Minor Disciplinary Violations: _____ |
| 4. Assaults on Staff: _____ | 10. Stress Situations: _____ |
| 5. Assaults on Inmates: _____ | |
| 6. Possession of Dangerous Contraband: _____ | |

Scoring:
 1 - Indicates Increase in I-Score
 2 - Indicates Decrease in I-Score
 P - Indicates P-Score Should Also Be Changed

Identified Stress Situations

- | | |
|---|--|
| 1. Death/Serious Illness in Immediate Family: _____ | 7. Release/Loss of Close Friend: _____ |
| 2. Recent Marital Problem: _____ | 8. Involvement in Pending Investigation: _____ |
| 3. Financial Problem: _____ | 9. Inmate/Institutional Pressure: _____ |
| 4. Parole Denied: _____ | 10. Other: _____ : _____ |
| 5. Adverse Court Action: _____ | _____ : _____ |
| 6. Psychological Instability: _____ | _____ : _____ |

Scoring:
 1 - None or Minimal Concern
 2 - Moderate Concern
 3 - Serious Concern

• As a result of the above ratings, is a modification of the inmate's P-Score appropriate? Yes
 No

If yes, indicate modified P-Score _____

• As a result of the above ratings, is a modification of the inmate's I-Score appropriate? Yes
 No

If yes, indicate modified I-Score _____

• If either the P- or I-Score changes, indicate change, if any, in C-Score _____

C. Analysis of Division Inmate Custody Levels

1. Approach: A custody analysis was conducted of a sample of DOC inmates stratified to partially represent the percentage of inmates assigned to present custody levels to determine whether inmates in the Missouri correctional system are overclassified or underclassified relative to risk and custody considerations.

The overall methodology for gathering data for this section of the study is based upon the methods employed in a recent comprehensive classification study conducted for the California Department of Corrections in 1979, and by CSG in Maryland in 1980. The methodology for the California sample study served as a guide for selecting sample size within the MDOC. Consequently, sample size for this report is always equal to or greater than that used in the California study. With the number in the sample equal to or greater than California's, and the population of Missouri's correctional system much smaller than that in California, the overall percentage for the current study is much higher in all categories than for the California study. It should further be noted that the number in the sample size as well as the percentage proportion of the entire population is within the standards for statistical sampling proposed by the Law Enforcement Assistance Administration.

There were several reasons for performing this aspect of the study. The overall goal, as stated previously, was to gather pertinent custody determination and risk screening information for a representative sample of inmates in Missouri's correctional institutions. The data was gathered for comparisons with custody classification scoring by other systems and standards, in order to provide the system with information about possible discrepancies in the present custody decision-making process relative to other approaches. The results were expected to identify the extent of overclassification or underclassification in the Missouri system, as well as provide additional information concerning appropriate custody and facility needs.

Correctional Services Group gathered data from a representative sample of 350 inmate files from institutions representing the different custody levels in Missouri's classification system. MSP represented the maximum security population. MTCM, CMCC and MIR represented the largest portion of the medium security sample. The Pre-release Center at Tipton, OCC, and the minimum security units at MSP, MTCM, CMCC, MIR and Renz (male) represented the minimum security population. Data was also collected from the two honor centers and several halfway houses in order to represent another portion of the custody assignments (community) of DOC inmates.

<u>Custody Level</u>	<u>Total Number Of DOC Inmates In This Custody*</u>	<u>Number In Sample**</u>	<u>% Of DOC Population</u>
Maximum (C-4/C-5)***	1,961	90	35.2
Medium (C-3)	2,480	160	44.5
Minimum (C-2)	787	68	14.2
Honor Centers/ Halfway Houses (C-1)	341	32	6.1
TOTALS****	5,569	350	100.0%

* Based on DOC population as of October 19, 1981.

** The number of inmate files selected from each custody level is included here for the reader's information.

*** A custody level similar to C-5 (Supermax) did not exist at the time of the survey.

**** Does not include the female population at RCC.

Concerning CSG's choice of data to be gathered and the instrument to be used for gathering this data, the following factors are pertinent. First, the overall intent was to gather the most critical areas of data for risk screening, while at the same time employing a form that could be scored to obtain an independent analysis of custody. Towards this goal, CSG considered the most widely used models across the country, including models based on decision trees, "additive" models, and other models based on psychological data, or with a computer analysis basis. In the end, the decision was made to utilize an additive model, since this was the most widely-used classification form (e.g., this is the form used by the Federal system), and further, this additive model was based on many of those same factors which would be the foundation of the data necessary for this report. This model is included along with instructions for scoring, in Appendix D in this report. The following comments relate to those factors considered in this format.

Initial Classification Factors

1. Detainer Information: In this category, information relating to types of detainers that may relate to custody determination were included, including date and severity of detainers that are outstanding for a given inmate;
2. Severity of Current Offense: In this category, the offense resulting in incarceration was noted and scored according to a specific delineation from low to high severity listed under the attached scoring instructions;
3. Expected Length of Incarceration: In this category, the length of incarceration was calculated according to the criteria in the instructions and including the length of time the inmate had already spent in incarceration. In addition, data was noted concerning the length of sentence as well as the beginning date of the sentence;
4. Type of Prior Commitments: In this category, all previous crimes as well as dates when those crimes were listed and scored according to the instructions in categories, ranging from no prior commitments to serious prior commitments;
5. History of Escapes/Attempted Escapes: In this category, instructions are included for rating previous escapes in terms of their severity on a scale of 0 to 7. In addition, these escapes were recorded in terms of the date, where they took place, etc.;
6. History of Violence: Again, specific instructions are included for scoring this on a 0 to 7 scale, from no previous violence to recent and serious violence. This history of violence does not include the current crime resulting in incarceration, but finds its basis in previous crimes or in disciplinary reports;
7. List of Disciplinaries: This category is not used per se in scoring in the additive format, however it was critical in obtaining the data necessary for the current report. Consequently, disciplinaries over the last five years were recorded as well as the dates of their occurrence and the disposition (amount of segregation time or cell restriction);
8. Other Considerations: In this category, special considerations were noted in a few cases where there were special medical, psychiatric, aggressive sexual tendencies, or threats to government officials.

Reclassification Factors

9. The Percentage of Time Served: In this category, scoring instructions are specific to determine the percent of time the inmate has served;
10. Involvement with Drugs or Alcohol: In this category, determination is made as to whether an inmate currently has a drug or alcohol problem (determined by disciplinary, etc.) or has had one in the past, or has never had one;
11. Mental/Psychological Stability: This category involves a scoring of "unfavorable" for inmates who are currently under psychotropic medication, or who have a combination of disciplinaries, or other reports relating to psychological instability;
12. Type of Most Serious Disciplinary Report: This category was scored only for serious disciplinaries reported within the last 12 months and includes in the scoring instructions a rating from 1 to 5 for the severity of these disciplinaries;
13. Frequency of Disciplinary Reports: Again, this is scored only within the last 12 months and relates to the number of total disciplinaries an inmate has;
14. Responsibilities the Inmate has Demonstrated: This relates to reports from correctional officers and information in the overall progress report of the inmate, as well as the disciplinaries relating to the overall level of responsibility demonstrated by the inmate;
15. Family and Community Ties: This relates to the level of contacts with family and family stability outside the institution as determined from information available in the base file.

It is also important to note that the third page of this form is utilized in scoring those factors related to reclassification to determine whether there should be a custody increase or decrease for a given inmate. In this sense, an inmate may initially be scored maximum, but may be listed as appropriate for a lower custody because of institutional behavior, length of time in the institution without disciplinaries, and related information.

It is important to point out that the attempt of this effort was to report and gather data in order to make custody determinations of inmates in the Missouri correctional system. It is important also to realize that the format utilized permits scoring of custody according to the most widely used system (the Federal format). In this sense, the data can be used for scoring to provide a separate determination of custody apart from Missouri's own custody determination. Consequently, it has been possible to determine whether all those inmates in a given custody, e.g., maximum, medium, pre-release, etc., would be placed, according to the format, in the same custody.

The overall procedure employed by CSG was to go to the various institutions, obtain a random sample of inmate's files then score them according to the areas described above. A stratified sample was obtained to reflect the actual number of inmates in each custody level assigned by the DOC. For example, approximately 35.2% of the DOC offender population was classified as maximum security on the dates of

the surveys. As a result a like percent of the inmate population at MSP was sampled or a total of 90 inmates. The exception to the stratification process was in the number of inmates selected from the honor centers. Since the percentage of honor center inmates is quite small when compared against the overall DOC population, a large number of inmates from the centers was selected to provide an adequate sample size. The difference was 3%.

Scoring of each inmate's folder took approximately 15 minutes, and in this sense correlates with both the procedure and time taken as reported in the California and Maryland studies. Several factors are worth noting that related to the data presented.

2. Findings: While not an empirical statement, the following comments concerning the overall data should be noted. First, in a nationwide survey of classification systems by the Fisher and Associates Research Center for the National Institute of Corrections, the most common situation was that inmates were excluded from minimum and community release settings who had almost any form of disciplinary. The general data gathered for this report clearly show that many of the inmates on minimum status did have disciplinaries, and in some cases, had serious multiple disciplinaries. Second, in most states, there were rather complex rules of eligibility criteria for minimum and community settings. For example, inmates who are confined for a sex crime, who are not within a year of end of sentence, or who have a history of violent crimes or any capital cases might be excluded. An analysis of the data, apart from an examination of the Division's eligibility criteria for placement in work release and pre-release, suggests that these rules are for the most part adhered to in Missouri's correctional system.

The following table represents the reclassification of the offenders in the sample group based on the utilization of the Bureau of Prison's custody guideline:

TABLE X-1

DOC CUSTODY LEVEL	PROPOSED CUSTODY LEVEL*				
	C-1	C-2	C-3	C-4**	C-5**
Maximum N = 90 (100%)	1 (1.1%)	7 (7.8%)	27 (30.0%)	47 (52.0%)	8 (8.9%)
Medium N = 160 (100%)	7 (4.4%)	13 (8.1%)	119 (74.4%)	19 (11.9%)	2 (1.3%)
Minimum N = 68 (100%)	11 (16.2%)	40 (58.8%)	13 (19.1%)	4 (5.9%)	0 (0.0%)
Honor Center N = 32 (100%)	24 (75.0%)	6 (18.8%)	2 (6.3%)	0 (0.0%)	0 (0.0%)
TOTAL NUMBER = 350 (100%)	43 (12.3%)	66 (18.8%)	161 (46.0)	70 (20.0%)	10 (2.8%)

*Correctional Services Group took the position that there are certain offenders who due to a history of violence, escape, serious institutional management problems and/or emotional disturbance, should not be assigned to a custody level (C-1) where they have unsupervised access to the community. Referring to the instrument, this included offenders who received high scores in combinations of the following categories:

- . Type of Detainer
- . Severity of Current Offense
- . Type of Prior Commitments
- . History of Escapes or Attempts (Individuals scoring a 7 in this category were automatically excluded from C-1, Pre-release)
- . Type of Most Serious Disciplinary Report

Other than a recent serious escape, time to release, and confinement for a sex offense, no one factor, no matter how high the inmate scored, precluded placement in C-1.

**Since the C-5 (Super Maximum Security) Level does not yet exist the C-4 and C-5 Security/Custody Levels will be combined for sake of later comparisons.

NOTE: Due to rounding off, percentages added across will not always equal 100%.

An analysis of the above findings determined the following:

- . Twelve percent of the total sample was assigned to the C-1 Security/Custody grade (Honor Centers/Halfway Houses) using the Federal Custody Instrument; 19% were assigned to C-2 (Minimum Security); 46% to C-3 (Medium Security); 20% to C-4 (Maximum Security); and 3% to C-5 (Super Maximum Security). (When the C-4 and C-5 percentages above are added a total percentage of 23% is arrived at which is the number that should be used for comparison purposes.)

The above findings compare to the current custody assignments of 6.1% for the Honor Centers; 14.2% for Minimum Security; 44.5% for Medium Security and 35.2% for Maximum Security.

- . With respect to the honor center system, 24 inmates or 75% should be in a center, based on time, offense and institutional adjustment factors. Of the other 8 or 25%, six or 19% should be in C-2 (minimum security), and two or 6% in C-3 (medium security).
- . Fifty-nine percent (40) of those currently assigned to minimum security should be in that custody level while 16% could be transferred to an honor center, (C-1), 19% to a C-3 (medium security facility) and surprisingly 6% to C-4, maximum security.
- . Almost 75 percent of the C-3 or medium security population is properly classified while 4% could be in C-1 (honor center), and 9% in a C-3 minimum security setting. Twelve percent should be in C-4/C-5 (maximum security).
- . Sixty-one percent of the C-4/C-5 (maximum security) population should be in such a close custody environment while 30% could be transferred to a C-3 (medium security) facility, 8% to a C-2 (minimum security) institution. Only one inmate was determined to be able to be considered for placement in C-1 (honor center).

Correctional Services Group's findings suggest that, based on the analysis of 350 inmate files, that the following should be the custody breakdown of the current male inmate population:

SECURITY/CUSTODY LEVEL	PERCENTAGE
C-5 (Super Maximum Security)	3
C-4 (Maximum Security)*	20
C-3 (Medium Security)	46
C-2 (Minimum Security)	19
C-1 (Honor Center/Halfway House)	12
TOTAL	100

*Includes Classification and Assignment Unit Population

- . In terms of over- and underclassification it would appear that more inmates are overclassified in the DOC inmate population than underclassified. (Sixty-six inmates or 18.9% in the sample were found to be overclassified versus 46 inmates or 13.2% underclassified.) As is expected in the analysis of a correctional classification system most of the overclassification is present in the upper security levels while the majority of underclassification is to be found in the lower security statuses. The overall number of inmates misclassified, again according to the analysis using the Federal instrument is 112 or 32.1%. Whereas overclassification generally effects only the inmate, and in some instances, the institution to which he or she is assigned, underclassification can also affect the general public. Inappropriate placement of an inmate in the pre-release center and honor centers can result, and often has, as indicated by recent statistics, in a large number of escapes and in a few instances, resultant criminal activity by inmates.

With respect to misclassification, CSG surveyed staff from each institution to determine their views as to the number of inmates in their institutions which they believed were either over- or underclassified. The table below represents the findings of this survey.

TABLE X-2
PERCEPTIONS OF CLASSIFICATION ACCURACY

CATEGORY	MSP	CMCC	MIR	MTCM	TIPTON	OCC	KCHC	ST. MHC	RENZ	TOTAL
Over-Classified Inmates	29.5	25.1	20.4	14.4	7.5	7.0	7.2	2.0	10.0	14.1
Under-Classified Inmates	14.0*	45.6	25.4	23.1	21.3	15.0	34.0	3.0	50.0	26.0
Properly Classified Inmates	56.5	29.3	54.2	62.5	71.2	78.0	58.8	95.0	40.0	60.0
	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

*Staff who indicated underclassification at MSP stated that there are a number of inmates needing more security than MSP can now provide but which should be available with the opening of the SuperMax Unit.

These findings suggest that DOC staff believe that overall, except for MSP, that there is more underclassification of inmates than there is overclassification. This, as is to be observed above, is contrary to the findings of CSG's instrument analysis. Based on interviews with DOC staff it appears that the differences between their perceptions and CSG findings is a result of the following:

- The Federal Classification Instrument does not assign significant weight to length of sentence or percentage of time served; two factors considered very important by most DOC personnel in determining an inmate's custody status; and
- DOC staff stated that the present overcrowding situation has caused a significant number of security risk inmates to be "forced" down into lower security facilities because that is where space is available. The following table depicts the results of interviews with staff at each DOC institution in which they were asked the affect of overcrowding on the Division's ability to accomplish effective classification.

TABLE X-3

DOES MISSOURI PRISON OVERCROWDING AFFECT PROPER CLASSIFICATION?

	MSP		CMCC		MIR		MTCM		Tipton		OCC		KCHC		SMCH		Renz		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Yes	9	90	3	33	10	91	8	89	4	100	5	100	4	66.7	3	75	1	33	47	77
No	1	10	6	67	1	9	1	11	0	0	0	0	2	33.3	1	25	2	67	14	23
Total	10	100	9	100	11	100	9	100	4	100	5	100	6	100.0	4	100	3	100	61	100

The above table shows that 47 or 77% of staff interviewed believed that the present bedspace problem was adversely affecting their ability to properly classify inmates while 14 or 23% did not see this situation as a major problem impacting effective classification.

Those staff that believe overcrowding is limiting their classification effectiveness identified the following types of problems resulting from the lack of space:

- Custody levels cannot always be changed when warranted and transfers are often delayed;
- There are insufficient work assignments and programs to classify inmates;
- Work crews are either over- or understaffed;
- Large caseloads prevent staff from devoting appropriate time and effort to classification;
- Inmates are being underclassified in order to go to available institutions which are generally less secure than their risk warrants; and
- Personalized plans are not being carried out.

3. Consistency in Classification Decision-Making

In addition to the possible effects of overcrowding on classification, CSG attempted to determine the effect of not having a formal classification instrument on the validity and reliability of classification decision-making on the part of classification personnel.

One of the age old arguments against the utilization of objective classification instruments, particularly those designed to determine an inmate's security and custody status, is that the judgement of correctional personnel is more accurate as staff, unlike a paper format, have the advantage of being able to acquire a personal knowledge of each inmate's behavior and personality. To an extent CSG would concur with this position, particularly where staff have the opportunity to observe a prisoner's behavior in a variety of environments, i.e., institutional, community, etc., and under a variety of conditions. However, most staff do not have the opportunity to do this as they generally know an inmate in one setting which is usually the confines of a secure correctional facility. As a result, the decisions these staff make tend to be primarily based on their experience with the prisoner and, to a lesser extent, except in those instances where the crime was of a rather heinous or sensitive nature, on their knowledge of the individual's criminal history.

Previous research in the classification of offenders has also shown that classification personnel employ different factors in determining the custody status of inmates. Even those staff who use the same criteria or rationale generally assign various weights to each factor. For example, one classification counselor may believe that the nature of the current offense is the most important factor in determining an inmate's custody level while another staff member may consider history of escape to be more important. Similarly, two

correctional caseworkers may both consider the inmate's prior institutional adjustment to be the most important factor; but while one may consider it almost exclusively in making a decision, the other may consider it to be only slightly more important than other factors.

In an attempt to evaluate the factors and weights assigned to each factor in actual classification decisions, CSG requested that 17 Classification and Assignment Unit and institutional classification staff review the file jackets for five inmates who were previously released from the Division. All identifying characteristics were removed to ensure that a caseworker was not personally familiar with the inmate. Staff were asked to provide decisions for three classification areas: custody level, institutional assignment and program recommendations. They were asked to review the information in each jacket and then make a determination as to what response they would make for each of these three principal classification decisions under normal conditions and present conditions. Normal conditions referred to a situation where bedspace was available to accommodate each staff member's decision no matter which institution the caseworker believed the inmate should be assigned. In addition, under normal conditions, sufficient and adequate programs corresponding to identified needs would be available. Present conditions referred to the current situation the Division is now experiencing as a result of overcrowding, budgetary cutbacks, the effect of court orders, etc.

In addition to the actual decisions each caseworker made relative to custody level, institutional assignment, and program recommendations, each was also requested to provide the rationale for his or her decisions. For example, should a caseworker determine from his or her review that the inmate could be designated as minimum custody, they were then asked to document their reason for making such a decision in terms of the various factors considered in making their decisions as well as the importance they assigned to each factor.

Table X-4 reports the findings of this exercise for each of the five inmate cases for the following questions:

- . Under normal conditions, what custody level would you assign this inmate to?
- . Rationale for Decision?
- . Under normal conditions what institution would you assign this inmate to?

Based on this exercise and subsequent analysis, it appears that several issues have surfaced which warrant further discussion:

- . Staff appear to have mixed views with respect to length of sentence as a factor used in determining an inmate's institutional assignment and custody level. Some staff considered this factor to be the principal variable in making these judgements while others tended to consider other factors pertinent to the offender such as nature of the offense, history of escape, prior institutional adjustment, etc.;

TABLE X-4

	Inmate #1	Inmate #2	Inmate #3	Inmate #4	Inmate #5
1. Under normal conditions, what custody level would you assign this inmate to?	Maximum (4) Medium (13)	Medium (1) Minimum (16)	Maximum (2) Medium (15)	Maximum (8) Medium (9)	Medium (16) Minimum (1)
2. Rationale:	Multiple Commitments Length of Sentence (4 Yrs.) Violent Offense Instability in Prison Escape History	1st Offense Nature of Offense (Non Serious) Age of Offender (Over 50) Length of Sentence (2 Yrs.) Skill in Needed Trade Lack of Violence	Lengthy Criminal History Violence in Offense Age of Offender (Under 21) Length of Sentence (8 Yrs.) Escape History Protective Custody Needs	1st Offense Nature of Offense No Violence Length of Sentence (13 Yrs.) Age (34)	1st Offense Nature of Offense (Property) Fairly Stable/Not A Management Problem Length of Sentence (7 Yrs.) Work Skills
3. Under normal conditions, what institution would you assign this inmate to?	MSP (5) MTCH (11) CMCC (1)	CMCC (5) RCC (4) OCC (7)	MTCH (8) MIR (9)	MSP (8) MTCH (9)	MCTM (5) MIR (12)

SUMMARY

Inmate #1 Staff generally concurred that due to a relatively short sentence, inmate could be assigned to MTCH and medium custody. However, four staff strongly disagreed stating that history of escape, the nature of violence in the current offense and a prior poor institutional adjustment, no less than maximum custody was warranted.

Inmate #2 Staff, except for one, agreed that inmate was generally a nonrisk offender who warranted minimal custody and could be placed in any of the Division's minimum security facilities. OCC was apparently given priority by the majority of respondents due to the inmate's original home and planned parole residence (Springfield).

Inmate #3 Although there was general concurrence regarding this inmate's custody level, there was considerable disagreement over which institution he should be assigned. Almost one-half of the staff believed this individual should be assigned to MTCH due to the length of sentence, while the other half believed he should go to MIR since it was his first offense and his young age.

Inmate #4 Considerable disagreement among staff relative to both this inmate's custody level and institutional assignment. The disagreement seemed to center around the length of sentence which was 13 years. Staff who recommend maximum custody and assignment to MSP believed that this relatively long sentence warranted close supervision in a secure setting. Other staff suggested that since there was no violence in the offense and further since this was the inmate's first offense, that only medium custody was necessary.

Inmate #5 Again, here is a situation where all staff, except one, agreed that this prisoner should be in a medium custody setting due principally to the length of sentence (7 years). However, there was some disagreement pertaining to his institutional assignment as five staff though MTCH was more appropriate than MIR while the remaining twelve personnel suggesting MIR believed it to be more adequate given the age of the individual.

Staff are further divided concerning the issue of age. Whereas approximately one-half of the respondents believed that age was a significant factor in classifying an inmate, the other half stated that the age of the inmate was relatively unimportant given the number of other security/custody factors that must be considered;

Prior institutional adjustment appears to be an important factor for many of these staff as their decisions indicated that this factor can supercede such factors as nature of offense and prior criminal history in deciding an inmate's custody level. Apparently, these staff believe that prior knowledge of how an offender will adjust to confinement is a better predictor of the individual's risk to the public and institution than his or her criminal behavior while in the community; and

Generally, most staff participating in this exercise did not feel that the current overcrowding situation was affecting their ability to make appropriate decisions with respect to institutional and custody assignments. Only three staff stated that in just eight instances would they have assigned the inmate to a different facility or security status should the appropriate institution and programs be available.

The overall finding from this exercise is essentially that classification personnel tend to be inconsistent in their decisions when factors that are not clear determinants, e.g., age, length of sentence, etc., of an inmate's institutional and custody assignments are employed in the classification decision-making process. Prior research by CSG and other groups has determined that only a few factors are both valid and reliable in their ability to effectively determine an offender's proper classification status. These factors (nature of offense, history of escape, history of violence, substance abuse history, and prior institutional adjustment) have proven to be quite accurate in this area.

4. Recommendations: Based upon the analysis of 350 inmate files, the inmate file exercise, CSG's observations of the Missouri classification system and our familiarity with research done in other states pertaining to security and custody determination, the following changes in the DOC's security/custody determination process are recommended:

An inmate's sentence length and percentage of time served should not be afforded the emphasis they are now by DOC in determining an inmate's security and custody level and institutional assignment. CSG recommends that the Division minimize the attention it places on its policies pertaining to these two interrelated factors due to their high correlation with the nature of offense. There should be no specific time period to determine an inmate's custody and security needs rather attention should be given to the extent of risk the inmate poses. Most staff would agree that a first offender serving a 50 year sentence for the murder of his wife presents significantly fewer security problems than an inmate with a history of violence serving 25 years for rape and robbery. Here not only the type of offense, but the motivation for committing it must be examined. CSG recommends that the present emphasis the DOC places on age as a classification criteria be reduced. It is understood that current statutes mandate youthful first offenders be assigned to MIR (dependent on sentence length). However, most research and the experience of other states and the Federal Bureau

of Prisons has been that age, should it be a factor considered in initial classification, is in itself an unreliable factor upon which to base an inmate's institutional assignment. Research done by the California and Illinois Departments of Corrections found, as most correctional officials already know, that younger inmates are more difficult to manage than older offenders. This difficulty is exacerbated when they are assigned to a separate and distinct facility apart from the general stabilizing conditions that more mature inmates tend to provide. In addition, the age factor has become increasingly irrelevant as the average inmate age has steadily declined, (28.1 in 1970 versus 24.6 in 1981) and the demand for available beds increases. It is inconsistent with sound correctional management to overcrowd several institutions because one has an age eligibility criteria which allows it to operate at less than capacity.

Inmates should be classified to the least restrictive custody required to protect society, staff and other inmates. Therefore, maximum security (C-5 and C-4) placements should be reserved for inmates who have demonstrated through past violent behavior that they are a serious threat to the safety and security of the institution. As is reiterated in this chapter and Chapter Eleven, no inmate should be initially assigned to C-5 unless his behavior in the Classification and Assignment Unit warrants such an assignment;

Similarly, the Division should conduct an extensive reclassification of those inmates which appear to be either over- or underclassified.

In a time when prisons are dealing with persistent overcrowding, aggravated by the likelihood of a growing population serving longer sentences, the problem of overclassification, estimated at 19%, is especially acute. If new state facilities are designed and built based on misclassification and misdirection, then it will make an already expensive process even more costly. Another serious consequence is that overclassification can lead to resentment from prisoners who feel unnecessarily restrained. This resentment can, in turn, lead to frustration and often to violence. Such a potential may be especially likely when the inmate has not been actively involved in the classification process.

To remedy overclassification in the immediate future and to prevent it in the long run, it is first essential to have specific, realistic definitions of each custody level suggested at the first part of this chapter which would include the types of behavior expected at each level, supervision requirements, and physical facility descriptions. Next, there must be a corresponding objective format for placement into the different custody grades based on relevant factors. Studies in Alabama, New Mexico, Rhode Island, and California, as examples, have consistently found deficits in the completeness and objectivity of custody definitions, and especially in the parallel custody scoring formats that would diminish the potential for such incorrect placement. Overclassification and its attendant problems serve to underscore the current need for change to a well-defined, more consistent, and empirically derived classification process.

The same issues hold true for the underclassification of inmates. When mistakes are made that enable dangerous inmates to be placed in a less secure setting than required the public becomes a potential victim. CSG's Maryland Classification Study found that over one-third of the inmates in the Maryland Pre-release System were serious security problems. This inappropriate assignment of inmates was the result of ineffective and inadequate selection criteria.

Although the extent of underclassification is not nearly as dramatic in Missouri, there is sufficient cause for concern based on the custody analysis findings which indicate that 13 percent of the Division's inmate population should have a security and/or custody increase.

The Division should consider additional issues pertaining to subjective classification other than just misclassification. The courts have found that overly subjective methods of placement at initial classification or reclassification are likely not to result in the proper assignments to prevent harm to or by any individual inmate. (Holt v. Sarver, 309 F. Supp. 362 (1970) aff'd, 442 F.2d 304 (8th Cir., 1971). In Laamar v. Helgemoe (437 F. Supp. 318, 1977) the court held that classification decisions "cannot be arbitrary, irrational or discriminatory." A Colorado decision established "that any system of classification must be clearly understandable, consistently applied, and conceptually complete."

D. Decision-Making for Minimum Security/Community Corrections

One of the most critical areas of classification is the assignment of inmates to minimum custody settings. The assignment of inmates to minimum security and community facilities in the Missouri Correctional system is certainly no exception to this for the following reasons:

- Inmates assigned to minimum or community correctional settings, particularly for long periods of time are subject to frustrations and temptations that may require greater maturity and responsibility than the average inmate and, for that matter, average person have. For example, an inmate may have the freedom to be away from the institution unescorted all day, but will not have the liberty to respond to a family or personal crisis or deal effectively with a long-term family need.
- Certain types of offenders may be unacceptable to a community. Sex and drug offenders particularly encounter major resistance in many communities. One incident by these types of offenders can result in overwhelming community reaction leading to jeopardy of the entire community corrections program.
- Another issue which has the potential for strong public reaction to a single occurrence is the issue of escape. Whereas an inmate is able to effect an excellent adjustment in an upper level, a minimum security facility is a new environment with a new set of problems, and may prove to be a more difficult adjustment. Since generally it is not necessary to plan or use force in an escape attempt from a minimum security or community center, the inmate who is having difficulty adjusting may simply walk off to respond to family problems or his inability to adjust.
- Another issue to consider is that most minimum security facilities have sparse programming. For example, the inmate may be involved in or in line for a job training program available only in a higher custody institution, yet he or she may be eligible for transfer to a minimum security program. Here the decision should be weighed carefully by the classification team and inmate to determine what programming will best enable the person to reintegrate themselves into the community.
- Finally, for those individuals whose major need is for reintegration, a minimum security facility with little on-site programming or a community-based program is adequate. For individuals who pose no security risk, but who have more than, as an example, 18 months to parole eligibility, then a facility with extensive on-site programs in lieu of work release, etc., would be appropriate. Such a unit could be part of (but physically separate from) a medium security prison, so that some sharing of medical, psychological, etc., services can occur. Programs in this type of facility should be geared to developing the person's self-concept, confidence, and skills in preparation for a successful community adjustment. Any outside privileges should be supervised and of no more than several hour's duration. (It does not seem wise for inmates with more than 18 months to parole eligibility to be placed in community security, unless there is a major shift in the philosophies of community corrections by the DOC.)

1. Analysis of the Pre-release, Honor Center and Halfway House Populations

Findings: CSG analyzed the complete 350 inmate sample to determine what percentage of this group, which represents the DOC general inmate population, should be excluded from participation in community corrections programs such as the Honor Center Program. The same criteria were used that were employed to re-classify the inmate sample using an objective instrument. Again, these criteria or factors include: history of escape, violence, sexual offense, poor institutional adjustment or emotional disturbance. "History" here is generally defined as two or more serious offenses although an inmate may have committed an offense which in itself is so heinous as to preclude his or her assignment to pre-release. Further, a serious recent escape or current confinement for rape would generally also prohibit him from participation.

Based on these factors alone (not considering time to release) 35% of the sample should not be assigned to a minimum security program where they would have unsupervised access to the public via work or educational release, community activities, etc. This does not mean that eventually many of these inmates could not be assigned to a minimum custody setting (C-2) where they would have additional internal freedoms but no unsupervised access to the community. In addition 25% of inmates now assigned to either the state pre-release center, honor centers and halfway houses should be in more secure institutions.

2. Screening for Pre-release and Community Centers

The Division has set forth fairly specific criteria and procedures regarding the selection of inmates for assignment to SCPRC, the honor centers and halfway houses. Specifically, Revised Rule 20-110.140, Institutional Transfers lists the following criteria which are employed in the selection of inmates for these facilities. See Table X-5. Rule 20-110.140 does permit staff to take exception to the escape rating when making pre-release assignment recommendations, probably to take into consideration the individual escape circumstances. However, no guidelines are given for documenting an exception. Again, this determination is left up to the individual discretion of the classification counselor. Further, it appears that the pressure to move inmates into lower custody has resulted in pressure to disregard some of these criteria in order to identify eligible inmates for transfer to the Pre-Release System. According to SCPRC staff over 15% of their inmates violate these criteria.

Pertaining to the issue of escape, there has been considerable comment and concern by state legislators, public and media over the increasing number of escapes from correctional systems and how more effective classification systems could reduce this number.

According to records provided by the Division, the following figures represent the number of escapes for the Missouri correctional system for the period from 1975 through 1981.

TABLE X-5
TRANSFER - ASSIGNMENT CRITERIA

Limitations	SCPRC	Honor Centers	Halfway House
Statutory Limitations	No Restrictions	Within 12 Months of Release	Within 6 Months of Release or on Parole Planning Status
Time Criteria ¹	A. Within 3 Years of Release or 10 Years Completed on Sentence B. Within 20 Months of Release C. Within 15 Months of Release D. Within 8 Months of Release	Within 12 Months of Release	Within 6 Months of Release ³
Detainers	No Detainers Present or Known	No Detainers Present or Known	No Detainers Present or Known
Offense Restrictions	Sexual Offenders Present Offense of Escape or History of Escape	Sexual Offenders Present History of Escape ³ History of Escape ³ History of Violence ³	Present Offense of Escape ³ History of Escape ³ History of Violence ³
Residency Requirements ²	No Restrictions	Prior Residency in General Area of Honor Center	Prior Residency in General Area of the Halfway House Assignment
Medical/Psychological Requirements	No Physiological or Psychological Difficulties	No Physiological or Psychological Difficulties	No Physiological or Psychological Difficulties

¹ Inmates serving sentences for Capital Offense (Death Penalty, 50 Years, No Parole) must remain at MSP.

² May be waived on case by case basis.

³ May be waived with notification from Board of Probation and Parole that inmate be placed on parole-planning status.

- A. General Population
- B. CEIA Program
- C. Honor Center
- D. Halfway House

YEAR	NUMBER		% OF DIVISION POPULATION
	Institutional	Community	
1975	40	-	.8
1976	68	-	1.4
1977	58	-	1.2
1978*	59	76	2.7
1979	43	163	3.8
1980	44	129	3.2
1981 (Oct.)	50	134	4.0**

*Community Center Program not open prior to this year

**Prorated for year

The number of escapes as can be seen from a review of these figures, has increased appreciably since 1975. This is the apparent impact of the increase in number of inmates processed through the pre-release honor center system beginning in the late 1970's. See Figure X-6. This graph depicts the number of escapes and/or "walkoffs" from the system each year.

As can be seen, inmates assigned to minimum security institutions, pre-release and Honor Centers have been involved in a substantial number of escapes as an apparent result of the accessibility they have to the community and minimal security precautions associated with the program. This created a considerable amount of public and media reaction in 1979 to a number of serious incidents prompting several legislators to call for a complete assessment of the Division's classification system particularly as it pertained to the assignment of inmates to minimum security facilities.

The number of escapes/walkoffs for 1980 ranks eighteenth for 38 states reporting escape rates for that year. It would appear that the number is quite high when compared to these other states. However, this assumption is not completely accurate for two reasons--one, some states reporting low rates do not report "walkoffs" as escapes which Missouri does; and two, several of the reporting states do not operate community correctional programs which precludes inmates from being able to walk off without considerable risk to themselves.

It would appear that some inmates will always continue to escape if given the opportunity which minimum security provides. To quote from the Joint Legislative Chairmen's Report on the Maryland DOC Classification System in CSG's Maryland Classification Study, "One must assume that a certain small percentage of inmates placed in minimum security will abscond, given the best of classification systems."

Several states (e.g., California and Illinois) which have developed very stringent screening criteria for placement in minimum security have experienced a reduction in high escape rates. The assumption here is that an effective classification system can aid in reducing escapes.

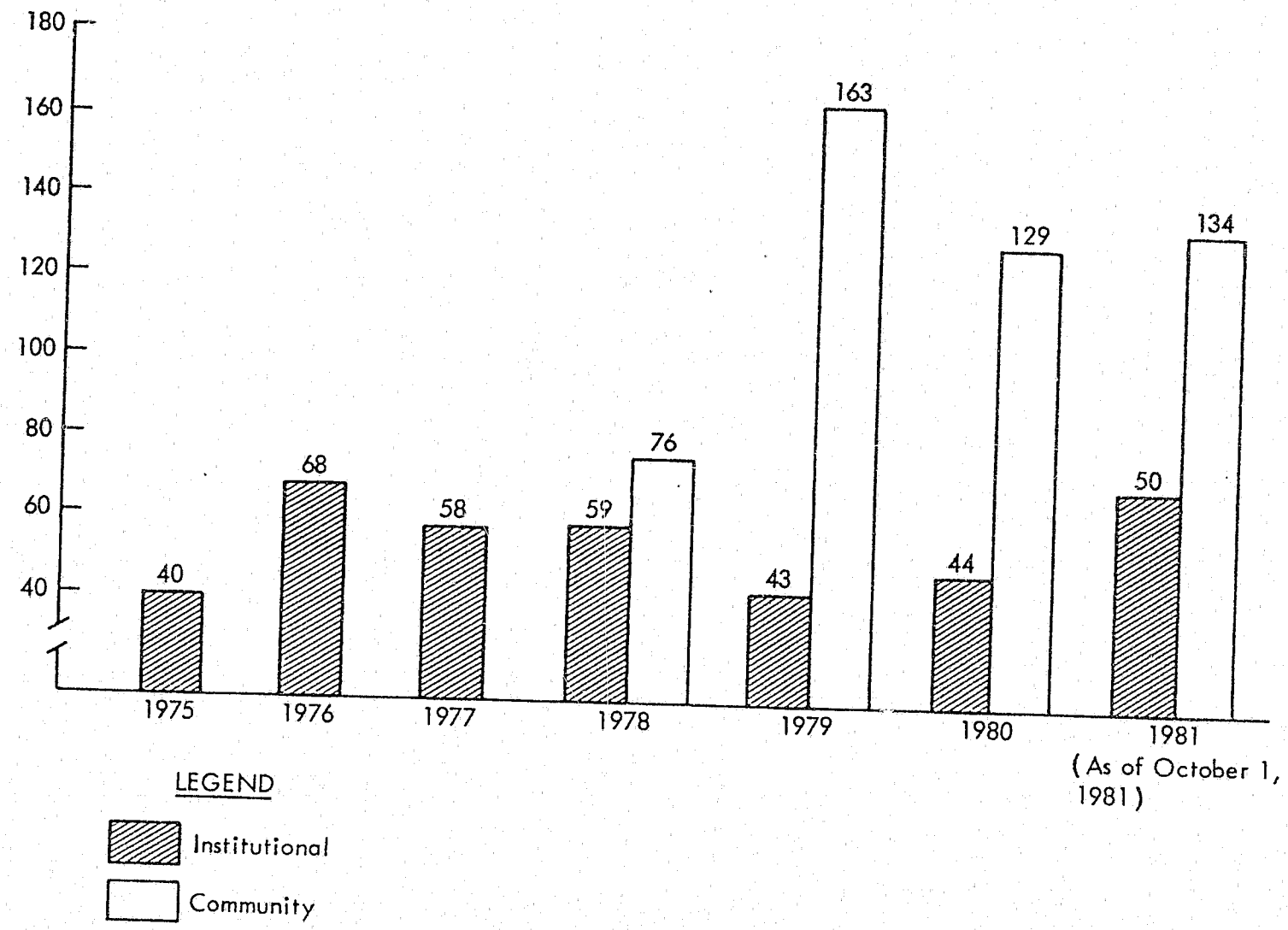


Figure X-6. DOC Escapes by Year

This strategy is effective, however, only for systems that do not have a significant number of minimum security beds. The application of unduly restrictive minimum security criteria to the DOC inmate population would reduce escapes significantly by placing the majority of offenders in secure settings (C-4 or C-3). Implementation of restrictive minimum security would be extremely difficult for the DOC given the short fall of beds in the Division and the belief that many offenders should be assigned to a nonsecure environment in the time period immediately prior to their release.

Correctional Services Group also examined a sample of 57 files of escapes in an attempt to identify if there are any common traits which distinguish escapees from non-escapees and to see if there are any characteristics related to the escapes that could serve to assist not only the classification process but also pre-release operations. It must be emphasized that this was only a limited effort which is not to be considered an in-depth analysis. However, this review demonstrated that there are several common characteristics that appeared quite often. These included:

- . Over 21 percent of the sample had a prior escape from a correctional institution of some type. This percentage increased to over 48 percent when AWOL's, bail-jumping, and other such behaviors were included;
- . Most of this sample, 67 percent, escaped after spending at least four months in a minimum security center. Only 18 percent escaped within the first 60 days after assignment to the system;
- . Particularly for the honor centers and halfway houses, 57% of the sample had a serious alcohol or drug abuse problem; and
- . Finally, over 36 percent of the sample had what could be considered to have been a poor institutional adjustment record, e.g., at least one serious institutional disciplinary violation.

b. Recommendations: The present selection criteria for pre-release are an excellent first step by the Division to objectively identify individuals who would not be appropriate candidates for pre-release and community placement. The Custody Determination Instrument proposed by CSG adheres to the same assumption upon which the criteria are based--that past criminal behavior is the best predictor of future criminal behavior and thus best determines custody needs.

CSG suggests that the Division also consider other selection criteria based on the analysis of escapes from community correctional programs and interviews with facility staff. These include:

- . Possible restrictions on inmates who have chronic histories of alcohol and/or drug abuse as these individuals not only are prone to escape but also create serious management problems in the center;
- . An extensive screening process should be employed for inmates determined to have unstable backgrounds prior to confinement, e.g., AWOL, truancy, run-aways from juvenile homes, etc. As stated earlier, such inmates comprise almost 50% of the escapee sample surveyed by CSG;
- . Likewise, inmates with serious institutional adjustment problems are generally unacceptable candidates for community programs, especially those

who are prone to insubordination and other rule violations related to not following Division rules; and who staff believe will be unable to adjust to an honor center or halfway house over a long period.

Finally, some inmates who should be given the opportunity to participate in community corrections programming for briefer periods of time than the normal 6-12 months. Again according to CSG's survey of escapees, many inmates do quite well for a substantial portion of their community assignment only to violate a rule or abscond immediately prior to release. The obvious difficulty would be identifying these inmates prior to their assignment to the SCPRC.

With respect to this latter issue, DOC staff from each institution were queried as to the optimal amount of time that an inmate should have prior to both pre-release and honor center/halfway house placement. The following table represents the responses to the first question, assignment to SCPRC.

TABLE X-6

TIME TO RELEASE/PRE-RELEASE CENTER

	MSP (N=12)		CMCC (N=9)		HIR (N=12)		MTCM (N=9)		Tipton (N=4)		OCC (N=5)		KCHC (N=6)		SMHC (N=2)		Renz (N=4)		Total (N=63)		
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
12 to 18 Months	6	50	3	33	6	50	5	55	2	50	3	60	3	50	1	50	1	25	3	49	
18 to 24 Months	1	8	0	0	0	0	1	11	1	25	1	20	2	33	0	0	1	25	7	11	
6 Months	1	8	2	22	1	8	0	0	0	0	1	20	0	0	0	0	0	0	0	5	8
6 to 12 Months	0	0	1	11	2	17	1	11	0	0	0	0	0	0	0	0	0	0	0	4	6
2 to 3 Years	1	8	1	11	0	0	0	0	1	25	0	0	1	17	0	0	0	0	0	4	6
3 Months	1	8	1	11	1	17	0	0	0	0	0	0	0	0	0	0	0	0	0	3	5
1 Month	0	0	1	11	0	0	1	11	0	0	0	0	0	0	0	0	0	0	0	2	3
3 Years +	0	0	0	0	0	0	1	11	0	0	0	0	0	0	0	0	0	0	0	1	2
No Response	2	17	0	0	2	17	0	0	0	0	0	0	0	0	1	50	2	50	7	11	

A review of this table shows that the most popular time to release period for inmates to have is twelve to eighteen months which almost 50 percent of the respondents selected. This compares to the established time criteria of three years for general population inmates, 20 months for CETA program inmates; 15 months for prospective honor center inmates, and 8 months for prospective halfway house transfers.

The following table represents the time to release DOC staff believe inmates should have prior to honor center assignment.

TABLE X-7

TIME TO RELEASE/HONOR CENTER/HALFWAY HOUSE

	MSP (N=12)		CMCC (N=9)		MIR (N=12)		MTCM (N=9)		Tipton (N=4)		OCC (N=5)		KCHC (N=6)		SMHC (N=2)		Renz (N=4)		Total (N=63)	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
6 to 12 Months	5	42	0	0	5	42	4	44	4	100	4	80	3	50	2	100	1	25	28	44
6 Months	3	25	6	67	2	17	2	22	0	0	1	20	2	33	0	0	1	25	17	27
More Than 12 Months	1	8	0	0	2	17	1	11	0	0	0	0	0	0	0	0	0	0	4	6
13 Months	0	0	2	22	0	0	1	11	0	0	0	0	0	0	0	0	0	0	3	5
9 Months	0	0	0	0	0	0	1	11	0	0	0	0	1	17	0	0	0	0	2	3
1 to 2 Months	0	0	1	11	1	8	0	0	0	0	0	0	0	0	0	0	0	0	2	3
No Response	3	25	0	0	2	17	0	0	0	0	0	0	0	0	0	0	2	50	7	11

Twenty-eight or 44% of the respondents stated that inmates should have between 6 and 12 months left to release prior to transfer to a community corrections center which is consistent with the criteria included in Rule 10-110.140 which provides a guideline of 12 months or less for honor center transfers and 8 months for halfway house transfers.

Correctional Services Group is not advocating that only those inmates who do not present a significant risk to the public or institution should be provided the opportunity to participate in pre-release programming. On the contrary, our position would be that all offenders experience extensive orientation prior to release.

However, it is strongly recommended that those types of inmates identified earlier; e.g., history of escape, violence, etc., not be permitted to participate in a pre-release program where they would be able to leave the institution without supervision. It is recommended that this group of offenders be afforded pre-release programming in their respective institution beginning 60 to 90 days prior to release. Those individuals presenting a marginal risk to the public, yet who are ineligible for C-1 (pre-release) should be able to participate in an unescorted community leave in the last 45 days of their sentence for the purposes of securing employment and reestablishing family relationships. Those inmates adjudged to be serious public risks, e.g., P-4 or P-5 should also be able to leave the institution for the same reasons; however, only with supervision.

Other pre-release programming for this group should include the following:

- . Counseling on what to expect after release;
- . Orientation to community social service agencies;
- . Training relative to parole supervision;
- . Referral regulations to employment and educational agencies.

It is also recommended that those inmates placed in pre-release generally not be assigned to this status for any longer than six months. As was documented in CSG's analysis of offender escape files most individuals who "walked off" from a

pre-release unit did so after having been assigned to the system for an appreciable period of time. Previous research has shown repeatedly that placing offenders in a "half-free status" such as pre-release or a halfway house program for extended periods often only invites misbehavior. The studies found that inmates tend to "forget" their prisoner status after several months, particularly when they have the daily opportunity of working and/or attending educational classes in the community.

Correctional Services Group also recommends that a priority system be developed pertaining to the selection of inmates for participation in pre-release and eventually an honor center or halfway house. This system would assign inmates based upon their Public and Institutional Risk scores and proximity to release to the priority categories from which inmates are to be selected in ascending order.

Correctional Services Group also suggests that the Division consider the direct transfer of inmates from the Classification and Assignment Unit to pre-release. This procedure would be especially effective when there are a minimal number of inmates in maintaining institutions who are eligible for minimum security programming. This would be especially advantageous for short-term inmates who are determined to be eligible for parole as soon as they are received into the Division.

Finally, it is recommended that offenders who are removed from pre-release, an honor center or halfway house due to a serious adjustment problem spend at least 12 months in a higher custody facility prior to reconsideration for C-2 or C-1. This should assist in curbing the "revolving door" syndrome that is now being experienced with a number of honor center violators "recycled" through the pre-release system within several months after their return from the center.

4. Community Corrections in Missouri

Escapes and new criminal offenses create problems for correctional systems in supporting community corrections programs and in the expansion of community programs for reasons other than the obvious threat to the public. These types of incidents significantly impact the criminal justice system in terms of costs and efforts associated with the apprehension, adjudication and increased confinement of escapees/offenders. These criminal justice system costs are extremely high in counties where minimum security facilities are located. These costs may well outweigh the savings in confinement expenditures normally associated with minimum custody operations since one of the justifications for minimum security historically has been the financial savings it has over maximum and medium security settings. These savings are not true in Missouri however, as the average per diem cost at the two honor centers is \$33.95 and SCPRC \$30.53. This is compared to \$12.96 for MSP and \$13.52 for MTCM.

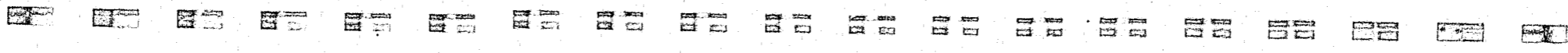
Another justification, in addition to cost savings, for the use of community corrections is the positive impact that such an assignment will have on an offender. Many correctional practitioners have long held that it is both a disservice to the public and the offender to release an inmate directly from a secure confinement into the community without any prior preparation for this adjustment. They assert that offenders should have the opportunity to make a gradual transition in returning to the community through the opportunity to obtain a job, take community leave and participate in related programs and services prior to release.

However, recent research has provided information which tends to question the success of such programs as work release, pre-release and community leaves particularly for offenders with a history of serious offenses. Studies conducted in

California, Minnesota and Illinois have provided some evidence that community correctional programs have failed to attain many of their stated objectives, particularly those associated with the reduction of future recidivism by program participants.

It may appear, based upon the previous findings and observations, that community corrections programs are not in the best interests of the State of Missouri. On the contrary, CSG believes that community corrections, particularly as represented by the pre-release and honor system and halfway houses should be supported by the Division as viable programs which have a major role both now and in the future of Missouri corrections. CSG takes this position for the following reasons:

- (1) Over 31% of inmates in the Missouri correctional system based on the custody exercise by CSG do not require the supervision and physical restraints normally associated with maximum and medium security institutions;
- (2) For many inmates, confinement in a prison results in hardships; e.g. sexual attacks, which far outweigh the rationale for ever confining the person in a traditional prison environment;
- (3) Community corrections programs provide inmates with numerous educational and vocational opportunities which are unavailable in usual prison settings;
- (4) Community programs provide the victim with the opportunity to obtain restitution from the offender;
- (5) The offender is often able to remain near family and friends, thus reducing much of the trauma normally associated with confinement in prison; and
- (6) Prisoners are able to engage in outside employment which brings about earnings and savings that would be unavailable if the individual were confined.



Chapter Eleven: Proposed Classification Model

CHAPTER XI: CLASSIFICATION FOR INSTITUTIONAL ASSIGNMENT PURPOSES

Earlier in this report considerable discussion was afforded as to how an inmate's Security (Public Risk) and Custody (Institutional Risk) levels should be determined. However, the classification system that CSG is proposing extends beyond only determining an offender's security and custody requirements as there are a number of other factors that must be considered when determining the appropriate institutional assignment for an inmate, principally during his or her initial assessment, but also during reclassification proceedings. For example, there are usually two factors which may supercede security needs in determining where an inmate should be assigned. These factors are Medical and Health Care Needs and Mental Health Care Needs which are particularly important in classification when either or both are so serious as to warrant consideration of assignment of the inmate to a setting which may not be commensurate with his security and custody needs. For example, an inmate requiring major surgery will be taken to an outside hospital even though his history of violence suggests he remain inside the walls at MSP. Obviously the "breach in security" for this inmate is necessitated by the life-safety considerations brought about by his medical needs. Similarly, an inmate who has a history of escape and violence may nevertheless be assigned to the Fulton State Hospital when diagnosed by the Division's psychiatrist as an active psychotic. Again considerations other than security and custody, this time mental health concerns, take precedence over the normal situation which would require confinement at MSP for this offender.

1. Findings: At present an inmate's security needs generally determine his institutional assignment. However, as indicated above, an inmate's medical and/or mental health needs may often override custody considerations.

CSG found that an inmate's security requirements are responsible for approximately 78% of all initial institutional assignments, program needs 9%, medical needs 6%, mental health and treatment needs 5% and miscellaneous needs the remaining 2%.

Staff stated that when making an institutional assignment a variety of other factors are considered which are not always directly associated with the classification of an individual inmate. These include:

- . Protective custody/separation issues;
- . Racial balancing;
- . Bedspace availability; and
- . Community reaction.

The overall finding relative to institutional assignment is that staff tend to employ a variety of factors in an often inconsistent and haphazard fashion guided only by Division Rule 20-120.140 Institutional Transfers. This finding was dramatized in the inmate institutional program and security assignment exercise findings reported in Chapter X.

2. Recommendations:

Based on the above considerations and the classification objective of matching offender needs with agency resources CSG recommends that the Division adopt a new method for assigning inmates to DOC institutions.

CSG specifically recommends that the Division implement a classification profile or grid which would incorporate those factors known to be important in determining

an inmate's institutional assignment. The grid, termed the Correctional Classification Profile (CCP), was developed to provide Missouri Correctional administrators with a single instrument to designate an offender's placement in a particular institution with the purpose of providing maximum protection for the public as well as permitting adequate management of the inmate in the facility for both protection of staff and other inmates. The CCP is designed to identify the programmatic and service needs of an inmate and provide correctional staff in the Classification and Assignment Unit with an effective and efficient reference for placement of the individual offender. It also serves as a monitoring tool to enable both institutional and Central Office staff to track the inmate's progress through the correctional system. This capability will be discussed later in this chapter.

The CCP employs the following nine factors to determine an inmate's institutional assignment and when appropriate, specific housing unit. It also assists in identifying and prioritizing various program and service needs and matching them with facilities which have programs designed to address these needs. The factors include, in order of priority, the following:

- . Medical and Health Care Needs (M)
- . Mental Health Needs (MH)
- . Security/Public Risk Needs (P)
- . Institutional Risk Needs (I)
- . Treatment Needs (T)
- . Educational Needs (E)
- . Vocational Training Needs (V)
- . Work Skills (W)
- . Proximity to Release Residence/Family Ties (F)

The definitions for each of these factors as well as the various scores for each factor are included in Appendix E.

Each of the factors is placed on the CCP in priority going from left to right on the grid. See Figure XI-1 below. For example, since an inmate's medical and health needs, particularly when they are serious, are usually more critical than his or her educational needs, the Medical and Health Needs factor is always assessed first. The classification counselor, after determining the M-score (provided by qualified medical personnel), moves from left to right analyzing and scoring each factor according to the inmate's needs in that specific area.

Missouri Division of Adult Institutions

CORRECTIONAL CLASSIFICATION PROFILE

FACTOR	Medical and Health Care Needs	Mental Health Care Needs	Security/ Public Risk Needs	Custody/ Institutional Risk Needs	Treatment Needs	Educational Needs	Vocational Training Needs	Work Skills	Proximity to Release/ Residence/ Family Ties
CODE	M	MH	P	I	T	E	V	W	F
CCP SCORE	5	5	5	5	5	5	5	5	5
	4	4	4	4	4	4	4	4	4
	3	3	3	3	3	3	3	3	3
	2	2	2	2	2	2	2	2	2
	1	1	1	1	1	1	1	1	1

Figure X-1. Correctional Classification Profile

It should be noted that Age was not considered as an important factor to be considered in determining an inmate's initial assignment. As stated earlier in this report both age and length of sentence are given minimal emphasis relative to determining both the security and custody needs of an offender. It is realized that both age and length of sentence are the two key eligibility criteria for assignment to MIR. However, and again as stated previously, recent research and litigation have held that age should not be a principal determinant of an offender's security placement. Length of sentence is generally correlated with nature of offense and this is generally accounted for. In those instances when sentence length is not correlated with the offense the CCP negates any disparity by eliminating the influence of sentence length in determining an inmate's Public and Institutional Risk scores.

The levels on the rating range from "5" to "1" with "5" being the highest or most important need and "1" being the lowest or least important. For example, an inmate receiving a M-4 score for the Medical and Health Care factor requires substantially more medical care than an inmate who is assigned an M-1 score. Similarly, an inmate receiving a V-2 score for Vocational Training Needs warrants considerably less assistance than an inmate with a V-5 rating. The important point to be emphasized is that the point scores are assigned based on the needs of the individual going from left to right on the CCP. These scores are then cross correlated with the capabilities of each institution in the Missouri Correctional System.

In most instances, the primary needs of the inmate (the first four factors; medical needs through custody needs) will determine an offender's institutional assignment. In addition, not all inmates will have their needs met at all levels. For example, an inmate requiring I-5 custody and V-5 vocational training will probably not be able to participate in a vocational training program until his institutional risk (custody) score is reduced to the level where he or she will not require extensive supervision outside of his/her housing unit.

As just stated, in order for the CCP to be of use in assigning an inmate, the capabilities of each institution must be known. Discussion in Chapter Nine: Institutional Capabilities/Inmate Profiles, centered on the perceived capabilities of each DOC facility by Division administrative and classification staff. Using this information, the results of the facility analysis (included in a separate report titled Missouri Correctional Facility Analysis), interviews with Central Office personnel and CSG's review of available programs and services, each institution was rated on its capabilities relative to each of the factors. (See Figures XI-2 and XI-3). The various Work Skills needed at each institution were unavailable. In addition, the Proximity to Release/Family Ties factor was not rated as the location of each facility for each individual inmate profiled is the only method for assessing the capability of the institution with respect to that factor.

The ratings for MDOC Institutional Capabilities Figure suggests that each of the DOC facilities are designed to be able to manage particular type of inmate with MSP followed by MTCM having overall the widest range of capabilities and the less secure facilities such as OCC and SCPRC the least. This is particularly true for inmates requiring extensive medical and mental health care and/or a secure prison environment.

On its simplest level, the CCP would be used as in the following examples:

Example #1

Inmate Don S. is received at the Classification and Assignment Unit and undergoes the medical, psychological and social assessments discussed in Chapter Four: Initial Classification. Upon completing this initial classification and diagnostic evaluation, Don's caseworker completes the CCP to determine his most appropriate institutional assignment: It is scored as follows:

MDOC INSTITUTIONAL CAPABILITIES

	Medical and Health Care	Mental Health Care	Public Risk/ Security	Institutional Risk/ Custody	Treatment Counseling	Education	Vocational Training	Work Skills
Missouri State Penitentiary	5-1	5-1 (Fulton State Hospital)	5-1	5-1*	4-1	5-1	4-1	Unknown
Missouri Training Center for Men	4-1	4-1	4-1	4-1	4-1	5-1	4-1	Unknown
Central Missouri Correctional Center	2	3-1	3-1	3-1	3-1	4-1	3-1	Unknown
Central Missouri Correctional Center Medium/Short Unit	2	2-1	2-1	2-1	3-1	3-1	3-1	Unknown
Missouri Intermediate Reformatory	2	3-1	3-1	3-1	4-1	5-3	3-1	Unknown
Missouri Eastern Correctional Center**	3-1	3-1	3-1	3-1	4-1	5-1	3-1	Unknown
Ozark Correctional Center	2	2-1	2-1	2-1	3-1	5-3	2-1	
State Correctional Pre-Release Center	2	2-1	2-1	2-1	4-1	-	2-1	Unknown
Renz Correctional Center	4-1	5-1 (Fulton)	5-1 (Female) 2-1 (Male)	5 (Female) 2-1 (Male)	4-1 2-1	5-1	4-1	Unknown
St. Mary's Honor Center	Community Hospitals	2-1	2-1	2-1	4-1	2-1 (Community)	5-1 (Community)	Unknown
Kansas City Honor Center	Community Hospitals	2-1	2-1	2-1	4-1	2-1 (Community)	5-1 (Community)	Unknown

* When Super Maximum Unit opens.

** Capabilities are based on projected programs.

Figure XI-2

INSTITUTIONAL PROGRAMS AND SERVICES

	Missouri State Penitentiary	Missouri Training Center For Men	Missouri Intermediate Reformatory	Central Missouri Correctional Center	Missouri Eastern Correctional Center
Education					
Special Education	Yes	Yes	Yes (Learning Disabilities)		
Grades 1 - 12	Yes	Yes (1-8) GED	Yes	Yes ABE/GED	Yes (1-8) GED
Junior College (AA)	Yes Draughn Business	Yes Moberly JC		Yes Linn Tech	Yes Community College
Four Year College (BA, BS)	Yes Lincoln University	No		Yes Lincoln University	No
Vocational Training					
Heating/Air Conditioning					Yes
Refrigeration/Air Conditioning	Yes	Yes			
Auto Mechanics		Yes	Yes		Yes
Building Trades			Yes		
Auto Body		Yes			
Major Appliances			Yes		
Machine Shop		Yes			
Horticulture			Yes		
Electronics	Yes	Yes	Yes	Yes	
Welding	Yes	Yes		Yes	
Office Machine Repair	Yes	Yes			
Meat Cutting	Yes				
Nurses Aid	Yes				
Computer Sciences	Yes				Yes
Small Engine Repair	Yes		Yes		
Furniture Refinishing					Yes
Dental Lab	Yes				
Woodworking			Yes		
Cullinary					Yes
Treatment Programs					
Individual Counseling	Yes	Yes	Yes	Yes	Yes
Group Counseling	Yes	Yes	Yes	Yes	Yes
Drug Therapy	Yes	Yes	Yes	Yes	Yes
	DEPART		Narcotics Anonymous Yes-AA	Yes-AA	Yes
Alcohol Therapy Special Programs	Audio Tapes for the Blind	Sex Offender Program	Osage Expedition Guides to Better Living		Sex Offender Program Orthomolecular Program

Figure XI-3

INSTITUTIONAL PROGRAMS AND SERVICES (continued)

	Missouri State Penitentiary	Missouri Training Center For Men	Missouri Intermediate Reformatory	Central Missouri Correctional Center	Missouri Eastern Correctional Center
Industries	Clothing Cleaning Wood Furniture Shoes Gloves Detergent License Plate	Metal Shop Sign Shop Laundry Print Shop			
Community Release Programs					
Work Release				Yes	
Educational Release	Yes			Yes	
Furlough	Yes	Yes	Yes	Yes	Yes
Volunteer Program	Yes	Yes	Yes	Yes	Yes

INSTITUTIONAL PROGRAMS AND SERVICES (continued)

	Ozark Correctional Center	State Pre-Release Center	Renz Correctional Center	St. Mary's Honor Center	Kansas City Honor Center
Education					
Special Education	Yes (Remedial Reading)	Yes ABE	Yes		Available in Community
Grades 1 - 12	Yes ABE		Yes	Yes GED	
Junior College (AA)			Yes	Yes	Yes Penn Valley
Four Year College (BA, BS)			Yes Lincoln U.	Yes Part-Time	
Other		Pre-Employ- ment Train- ing			
Vocational Training					
Refrigeration/Air Conditioning	Yes			Opportunity	Various CETA
Auto Mechanics	Yes			Clearing-	house
Building Trades	Yes				Project
Carpentry	Yes	Yes			Option
Welding	Yes				
General Business			Yes		
Data Entry			Yes		
Printing			Yes		
Sewing			Yes		
Cosmetology			Yes		
Drafting			Yes		
Treatment Programs					
Individual Counseling	Yes	Yes	Yes	Yes	Yes
Group Counseling	Yes	Yes	Yes	Yes	Yes
Drug Therapy		Yes 3x3 Program		Yes NASCO & Community Clinic	
Alcohol Therapy			Yes-AA	Yes-AA	Yes-AA
Prerelease Orientation		Yes	Yes	Yes	Yes
Special Programs	Fire Department	State Fair Detail	Assertiveness Training First Of- fender*	Opportunity Clearinghouse	

INSTITUTIONAL PROGRAMS AND SERVICES (concluded)

	Ozark Correctional Center	State Pre-Release Center	Renz Correctional Center	St. Mary's Honor Center	Kansas City Honor Center
Industries					Data Entry Quick Print Garment Factory
Community Release Programs Work Release	Yes (Also Super- vised Work Release)	Yes	Yes		
Educational Release Furlough Volunteer Program	Yes Yes	Yes Yes	Yes Yes	Yes Yes	Yes Yes

Missouri Division of Adult Institutions

CORRECTIONAL CLASSIFICATION PROFILE

FACTOR	Medical and Health Care Needs	Mental Health Care Needs	Security/ Public Risk Needs	Custody/ Institutional Risk Needs	Treatment Needs	Educational Needs	Vocational Training Needs	Work Skills	Proximity to Release/ Residence/ Family ties
CODE	M	MH	P	I	T	E	V	W	F
5	5	5	5	5	5	5	5	5	5
4	4	4	4	4	4	4	4	4	4
3	3	3	3	3	3	3	3	3	3
2	2	2	2	2	2	2	2	2	2
1	1	1	1	1	1	1	1	1	1

Based on the above scoring for Don S. it appears that he could be assigned to only two institutions, MSP and MTCM.

Rationale: Don has only minor medical concerns as indicated by his M-2 score which qualifies him healthwise for any of the Division's institutions. His MH-3 Mental Health Score limits his options to MSP, MTCM, CMCC, MIR, and MECC. The P-3 Public Risk and I-4 Institutional Risk Scores further limit his assignment alternatives as he is eligible for only MSP and MTCM. Had his I-score been a "3" or lower the caseworker would still have five institutions to work with in selecting a facility assignment for Don.

With the options limited to MSP and MTCM the caseworker proceeds further from left to right across the CCP to determine if either of these institutions would be more appropriate. Don's T-1 Treatment Score provides no help as any DOC institution can provide this level of service. Both institutions provide 5 levels of Educational Programming so this factor is also of no value. However, Don's V-3 Vocational Training score suggests he is in some need of this type of programming. Examining the DOC Institutional Capability and Programs and Services Charts, the caseworker is able to determine that MTCM provides a wider range of vocational training offerings than MSP. In addition, Don's Work Skills score of W-2 indicates he has little to offer any facility in terms of a needed trade so this factor cannot be considered to be of importance. However, Don does have immediate family from the Trenton area who will visit on a monthly basis. The proximity of MTCM to Trenton coupled with the Vocational Training consideration provided the caseworker with sufficient documentation to recommend Don be assigned to MTCM with MSP as a second choice.

Don's case was relatively simple as the range of choices was narrowed to two by the time caseworker reached the fourth factor, Institutional Risk.

Example #2:

Inmate Nick S. receives the following scores based on his initial assessment:

Missouri Division of Adult Institutions

CORRECTIONAL CLASSIFICATION PROFILE

FACTOR	Medical and Health Care Needs	Mental Health Care Needs	Security/ Public Risk Needs	Custody/ Institutional Risk Needs	Treatment Needs	Educational Needs	Vocational Training Needs	Work Skills	Proximity to Release/ Residence/ Family ties
CODE	M	MH	P	I	T	E	V	W	F
5	5	5	5	5	5	5	5	5	5
4	4	4	4	4	4	4	4	4	4
3	3	3	3	3	3	3	3	3	3
2	2	2	2	2	2	2	2	2	2
1	1	1	1	1	1	1	1	1	1

Rationale: Unlike the first example when Inmate Don S. was scored quite high in a number of priority factors, Inmate Nick S. was rated quite low in all factors until he reached the Educational Score. His low P and I scores indicate he could be assigned to any of a number of facilities. Given the general availability of beds in the lower custody institutions the caseworker would probably limit the options to CMCC, OCC or a minimum security unit at one of the other higher security units. If Nick met the eligibility criteria for SCPRC he could be sent there directly from the Diagnostic Unit.

His E-3 score in this category would only limit his direct placement into an honor center as they are generally geared to only provide educational training beyond 12th grade/GED. His E-3 score indicates he is in need of securing his GED and, other factors excluded, should be assigned to a facility which provides such programming. This includes all institutions except SCPRC.

Nick's W-5 score for Work Skills suggests he is to be considered as a journeyman, and/or master craftsman in one or more skilled trades normally needed by the institutions. It is important to note that the Work Skills ranking system is reversed from all other categories as a "5" score suggests considerable documented trade skills while a "1" score indicates minimal or no such skills. Again, it must be emphasized that the purpose of the CCP is to determine an inmate's institutional assignment and that an inmate who possesses a skill needed by one or more DOC facility presents a variable that should be considered in his placement. The Work Skill score need not be considered when an inmate has no available skills as it would not be a factor in his placement.

In this example Nick is a journeyman electrician, a skill much in demand at OCC. His relatively low F-2 score for Family Ties suggests he will not be receiving many visits and/or does not need to be located near his release residence. As a result of employing the CCP in this exercise, Nick's caseworker would assign him to OCC given there are no management considerations not addressed in the completion of the CCP.

The previous examples were provided to afford the reader with a preliminary overview of the CCP so that the basic concept can be understood. The classification profile that CSG is recommending the Division use to initially and institutionally classify inmates provides considerably more information as described in the remaining part of this section.

For each of the Factor Codes there are additional subcodes to provide additional information on the needs and status of each offender.

Medical and Health Needs Codes:

Few inmates entering the Missouri correctional system maintain the same medical status throughout the duration of their confinement. In an attempt to provide medical classification personnel with further information on the medical status of each inmate the following codes should be employed:

- M = Medical and Health Care Code
- Number (5-1) = Level of need
- T = Temporary condition
- P = Permanent condition
- I = Improvable condition (reviewed at least semiannually)

The Medical Code would be presented as such: M-Number-Status Symbol.

The following examples may better explain their use:

- Example No. 1: M-5-P = Inmate who has a permanently chronic and serious disease or physical handicap which causes him or her to be continually hospitalized.
- Example No. 2: M-4-T = Inmate who has a temporary medical problem which precludes work assignment, e.g. broken arm, but which will remedy itself over a generally brief period of time.
- Example No. 3: M-3-I = Inmate who has a medical problem that limits his activities but which should improve over time, e.g., acute back condition that can be improved through medication and exercise.

The rationale for a third code is twofold: one, it provides additional and needed information relative to both the present condition of the inmate and his or her prognosis, and two; it establishes a system for the periodic monitoring of an inmate's physical condition to maintain his or her health and to insure that their medical score is changed corresponding to changes in their health status. CSG found in the custody survey a number of inmates who were initially diagnosed as not being able to perform heavy work whose medical status improved significantly without a corresponding change in their medical classification.

Mental Health Needs Codes:

Essentially the same codes employed for the Medical and Health Needs can be utilized to provide additional information concerning changes in an inmate's mental health status; (level "3" and above):

- T = Temporary condition (This would generally refer to a brief period of emotional instability - 60 days or less - which will probably correct itself with the passage of time. Examples include loss of a close family member, initial trauma brought on by confinement, parole denial, etc.)
- I = Improvable (This type of instability could be improved with medication and/or therapy enabling the inmate to effect a fairly stable adjustment to his incarceration).
- P = Permanent (This refers to a long-term psychological problem possibly treatable via medication and hospitalization but with no appreciable changes foreseen).

Again the important point is that T and I rated inmates are not to be considered static relative to their mental health condition and should be monitored periodically (at least at their reclassification hearings) to assess if any changes have occurred since the last review.

Security/Public Risk Needs Codes:

As has been repeatedly stated, the two primary issues that staff must consider in assigning an inmate his or her P-score are history of violence and escape. Since the P-score is generally a function of these two factors it is important that the Division be able to readily identify which of these two factors, if not both, most significantly influenced the P-score rating assigned to the inmate. With this in mind, the following codes are recommended:

- V = Violence (Refers to an inmate who is likely to be violent should he or she escape or for any reason be able to have unsupervised contact with the public.
- E = Escape (Refers to an inmate who is a habitual escape problem and will likely attempt an escape any time security and custody are reduced).

Example No. 1: P-4-E = Inmate who is considered to be a serious escape risk with some concern for violence should an escape be successful.

Example No. 2: P-5-EV = Inmate who is considered to be extremely likely to attempt an escape and who is likewise extremely violent.

Custody/Institutional Risk Need Codes:

The codes for the two main types of Institutional Risk inmates are discussed in Appendix E. These are the Assaultive (A) inmate and the Victim (V) inmate. However, additional codes may be employed to provide additional information pertaining to the custody and supervision needs for an inmate. These include:

PC = Protective Custody (Refers to status when inmate is actually separated from general population and assigned to the protective custody unit of his or her institution.)

TP = Temporary Placement (Refers to a prisoner awaiting transfer to another institution who is being housed separately; new arrivals housed separately for a period of observation and orientation; and inmates who may be in immediate physical danger and who require temporary segregation from the general population.)

PL = Pending Litigation (Refers to an inmate awaiting disciplinary or criminal offense hearing(s) and who is temporarily, no more than one week, separated from general population).

ST = Suicide Threat (Refers to an inmate who staff have identified as either suicidal or a serious self-mutilator - status requires close observation and regular review).

Treatment Needs Codes:

This factor principally refers to the extent of an inmate's involvement in alcohol and drug use. The numerical codes discussed in Appendix E provide the basis for determining the severity of the abuse and corresponding treatment needs. However, staff may wish to know if the inmate is willing to do anything about his or her problem while confined. To provide staff with this information the following two codes are recommended:

M = Motivated (Simply refers to an inmate who, at least verbally, has expressed an interest in treating his abuse problem).

N = Not motivated (Refers to an inmate who, although a problem has been identified, - level "3" or above - declines to become involved in a treatment program).

Education and Vocational Training Needs Codes:

The same two codes as those used above for determining an inmate's motivation to become involved in treatment would be employed for both of these needs.

Work Skills Codes:

No additional codes are recommended.

Proximity to Release Residence/Family Ties:

No additional codes are recommended.

In order to hopefully enable the use of the CCP to be better understood, particularly given the application of additional codes, the following case is presented for review.

Inmate: Mike R.

RATING

- Medical and Health Needs Score: M-4-T
- Mental Health Care Needs: MH-2
- Security/Public Risk Needs: P-3-V
- Custody/Institutional Risk Needs: I-4-A-ST
- Treatment Needs: T-1
- Educational Needs: E-5-N
- Vocational Training Needs: V-4-M
- Work Skills: W-2
- Proximity to Release Residence/Family Ties: F-4

Mike R's scores would appear on the CCP as follows:

Missouri Division of Adult Institutions

CORRECTIONAL CLASSIFICATION PROFILE

FACTOR	Medical and Health Care Needs	Mental Health Care Needs	Security/Public Risk Needs	Custody/Institutional Risk Needs	Treatment Needs	Educational Needs	Vocational Training Needs	Work Skills	Proximity to Release Residence/Family Ties
CODE	M	MH	P	I	T	E	V	W	F
CCP SCORE	5	5	5	5	5	5	5	5	5
	4	4	4	4	4	4	4	4	4
	3	3	3	3	3	3	3	3	3
	2	2	2	2	2	2	2	2	2
	1	1	1	1	1	1	1	1	1

The ratings and subsequent graphing on the CCP tell us, in summary form, the following information concerning Mike R.

- He has a serious medical condition which is temporary which in turn will require medical reclassification in 90 days or less;
- Mike is fairly emotionally stable prone to minor periods of instability;
- He is a moderate public risk primarily due to his violence history while in the community;
- He is a serious custody problem requiring close supervision as he is both assaultive and suicidal;
- Mike has no problem with alcohol or drug abuse and will not require treatment in this area;
- Mike is essentially illiterate with no formal educational experience. Further, he does not wish to participate in any institutional education program.
- He has need for vocational training and, unlike his negativism toward education, is motivated to participate in some kind of vocational training experience;
- His work skills are minimal and would not be a factor in determining his institutional assignment; and
- It appears he has close family ties and if possible should be assigned to an institution near his release residence.

ADVANTAGES OF THE CORRECTIONAL CLASSIFICATION PROFILE

Advantages of the Correctional Classification Profile:

1. The CCP simultaneously objectifies and quantifies decision-making so that correctional administrators are in a position to better manage the inmate population of their institutions.
2. The Profile's structure provides an easily trainable format for both central office initial classification and institutional personnel. Because there is no computation necessary, classification staff can quickly review the Profile to determine the most appropriate location for an inmate within his institution or system.
3. The Profile enables classification staff to establish priorities for placement depending on changing demands on the correctional system. For example, the creation of new laws and policies further restricting inmate's movement and behavior can be provided for through adjustment of the CCP to reflect the new demands.
4. With increasing demands upon correctional systems to provide adequate security as well as program treatment for individual offenders, the CCP is able to provide each administrator, both on the central office and facility level, the opportunity of developing mandated guidelines for placement within his or her individual institution or system.
5. The CCP enables the system or institutional manager to identify resources that are lacking relative to meeting the needs of inmates within the agency, providing a justified base for future funding requests. An increase in particular categories of inmates, e.g. psychologically disturbed, with a particular set of needs can point the direction for justifying new programs to meet the demand on the system. The CCP can specifically identify the number of people who have the need as well as the lack of resources to meet those needs within a system.
6. The CCP provides concrete data for correctional planners relative to the designing of new facilities and programs. The CCP can serve to identify projected needs of the system based on a standardized identification of problems and issues.
7. The CCP promotes improved security whereby public and institutional risk inmates are placed in the most secure facility based on their past behavior in the community. (Protecting the community from dangerous escapees can provide a strong justification for the construction of prisons with appropriate security measures to protect the public.)
8. Classification staff will be able to more accurately monitor the effectiveness of their decision-making and adjust for changes in population intake, such as increases in inmates who are potentially harmful or violent to each other or to persons in the community.
9. Because the proposed assignment system allows for rating the inmate on each factor on the CCP, it provides the possibility of researching the effectiveness of programs addressing inmate programmatic needs. Information collected to be

used to determine an inmate's CCP rating can be easily computerized for analysis as the system becomes more sophisticated, yet it is inexpensive and usable at all levels of classification, including the institutional level.

10. The decision filtering system employed in the CCP allows for the "best fit" of the inmate's needs with the available resources within a system, while meeting the court's requirement for the least restrictive custody environment for each inmate. Many inmates, because of their job detail, may be housed in a more secure facility than their risk needs warrant. The CCP attempts to provide justification for placement based on not only the restrictiveness of the bed space, but the type of supervision involved in the work detail setting.
11. Another advantage in utilizing the CCP is that no math is required to compute the inmate's Security and Custody score. Further, minimal time is involved in the computation of the inmate's profile. This time-saving feature enables classification personnel more time to concentrate their efforts on difficult cases and exceptions to the CCP while providing an indepth evaluation of each case prior to placement.
12. The CCP, because of its design, requires the user to determine how the individual inmate fares on each factor. Present procedures do not force the classification caseworker to examine each factor's relevance in determining an inmate's institutional assignment. Thus, as indicated in Chapter X, staff employ not only different factors in making their decisions but also attach different weights to each factor.
13. The CCP permits the individual weighting of each factor to be changed to meet the changing population needs of a correctional system. It allows for the addition of new programs and new institutions with many and varied objectives. Whenever a new program is instituted, or the security arrangements of a facility change, the change can be easily adjusted in the weighting of each one of the factors on the CCP.
14. The CCP enables correctional administrators to provide documented, objective justification to the public of the needs of the system as well as the decision-making criteria upon which an inmate is placed in a particular facility.
15. Finally, the objectifying of decision-making on the part of the classification staff will result in more consistent evaluations of inmates which will result in improved placement decisions which in turn will lead to improved protection for the public, other inmates and institutional staff. Consistent and valid decision-making then is the objective of the CCP.

MONITORING OF CLASSIFICATION DECISIONS

The CCP, just like the inmate it profiles, is a dynamic classification that must be rescored any time a significant change occurs in the inmate's confinement experience or at the time of reclassification hearings. At the very least, the CCP must be employed in conjunction with the semi-annual review of the inmate's progress to determine whether stated objectives have been met for any of the programs on the CCP. This allows correctional staff to systematically and objectively assess changes in progress in a particular area or areas. The CCP and possibly the schedule can then be adjusted, if necessary to reflect improvements and problems that occurred during the rating period.

The CCP should also be changed at any time a significant change takes place concerning any of the nine factors particularly the first four (Medical, Mental Health, Security and Custody.) For example, should an inmate suddenly become psychotic this change would be instantly entered as would any sudden changes involving an inmate's security and/or custody needs.

Ideally, an individual should move down on the CCP (except for Work Skills and Release Residence) during the period of his or her incarceration. An inmate who is initially classified with ratings in the "3" and "4" levels would hopefully have had those scores reduced by the time he or she is released. This is another advantage to the CCP as it enables a staff member to quickly ascertain an inmate's progress (or digress) through the system and identify when and where (and sometimes why) an inmate's score increased or decreased.

IMPLEMENTATION

This report presents the first stage in development of a model for security, custody and programming determination, and for reclassification. Yet the CCP will be only the skeleton of a classification system; a comprehensive classification process depends on the effective implementation of the several components. In addition, it is imperative that this implementation come from top administration and carry completely through the system to all levels.

The CCP in this report is designed to be further developed to meet the needs of the Missouri Correctional System. The model includes definitions of the various custody and security levels, a scheme for initial classification and reclassification, guidelines for programs and program placement, as well as guidelines for dealing with specific types of inmates. The specific classification procedures, staffing patterns, etc., will be left to the DOC.

A major purpose of the CCP is to provide information about all of the necessary aspects of a system so that the classification administrator can develop a sound classification system. In adapting the CCP in this report, the process depicted below should be followed.

Once the CCP is instituted, the operation of the classification system must be changed to some extent. A new method of placement will have an effect on all of the aspects of classification discussed in this report. Throughout the entire process the persons responsible for implementing the system must work closely with institutional classification staff. The line staff will actually work with the system on a day-to-day basis, and must have the sense of "ownership" for the new process. Furthermore, they can give practical measures of whether the CCP and system will work.

Orientation and Training: It is imperative that all personnel understand at least the rudiments of the CCP's operation. A short (less than one day) orientation session should be held at each institution; attendance should be mandatory. The sessions should consist of small enough groups to allow for questions and answers (maximum of 20 people), and should be compatible with shift responsibilities. It may be necessary to offer a series of identical sessions and require each employee to attend the most convenient one. No one (particularly other area supervisors) should be exempt from this orientation.

All classification personnel must undergo a thorough training program so that they understand the workings of the classification system and their specific role in it.

The staff must be trained in the following:

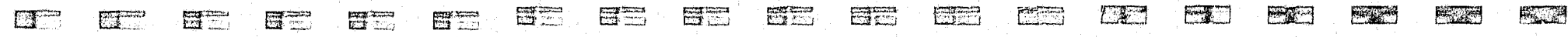
1. New policies and procedures, particularly:
 - a. Application of new custody/security definitions;
 - b. Changes in intake/reception process;
 - c. Changes in the role of Central Classification;
 - d. Changes in the institutional classification process.

2. Use of CCP, including:

- a. Gathering and verification of background information (social history, criminal record);
- b. Interpretation of psychological/psychiatric evaluations;
- c. Computation of custody designation from Initial Inmate Classification and Reclassification forms;
- d. Use of program summary (coding) and the making of program recommendations.

Training methods should vary according to the characteristics of the persons being trained, but should include:

1. General orientation to new system - statewide;
2. Instruction for each aspect of the system as it applies to the individual being trained;
3. Practice in usage of new forms, procedures - on actual files and role-playing;
4. Tests to measure understanding of new policies, etc., and use of forms and procedures.



**Chapter Twelve:
Classification Manpower Requirements**

CHAPTER XII: CLASSIFICATION MANPOWER REQUIREMENTS

A. Introduction

Another finding of this study that will not come as a surprise to the Division is that there are currently too few Diagnostic Unit and institutional classification staff to adequately perform the responsibilities assigned to them. Because the objectives of initial and institutional classification are different--initial assignment and reclassification, respectively--the manpower requirements necessary to perform these functions will be discussed in separate sections of this chapter. Other topics included in this chapter are staff training needs and supervisory functions.

B. Staff Complement:

The existing staff of the Classification and Assignment Unit, plus the Central Transfer Authority which is housed at Central Office, are depicted in the table of organization. (Figure XII-1). A review of the organizational chart shows that the following personnel are assigned to the Unit:

TITLE	FUNCTION	NUMBER
Director of Classification and Assignment	Administrator	1
Corrections Casework Supervisor	Caseworker Supervision	1
Corrections Caseworker II	Casework	2
Corrections Caseworker I	Casework	3
Psychiatrist	Psychiatric Consultant (part-time)	1
Corrections Officer I	Security	1
Clerk Steno II	Director's Secretary	1
Clerk Typist II	Report Preparation	1
Steno II	Report Preparation	1
Records Officer II	Records Office Supervisor	1
Data Entry Operator I	Data Entry	1
Corrections Officer III	Intake Supervisor	1
Identification Officer	ID's, fingerprints, photographs	1
Corrections Officer I	Security	1
Clerk Typist III	Clerical	1
Clerk Typist II	Clerical	2

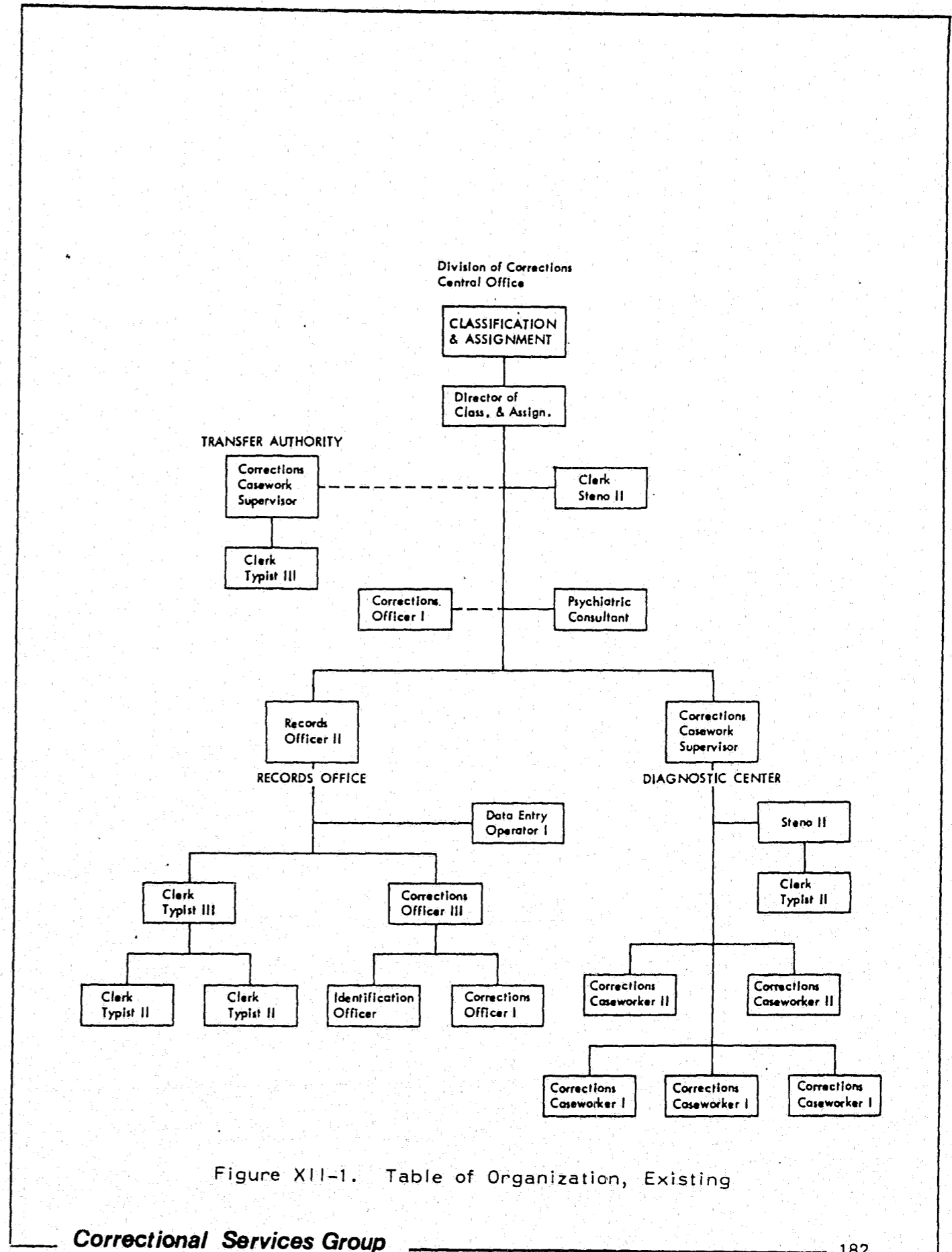


Figure XII-1. Table of Organization, Existing

This staff has been essentially the same in number and type since 1971 when the Division began experiencing a significant increase in the number of new admissions and parole violators. To dramatize this point, there were 20 unit staff in 1972 to process 1,889 admissions versus 20 current staff in 1981 to process 3,039 admissions. In addition, the number of offenders committed to the Division for the crimes of robbery, sex offenses, assault and murder has continued to steadily increase. (See Figure XII-2) Because of the violent nature of these crimes, these types of offenders require indepth assessment into such areas as motivation for the crime, factors underlying repetitive violent acts, etc., to determine initial public and institutional risk scores.

It can be seen from this brief historical review that while both the number of inmates and responsibilities increased appreciably during the past decade, the number of Unit staff has remained relatively the same.

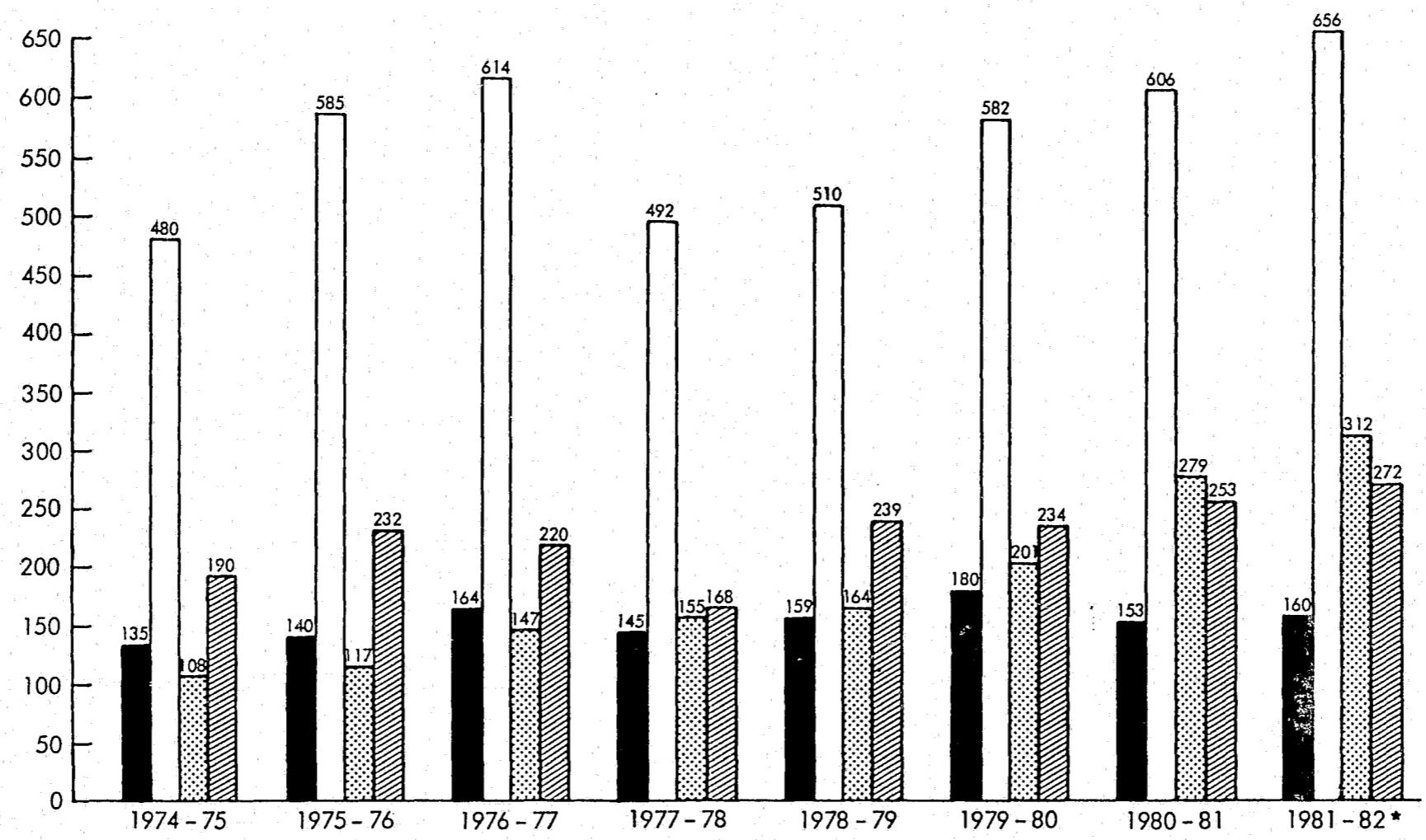
The assignment conference is the "quality control" step in the Unit's classification process. As discussed in Chapter IV, due to time limitations, the decreasing number of assignment options, and the high number of individuals being reviewed, this process is not as effective as it should be. The problems are not with Unit personnel, as they approach this task professionally and make every attempt to determine, given the above limitations, the appropriate placement and programming for each inmate. The problems are with the limited number of Unit personnel that are available to carry out this activity which, over the long run, is important to not only the inmate but the satisfactory operation of the MDOC's correctional centers. It is pointed out in considerable detail in Chapter IV that the Unit has a variety of important responsibilities all of which take 100 percent of the staff time of those personnel who comprise the Assignment Committee.

According to most national correctional standards pertaining to reception and diagnostic centers the number of inmates per caseworker per day should be from 2-3 which includes time for report dictation and classification team meetings. This is an average of 10-15 cases per week. Taking a central figure of 12 cases we can ascertain that each caseworker should see approximately 48 cases per month exclusive of vacations, holidays or sick leave. The Classification Unit is currently receiving an average of 260¹ inmates per month or 52 for each of the five caseworkers. This does not significantly exceed the recommended standard, however, the time-off figure has not been considered.

Computing for time-off by caseworkers, it is quickly seen that an additional 1.2 caseworkers are needed. The need for additional caseworkers is even more apparent since there is no psychologist to provide expertise in psychological evaluations nor is there a trained psychometrician to administer the testing program. Caseworkers are required to conduct testing which takes away from their interview and report production schedule.

A part-time psychiatric consultant is available for diagnosis, treatment and follow-up. The psychiatrist is present 3 days a month at the Classification Unit and 2 days at MTCM. A caseworker has been assigned to assist the psychiatrist at the Classification Unit in scheduling inmates for review where an average of 10 individuals are seen each visit.

¹Over the nine month period from January 1 through September 30 of this year.



LEGEND

- Murder
- Robbery
- Sex Offenses
- Assault

* Prorated Based on First Quarter Commitments

Figure XII-2. DOC Offender Intake for Violent Offenses

2. RECOMMENDATIONS:

With the aforementioned in mind, it is strongly recommended that the following staff be added:

- A Director of the Reception and Classification Unit to supervise unit staff and to manage the daily operations of the Unit.
- A Ph.D. Clinical Psychologist to oversee the psychological assessment and testing program. Such an individual could serve as a buffer between the caseworkers and the psychiatrist and could conduct group and individual therapy programs for individuals in need of treatment, particularly sex offenders for which there currently exists only one minor program.

The clinical psychologist would screen all files on newly committed inmates to determine those who warrant either additional testing and/or a personal interview immediately. Generally guidelines for seeing the clinical psychologist may include the following:

- Abnormally long sentences (50 years or over);
- Crimes of a sexual nature such as rape, incest, molestation of a minor;
- Violent and aggressive crimes such as all murders, first and second degree, and robbery first degree in which assaults are involved;
- Inmates whose test results indicate that they are within a dull normal range of intelligence;
- Any inmate committed who was certified to stand trial as an adult; and,
- A caseworker may refer any inmate to the psychologist for further screening.

• A professional psychometrician to oversee the Unit's testing program. As stated previously, this function is now carried out by caseworkers. Not only are these staff not properly trained to administer, score and interpret the majority of aptitude, achievement and personality tests employed by the Unit, but the time they devote to testing detracts from their interviewing and other normal casework activities.

• An additional caseworker to provide assistance with formal diagnostic procedures.

• An increase in the amount of time the psychiatric consultant is contracted with to diagnose, treat and conduct follow-ups. The present 5 days a month is not adequate to carry out these activities on an in-depth basis. The psychiatrist expressed concern that additional time was particularly needed to provide adequate group and individual therapy for offenders with a history of violence or sexual aberration.

- A male clerk typist to be assigned to the Reception area to prepare intake summaries, property reports, identification cards, medical screening reports, etc.
- Three Correctional Officer I's to supervise the movement of inmates from the Reception Area and Housing Unit to the Diagnostic Unit.

It is recommended that the Director of Corrections explore the possibility of interning clinical psychology students as well as school psychology students in the diagnostic unit on a regular basis, with clinical supervision coming from the university staff. The added expertise and clinical supervision from these individuals would not only help in training the diagnostic staff in new and appropriate assessment techniques, but would also result in an increase in manpower in the diagnostic unit to handle the rapid flow of inmates into the system. This is also an excellent way of screening out graduate students for future employment in the department, especially in the diagnostic unit; by having them already trained in the unit's procedures, it becomes much easier to rapidly enhance your system with previously trained individuals. It should be pointed out that school psychology programs usually concentrate very heavily on testing of youth and their masters and doctoral level students have a great deal of expertise in the individual testing of those inmates qualifying for assistance under mandated Special Education regulations. Persons requiring individual testing that is not available at the present time can be tested by a clinical psychology student who would have the time to deal one-on-one with a very specific battery to pinpoint problems identified in the broader, group test battery.

C. Institutional Classification:

1. General Findings: Analysis of the Classification manpower questionnaire indicates that staff turnover in classification/treatment personnel is not the problem for correctional administrators that it was 10 years ago. Table XII-1 shows that the average number of years current classification staff have been employed by the MDOC is 6.48 years. The range is from 10.6 years for Renz to a low of 2.9, reported by OCC staff. From these figures it may be concluded that the MDOC system does not have very many people new to corrections performing classification functions. On the other hand, low staff turnover can be detrimental to staff morale as it may keep otherwise qualified and dedicated staff in a position for so long a period, without hope of promotion, that they lose their enthusiasm for and interest in their work. Table XII-2 summarizes the average number of years, by institution, staff have been in their present positions. The average staff member has been employed in his/her present capacity for 3.35 years; however, this average is inflated by the high means reported by MSP (5.1 years) and Renz (7.8 years). Therefore, it would appear that the danger of possible staff burnout is the greatest for these two institutions. If this trend continues in these and other MDOC facilities, the Division may want to consider offering alternative incentives to staff for superior performance. If the Division cannot offer a promotion and/or higher pay, it may be able to offer more liberal fringe benefits, attractive staff development activities, extended leaves of absence, or possibly even staff exchanges among MDOC facilities or neighboring state facilities, for interested parties. Measures of this type can not only lead to more satisfied employees but also to more knowledgeable staff.

TABLE XII-1

NUMBER OF YEARS IN DIVISION

<u>MSP</u> (N=12)	<u>CMCC</u> (N=9)	<u>MIR</u> (N=12)	<u>MTCM</u> (N=12)	<u>SCPRC</u> (N=4)	<u>OCC</u> (N=5)	<u>KCHC</u> (N=2)	<u>SMHC</u> (N=2)	<u>Renz</u> (N=4)	<u>Total</u> (N=62)
9.1	5.8	8.6	5.5	5.3	2.9	4.0	3.6	10.6	6.48

TABLE XII-2

NUMBER OF YEARS IN PRESENT POSITION

<u>MSP</u> (N=12)	<u>CMCC</u> (N=9)	<u>MIR</u> (N=12)	<u>MTCM</u> (N=12)	<u>SCPRC</u> (N=4)	<u>OCC</u> (N=5)	<u>KCHC</u> (N=2)	<u>SMHC</u> (N=2)	<u>Renz</u> (N=4)	<u>Total</u> (N=62)
5.1	1.10	2.9	3.4	2.6	1.7	2.9	1.5	7.8	3.35

A comparison of staff's perceptions regarding their Division-specified job responsibilities versus what they believed to be their job responsibilities shows no appreciable difference. For example, staff believed that Division saw their major responsibility as participating in classification team hearings whereas they believed their primary job responsibility was to counsel inmates and secondarily to participate in team hearings. The maintenance of records and preparation of reports was believed to be an important Division-specified responsibility as well as an important staff-defined one.

Staff were asked via an open-ended question to identify the classification and nonclassification functions they perform during a normal work week and to assign an hourly figure to each to represent an estimate of the actual time they devote to each function. Table XII-3 represents the responses to this two-part question. It should be noted that the number of hours institutional staff spend in classification-related duties is not additive in relation to the number of hours spent performing non-classification functions as the numbers cited represent averages only. This table was developed primarily for its value for purposes of comparisons among institutions and between classification versus non-classification functions.

A cursory examination of the data contained in Table XII-3 indicates that the classification staff of most DOC facilities spend most of their work week in classification-related activities - the Division average is 30.1 hours per week. Although there are individual institutional differences, most staff devote the greatest number of hours to counseling inmates (12.9 hours) followed by participating in team or committee hearings (8.4).

The individual institutional nuances summarized next are functions of both the duties of the staff who completed questionnaires and the unique needs of the inmate population. This is, the Kansas City Honor Center staff report they spend more time handling inmate telephone calls than with any other function except counseling inmates. Renz staff spend an average of 4 hours per week meeting with the families of inmates. MSP, because of the high percentage of supervisors who responded compared to line classification staff, reported a significant amount of time being devoted to staff training and supervision (28.5 hours).

MSP is the one dramatic exception to the finding that classification staff devote most of their work week to classification functions. Even if the disproportionate number of hours spent in staff training and supervision is reduced to a level commensurate with the other DOC facilities, the percentage of time MSP staff devote to non-classification tasks appears to be excessive in comparison to the other facilities. For example, it appears that MSP staff spend more time, on the average, performing custodial functions such as inmate supervision, property control and inspections than they devote to crisis intervention - 9 hours versus 8.5. Further, MSP staff report that a significantly greater number of hours are devoted to participation on special committees than reported by the other facilities.

In spite of the caveat mentioned earlier regarding the addition of the number of hours devoted to classification to the number spent performing non-classification related tasks, the results presented in this table strongly suggest the overall number of classification staff is insufficient to meet the demands of the workload. This opinion was substantiated both during the workshop, in written response to the classification manpower questionnaire, and in interviews with Division staff.

TABLE XII-3

AVERAGE NUMBER OF HOURS PER WEEK SPENT PERFORMING CLASSIFICATION/NONCLASSIFICATION FUNCTIONS

	<u>MSP</u> <u>Hrs/Wk</u>	<u>CMCC</u> <u>Hrs/Wk</u>	<u>MIR</u> <u>Hrs/Wk</u>	<u>MTCM</u> <u>Hrs/Wk</u>	<u>SCPRC</u> <u>Hrs/Wk</u>	<u>OCC</u> <u>Hrs/Wk</u>	<u>KCHC</u> <u>Hrs/Wk</u>	<u>SMHC</u> <u>Hrs/Wk</u>	<u>RCC</u> <u>Hrs/Wk</u>	<u>Total</u>
<u>Classification Functions</u>										
Counseling Inmates	11.5	17.5	10.0	13.5	9.0	7.0	13.5	7.5	7.0	12.9
Team/Committee Hearings	9.5	10.0	10.0	10.5	8.0	11.0	4.0	2.5	10.0	8.4
Writing Classification- Related Reports	9.5	7.0	8.0	5.5	16.0	6.0	0.0	5.0	1.0	6.5
Staff Meetings	1.5	2.0	3.0	2.0	3.0	3.5	1.0	5.0	3.0	2.6
Informal Inmate Meetings	6.0	2.5	2.0	0.5	1.0	0.0	1.5	0.0	3.5	1.9
Total	38.0	39.0	33.0	32.0	37.0	27.5	20.0	20.0	24.5	30.1
<u>Nonclassification Functions</u>										
Staff Training and Supervision	28.5	2.0	1.0	2.0	10.0	0.5	2.5	10.0	6.0	6.9
Special Committees	11.0	0.0	2.0	2.0	0.0	3.0	4.0	0.0	4.0	2.9
Crisis Intervention	8.5	0.5	0.0	0.0	2.0	1.0	0.0	0.0	0.5	1.4
Supervision of Inmates	4.5	0.0	2.0	4.0	0.0	0.5	0.5	0.0	2.0	1.5
Property Control	4.0	0.0	5.0	0.0	0.0	2.0	0.0	0.0	1.0	1.3
Inspections	1.0	0.0	0.0	0.0	1.0	0.0	0.0	0.0	0.0	0.2
Therapy Group	1.0	1.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.2
Miscellaneous Paperwork	0.0	0.0	0.0	0.0	0.0	2.0	4.0	0.0	0.0	0.7
Meetings with Families	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	4.0	0.4
Miscellaneous Duties	1.0	0.0	2.0	5.0	0.0	2.0	4.5	10.0	0.0	2.7
Telephone Calls	0.0	0.0	2.0	0.0	0.0	0.0	6.5	0.0	0.0	0.9
Total	59.5	3.5	14.0	13.0	13.0	11.0	22.0	20.0	17.5	19.3

2. Staff Complement

a. Findings: With the exception of the Ozark Correctional Center and the Kansas City Honor Center, there is an acute shortage of casework staff within the Division.

Caseloads for almost all MDOC caseworkers are too large and unevenly distributed. This situation has resulted in a lack of continuity of inmate classification and a general inability of casework staff to become adequately familiar with inmates assigned to them. Further, over the past few years, the work load of caseworkers has increased significantly due to larger institutional populations, protective custody issues, a greater number of interinstitutional transfer options, increased numbers of program offerings, the proliferation of special committees, and the use of casework staff in nonclassification functions such as inmate supervision, inmate telephone calls and inspections. To compound this problem, these functions have gradually increased over time with no substantial increase in staff. Table XII-4 summarizes the number of current caseworkers, their caseloads, proposed caseload sizes and the number of additional casework staff needed to meet current workload demands.

Correctional Services Group has also found that there is an apparent deficiency in the number of support personnel to assist classification staff with their classification responsibilities. Clerical help is in short supply in most institutions preventing paperwork from being prepared in a timely fashion. This situation has required some classification staff to assist in clerical functions which further reduces the time they can devote to classification.

b. Recommendations: CSG recommends 20 additional caseworkers be added to the MDOC and be distributed among the institutions in accordance with Table XII-4.

The caseworker to inmate ratios proposed by CSG require further explanation and justification. A ratio of one caseworker for each 100 inmates is recommended for MSP, MTCM, CMCC and OCC. This ratio is suggested in order to provide the majority of MDOC inmates with personalized planning opportunities, counseling availability, comprehensive classification services and to facilitate staff accessibility.

CSG believes the caseloads for MIR caseworkers should be lower than for the other maintaining institutions primarily due to the functional unit system employed by MIR and to the types of offenders confined there. Youthful, first or nonservices offenders are considered by most correctional systems to be prime targets for intervention strategies. Staff intensive casework services are necessary to provide for this type of information.

The caseloads recommended for the pre-release and honor center system were computed based upon the missions of these facilities. Inmates in the last part of their sentences require additional casework time in terms of classification services, report preparation, orientation and the provision of counseling and related support services.

The LCC is obviously a unique institution in that it houses the MDOC's female inmate population. What is important in this consideration is that female inmates have unique problems and needs that require extensive casework services. For example, many of the women incarcerated within the MDOC have dependent children. Caseworkers devote a lot of their time to counseling these women, communicating with family members, and participating in informal meetings with these inmates and/or their families.

TABLE XII-4

MDOC CLASSIFICATION CASELOADS BY INSTITUTION

	Current Number of Caseworkers	Current Inmate Population	Current Ratio	Proposed Ratio	Number of New Positions Needed	Total Number of Positions Needed
Missouri State Penitentiary	15	1,996	1:133	1:100	4	19
Missouri Training Center for Men	8	1,275	1:159	1:100	5	13
Central Missouri Correctional Center	5	695	1:139	1:100	2	7
Missouri Intermediate Reformatory	4	663	1:166	1:75	4	8
Ozark Correctional Center	3	232	1:77	1:100	0	3
State Correctional Prerelease Center	2	171	1:85	1:50	1	3
Kansas City Honor Center	3	94	1:31	1:30	0	3
St. Mary's Honor Center	2	87	1:43	1:30	1	3
Renz Correctional Center	2	245	1:122	1:50	3	5
Totals	47	5,458	1:116	N/A	20	67

In addition, for the most part, female inmates are dependent people. As a result, they rely heavily upon casework staff to help them resolve their problems, i.e., financial, marital, familial, etc. A final consideration is the high incidence of mental instability that is found among female inmates. Adequate numbers of casework staff must be available to provide the necessary counseling and treatment services.

To further maximize the efforts of classification staff, four measures should be taken by the MDOC:

A thorough assessment of all paperwork functions, forms and reports should be conducted to determine what forms can be eliminated, reduced or assimilated into other documents.

Nonclassification functions should for the most part, be assigned to other personnel. It is realized that all institutional staff have more responsibilities than they can effectively handle. However, use of classification personnel in other unrelated activities has severely hampered the classification process which in turn has created problems system-wide.

Sufficient clerical support should be provided to institutional classification departments. One clerk typist for every three classification staff is recommended as well as one clerk typist for each classification supervisor.

In addition, the MDOC should invest in a word processing system to accelerate the production of what will be standardized classification documents.

A related problem, discussed elsewhere, is the lack of communications equipment. Transcription equipment, especially, would help both counselors and clerical staff perform their jobs more effectively.

It is incumbent upon Division policy-makers to analyze the manpower requirements of new policies and procedures before they are implemented and to request the number of staff positions that will be necessary to perform these new functions.

D. Classification Staff Needs

1. Training Needs

a. Findings: The present lack of training (both preservice and inservice) for classification staff was identified as a serious deficiency in the present system by classification staff and casework supervisors alike. The current program offered by the Training Academy is perceived as too general and not meeting the needs of classification staff.

Further, interviews with classification staff at all facilities indicated on-the-job training is given a very low priority if it is employed at all. Most staff learned classification principles and procedures from questioning other, experienced classification staff. This method is hardly the best training for ensuring consistent objective classification decision-making.

Questionnaires administered to classification staff asked them to list the training areas they would like to see included in a formal classification training

program. The following page lists these areas according to the frequency with which they were mentioned. Prior to the development of a formal program, a comprehensive training needs assessment should be conducted which focuses on such factors as supervisor's perceptions of staff training needs and the training needs of caseworkers and classification assistants.

b. Recommendations: The development and implementation of a formal preservice and inservice training program for classification staff should be a priority objective in coming years. As discussed in previous sections, development of these programs should be the responsibility of the Director of Classification and Assignment.

A 3 to 5 day formal inservice training program should be developed for presentation by the Academy to all classification staff currently employed by the Division. Once all staff have participated in this inservice or preservice classification training program, the Division may discontinue the Academy's inservice program and concentrate on providing regular one-day workshops on specialized topics suggested by staff or identified through a more formalized needs assessment.

On-the-job training is a responsibility of Casework Supervisors. The Assistant Superintendents for Program Services at each facility should require their Casework Supervisors to develop a general plan for providing on-the-job training and a yearly plan for providing regular in-house training sessions on special topics or problem areas.

2. Classification Staff Specialization

a. Findings: At the present time, caseworkers are too often expected to have the required knowledge and wherewithall to resolve diverse and often difficult inmate problems. Community referral resources have not been cultivated by most institutions to the extent they could be.

b. Recommendations: The concept of requiring persons holding certain staff positions to specialize in particular services needed by inmates, e.g., crisis counseling, job development, family intervention, etc., should be considered by the Division. Such specialization would result in improved services to inmates and possibly a more effective method for distributing "problem cases."

E. Supervisory Functions

1. Findings:

Table XII-5 summarizes the satisfaction of MDOC classification staff with the quality of supervision they are now experiencing. It appears staff feel their supervisors provide adequate administrative direction and interpretation of policies and procedures. Fewer staff are satisfied with the distribution of caseloads, the performance of personnel functions and the quality of in-service-training.

2. Recommendations:

Responsive and responsible supervision are essential components of an efficient and effective classification system. Therefore CSG recommends the MDOC upgrade its inservice training programs for classification staff and provide casework supervisors with additional opportunities to engage in staff development activities. The MDOC

TABLE XII-5

TRAINING PROBLEM AREAS

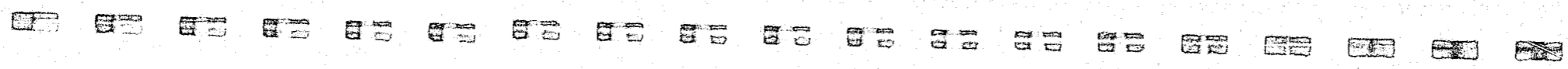
	<u>MSP</u>	<u>CMCC</u>	<u>MIR</u>	<u>MTCM</u>	<u>SCPRC</u>	<u>OCC</u>	<u>KCHC</u>	<u>SMHC</u>	<u>RCC</u>	<u>Total</u>
Counseling techniques	3	3		6	1	1			2	16
Therapy group training	4	1		1		1				7
Division policies/procedures	1			3	1	2				7
Training in areas of classification			1	2		2	1			6
Psychology	1	3			1					5
Interview techniques	1	1		2						4
Education in corrections	3					1				4
Inmate behavior	2			2						4
Refresher courses		3								3
Inmate rights						1	2			3
Security (custody) standards				1	1				1	3
Contemporary classification trends			1	1		1				3
Legal issues			2	1						3
Sociology		2								2
Amalgamation of treatment/custody	1									1
Self-defense course	1									1
Report writing						1				1
Stress management								1		1
Interinstitutional meetings				1						1
Counseling sex offenders				1						1
Inmate orientation/release	1									1
Use of community resources							1			1
Team classification						1				1
Methods of evaluating inmate adjustment				1						1
Body language training					1					1

TABLE XII-6

QUALITY OF SUPERVISION

	MSP N=12		CMCC N=9		MIR N=11		MTCM N=12		SCPRC N=4		OCC N=5		KCHC N=2		SMHC N=2		RCC N=4		Total N=61		
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
Administrative Direction																					
Adequate	9	75	6	67	9	82	10	83	4	100	4	100	2	100	1	100	4	100	49	83	
Inadequate	3	25	3	33	2	18	2	17	0	0	0	0	0	0	0	0	0	0	10	17	
Policies/Procedures Interpretation																					
Adequate	9	75	7	78	10	91	10	83	4	100	2	40	2	100	2	100	4	100	50	82	
Inadequate	3	25	2	22	1	9	2	17	0	0	3	60	0	0	0	0	0	0	11	18	
In-Service Training																					
Adequate	8	67	3	33	7	64	9	75	4	100	3	60	1	50	0	0	4	100	39	65	
Inadequate	4	33	6	67	4	36	3	25	0	0	2	40	1	50	1	100	0	0	21	35	
Performance of Personnel Functions																					
Adequate	5	45	7	78	8	73	8	67	3	75	4	80	2	100	0	0	3	75	40	68	
Inadequate	6	55	2	22	3	27	4	33	1	25	1	20	0	0	1	100	1	25	19	32	
Distribution of Case Loads																					
Adequate	8	67	7	78	6	55	5	42	4	100	5	100	2	100	1	50	4	100	42	69	
Inadequate	4	33	2	22	5	45	7	58	0	0	0	0	0	0	1	50	0	0	19	31	

should further determine the nature of the current dissatisfaction with how Casework Supervisors perform personnel functions. Perhaps, they, too, could benefit from an in-service training program on this topic. Most of the MDOC facilities CSG is familiar with assign caseworkers by a uniform system according to the newly received inmate's MDOC number, therefore, CSG is at a loss to understand why 30 percent of the staff noted dissatisfaction with the supervisor for this practice.



Appendix A: Jail Prisoner Classification Data Form

DEPARTMENT OF CORRECTIONS DIVISION OF ADULT SERVICES
CLASSIFICATION AND RECORDS
3117 WEST CLAY STREET
RICHMOND, VA 23230
JAIL PRISONER CLASSIFICATION DATA FORM

I. GENERAL STATISTICAL INFORMATION

True Name _____ AKA _____
Permanent Home Address: Street/RFD _____
City _____ State _____ Zip code _____
Person to be notified in case of emergency: Name _____
Address _____ City _____ State _____ Telephone _____

PLACE PRISONER
PHOTOGRAPH HERE

Sex () M () F Social Security# _____
Race () White () Black () Yellow () Other _____
U.S. Citizen () Y () N Date of Birth _____
Place of Birth _____
Ht. _____ Wt. _____ Color Hair _____
Color Eyes _____

II. LEGAL INFORMATION

Commitment Date: _____ Location: _____
Offense Charges: _____ Arresting Jurisdiction: _____
1. _____
2. _____
3. _____
4. _____
5. _____ Was bond set? () Yes () No
6. _____ Amount of Bond: _____
Attorney (Name, Address/Phone) _____
Presentence Report Prepared: () Yes () No () Unknown
Prepared by: _____ District: _____

III. PERSONAL HISTORY DATA

Do you have any medical problems? _____
Are you a diabetic? () Yes () No Are you an epileptic? () Yes () No
Have you ever been treated by a psychologist or psychiatrist? () Yes () No
When _____

Have you ever been committed to a mental hospital? () Yes () No
When _____
Are you currently taking any type of medication? () Yes () No
Why? _____
Describe _____

Were you under a doctor's care at the time of your arrest? () Yes () No
Name and address of Doctor _____

Attach a copy of the medical report. (Get subject to sign a release of information statement from the doctor. Attach copy of doctor's report to this form when it is submitted.)

V. SOCIAL DATA

Last school attended: _____ Highest grade completed _____
Employment: Last job held _____
Military: Branch _____ Dates _____ Type of Discharge _____

VI. CRIMINAL HISTORY DATA, IF KNOWN (CHARGES, DATES, RESULTS)

First Conviction of any kind () Yes () No
First Felony Conviction () Yes () No
Previous Juvenile Record only () Yes () No
Both Juvenile and Adult Record () Yes () No Now Wanted
Previous Probation () Yes () No a. For _____
Current Violator () Yes () No b. By _____

IV. COMMITMENT STATUS

	Date		Date
Awaiting trial	_____	Parole Violator	_____
Awaiting sentence	_____	On Writ	_____
Awaiting Appeal	_____	Other (Specify)	_____
Direct Sentence or Fine	_____		
Detainers	Number _____ Location: _____		

VI. METHOD OF RELEASE FROM LOCAL JAIL

a. Discharge () Probation and Parole () Bond () To Dept. of Corrections
Institution _____ Release on Own Recognizance ()
b. Earned good time- Days _____ / Good time lost- Days _____ / JTC- Days _____

PERSONS INTERESTED IN PRISONER

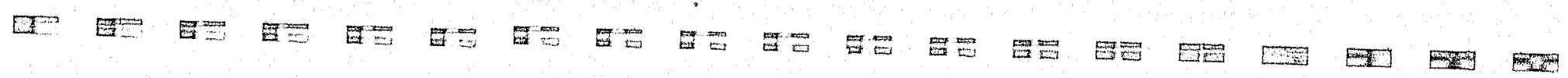
Name/Organization	Address/Phone
_____	_____
_____	_____

VII. INSTITUTIONAL ADJUSTMENT AND RECOMMENDATIONS

A. Program Participation

B. Disciplinary Infractions

Prepared by: _____
Title/



Appendix B: Administrative Segregation Instrument

I. PHYSICAL ASSAULT(S) ON STAFF

Report only instances in which a documented assault occurred or was averted by physical restraint.

Number of physical assaults on staff _____ x 5 points for each assault = _____

Weapon used in assault _____ x 3 points for each such instance = _____

Number of victims _____ (add 3 points if more than one victim was involved). Total points _____

Seriousness of assault(s):

_____ Death (add 5 points for each occurrence)

_____ Hospitalization [admitted as a patient] (3 points for each occurrence)

_____ Medical attention required (add 1 point for each occurrence) _____

Total Points for Section I

II. PHYSICAL ASSAULTS ON INMATES

Report only instances in which a documented assault occurred or was averted by physical restraint.

Number of physical assaults (including sexual assaults) on inmates _____ x 3 points for each assault = _____

Weapon used in assault _____ x 1 point for each such instance = _____

Number of victims _____ (add 2 points if more than one victim was involved). Total points _____

Seriousness of assault(s):

_____ Death (add 3 points for each occurrence)

_____ Hospitalization [admitted as a patient] (2 points for each occurrence)

_____ Medical attention required (add 1 point for each occurrence) _____

Total Points for Section II

III. ESCAPES/ATTEMPTED ESCAPES

Report only documented instances.

Escapes from a minimum security setting _____ x 1 point for each occurrence _____

Escapes from a medium security setting _____ x 2 points for each occurrence _____

Escapes from a maximum security setting _____ x 3 points for each occurrence _____

Violence involved in escape _____ x 3 points for each occurrence _____

Total Points for Section III

IV. POSSESSION/TRAFFICKING OF CONTRABAND

Report only documented instances

Number of incidents involving contraband _____ x 1 point for each occurrence = _____

_____ Drugs (add 1 point for each occurrence)

_____ Weapons (add 2 points for each occurrence)

_____ Trafficking (add 1 point for each occurrence)

_____ Death/Serious Injury (add 2 points for each instance where contraband resulted in death or serious injury) _____

Total Points for Section IV

V. INITIATING DISTURBANCE/UNREST

Report only documented instances

Number of incidents _____ x 3 points for each occurrence = _____

_____ Riot (add 3 points for each occurrence)

_____ Strike/sit in (add 1 point for each occurrence)

Seriousness of Actions

_____ Staff injuries (add 4 points for each occurrence)

_____ Inmate injuries (add 2 points for each occurrence)

_____ Damage to buildings, equipment (add 1 point for each occurrence)

Total Points for Section V

VI. SERIOUS RULE VIOLATIONS

Report only documented instances

Number of major disciplinary violations not included in Sections 1 through V above _____ x 1 point for each violation = _____

Total Points for Section VI

Total Points

CONTINUED

3 OF 4



Appendix C: Initial Classification Score Sheet, Instructions

INSTRUCTIONS

MISSOURI DIVISION OF CORRECTION
INITIAL CLASSIFICATION SCORE SHEET

This form is to be completed to reflect the status of each new offender at the time of arrival at the Diagnostic Unit for the current commitment or parole violation. Information necessary to complete the form is to be derived from relevant documents, including the Commitment Order, Presentence Investigation Report, State's Version of the Offense, Prior DOC records, etc.

Inmate Name: Enter the last name first, followed by first name and middle initial

Inmate Number: Enter the inmate's new DOC number

Committing Status: Enter whether inmate's commitment status is as a new commitment, parole violator or parole violator with a new commitment

Current Offense: Enter, in the case of multiple offenses or counts, the most serious offense as listed on the commitment Order

Sentence Length: Enter total sentence length from Commitment order

Date Received: Enter date inmate was formally received at the Diagnostic Unit

Date of Birth: Enter day, month, and year of birth

Race/Ethnic Status: Enter appropriate response based on the offender's self-report and Admission Summary verification

PUBLIC RISK FACTORS

1. Extent of Violence in Current Offense: Enter one of the following scores:

- 1 = None
- 2 = Threat
- 3 = Minor Injury (requires treatment on outpatient basis)
- 4 = Serious Injury or Death

2. Weapon Used in Current Offense: Enter one of the following scores:

- 1 = None
- 3 = Weapon Involved

Definitions:

Weapon: Operable firearm with ammunition or with ammunition in inmate's possession; knife or bladed instrument; dangerous instrument (an instrument that under the circumstances in which it was used or threatened to be used is readily capable of causing death or physical injury); explosives, incendiaries, etc.

Involved: In possession of the weapon at time of crime.

Correctional Services Group

3. Escape History: Enter one of the following scores:

- 1 = None
- 2 = Nonserious - over two years ago
- 3 = Nonserious - less than two years ago
- 4 = Serious - over six months ago
- 5 = Serious - less than six months ago

Definitions:

Serious: An escape from closed environment with or without threat of violence. Also includes escape from nonsecure facility with actual or threat of violence.

Nonserious: An escape (walkoff) from a nonsecure institution not involving actual or threat of violence. Also includes flight to avoid prosecution.

4. Prior Commitments: Enter one of the following scores:

- 1 = None
- 2 = Two
- 3 = Three or more

Commitment is defined as any time individual has been sentenced to a period of confinement in a state correctional facility.

5. Violence History: Enter one of the following scores:

- 1 = None
- 2 = One serious
- 3 = Two or more

Serious violence is defined as inmate's entire background of criminal behavior, excluding current offense, where a felony conviction resulted from a crime against a person.

6. Holds or Detainers: Enter one of the following scores:

- 1 = None
- 2 = Detainer which will likely not increase sentence
- 3 = Detainer would result in an additional sentence
- 4 = Detainer could result in death or life sentence

7. Time to Expected Release: Enter one of the following scores:

- 1 = 0-12 months
- 2 = 13-36 months
- 3 = 49+ months

8. Community Stability: Enter one of the following scores:

- 1 = Excellent
- 2 = Satisfactory
- 3 = Poor

Correctional Services Group

The Community Stability Score is a function of the following five factors:

- . Age
- . Marital Status
- . Education
- . Employment History
- . Military Record

These factors should be analyzed individually and in combination to arrive at the Community Stability Score.

The inmate's Public Risk (security) Score is determined by the highest score assigned to any of the above eight factors. For example, if an inmate has all "2's" except for a score of "3" on the Escape History Factor his Public Risk Score would be P-3.

INSTITUTIONAL RISK FACTORS

1. Community Stability: Same scoring procedure as for Community Stability Score in determining Public Risk.

2. Prior Institutional Adjustment: Enter one of the following scores:

- 1 = None or excellent
- 2 = Above average
- 3 = Average
- 4 = Below Average
- 5 = Poor

The Prior Institutional Adjustment Score is a function of the following factors:

- . Escapes (number and type)
- . Assaults on staff
- . Assaults on inmates
- . Possession of dangerous contraband
- . Involvement in institutional disturbances
- . Other major disciplinary violations
- . Minor disciplinary violations
- . Program involvement
- . Institutional work assignment
- . Adjustment on community leave
- . Other as deem important

3. Protection Considerations: Enter one of the following scores:

- 1 = None
- 2 = Minor
- 3 = Moderate
- 4 = Major

Definitions:

None - Self-explanatory

Correctional Services Group

Minor - Inmate is somewhat vulnerable due to physical size, age, lack of sophistication, etc. This rating warrants consideration by staff but should not be significant enough to require a change in inmate's I-score.

Moderate - Inmate has some need to be physically separated from general population. However, assignment to another facility and/or additional supervision could substitute for confinement in Administrative Segregation.

Major - Inmate needs to be physically separated from general population due to enemies, vulnerability, etc. This rating should play a substantial role in determining an inmate's I-score.

4. Psychological Stability: Enter one of the following scores:

- 1 = Emotionally stable
- 2 = Minor concerns
- 3 = Mild concerns
- 4 = Moderate concerns
- 5 = Serious concerns

Definitions:

Emotionally stable: no impairment or positive history of psychiatric disorder in the immediate family. Capable of handling any program or job assignment.

Minor: Minimal impairment from a psychiatric condition manifested by minor mental or emotional symptoms of a chronic or transient nature. Includes cases which require no special handling in the institution insofar as clinical services are concerned.

Mild: This rating would be reserved for inmates with a psychiatric condition of a latent or chronic nature. Although with care, program and/or job assignment of a routine nature is possible, there is an indicated need for professional clinical services on a regularly scheduled basis (psychiatric or psychological counseling and psychotherapy or regular medication). The Personality Pattern type of Character Disorder would be included in this group. These are: Inadequate personality, Schizoid personality, Cyclothymic personality, Paranoid personality. Cases of depression needing regular counseling are also included.

Moderate: Moderate impairment from a psychiatric condition of a latent or chronic nature. Case is not committable to another agency, but requires special handling either in the regular institution or in specialized units. Mental deficiency, mild psychiatric conditions who can respond to short term intensive treatment, etc., fall in this category. Character Disorders with a lifelong history of acting-out and any prepsychotics would be included here. Careful evaluation is necessary in making program and/or program assignments and only a limited number are available in the institution. Probable referral to a specialized program within the Division of Corrections or to a contracted agency will be necessary.

Serious: Extreme impairment from a psychiatric condition. Individual needs to

Correctional Services Group

be committed to Fulton State Hospital or is so markedly deviant that special handling in the institution hospital is necessary. Job and/or program placement is impossible in the correctional institution.

5. Adjustment while on Probation/Parole: Enter one of the following scores:

- 1 = Excellent or satisfactory
- 2 = Technical violation or misdemeanor and conviction
- 3 = New felony conviction

6. Alcohol/Drug Use: Enter one of the following scores:

- 1 = None or minimal
- 2 = Moderate
- 3 = Serious

Definitions:

None or minimal: Refers to inmates who have never been users of illegal drugs, nor do they drink on a regular basis. Neither they nor their family has ever sought treatment or advice on alcohol- or drug-related problems or those who have periodically become involved in drug or alcohol problems, but they have never changed their pattern of living as a result of substance abuse.

Moderate: These individuals have been incarcerated for an offense that was committed under the influence of drugs or alcohol and admit that they would not have been incarcerated for their actions if it were not for the fact that they were under the influence at the time they committed the offense.

Serious: This indicates that drugs and alcohol are the main reason he or she has been in trouble with the criminal justice system. Such individuals have a history of arrest for drug possession or have a history of being incarcerated for Driving Under the Influence or Public Drunkenness.

Inmates in this category may have also been arrested for drug trafficking; however, not all individuals with this offense will require treatment. Only those who indicate a need for treatment will be treated for such problems. Persons who are or have been addicted to heroin are in this category.

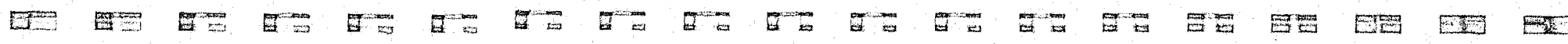
The inmate's Institutional Risk Score (custody) is determined by the highest score assigned to any of the above five factors. For example, if an inmate receives a combination of scores ranging from "1" to "4" the "4" score will dictate his Institutional Risk Score which would be I-4.

TOTAL SECURITY/CUSTODY SCORE

An inmate's overall Security/Custody Score is determined by where the P and I scores intersect on the following matrix.

	P ₁	P ₂	P ₃	P ₄	P ₅
I ₁	C ₁	C ₂	C ₂	C ₃	C ₄
I ₂	C ₂	C ₂	C ₃	C ₄	C ₄
I ₃	C ₂	C ₂	C ₃	C ₄	C ₅
I ₄	C ₃	C ₃	C ₄	C ₄	C ₅

An inmate receiving a P-score of P-3 and an I-score of I-4, for example, would have a C-score of C-4.



Appendix D: Custody Data Gathering Format

I. CUSTODY DESIGNATION

A. NAME AND INSTITUTION (NUMBER) Age B / W Other(list)

B. CUSTODY SCORING

Type of Detainer

0 = None 3 = Moderate 7 = Greatest Detail
1 = Lowest/low moderate 5 = High

Severity of Current Offense

0 = Lowest 3 = Moderate 7 = Greatest Crime
1 = Low Moderate 5 = High

Expected Length of Incarceration

0 = 0 - 12 months 3 = 60 - 83 months Sentence Begins
1 = 13 - 59 months 5 = 84 plus months

Type of Prior Commitments

0 = None 3 = Serious List of Crimes + Dates
1 = Minor

History of Escapes or Attempts

0 = None 3 = Recent Minor 7 = Recent, Serious (Detail)
1 = Past, Minor 5 = Past, Serious

History of Violence

0 = None 3 = Recent Minor 7 = Recent Serious
1 = Past Minor 5 = Past Serious

SECURITY TOTAL _____

Security Level C-1 = 0 - 10 points C-3 = 16 - 22 points
 C-2 = 11 - 15 points C-4 = 23+ points

List of Disciplinaries and Dates of Infraction with Segregation Time

OTHER CONSIDERATIONS

a. = Medical b = Psychiatric c. Aggressive Sexual d. Gov. Threat

Percentage of Time Served

3 = 0 thru 25% 5 = 76 thru 90%
4 = 26 thru 75% 6 = 91 plus %

Involvement with Drugs and Alcohol

2 = Current
3 = Past
4 = Never

Mental/Psychological Stability

2 = Unfavorable
4 = No referral or favorable

Type of Most Serious Disciplinary Report (Last 12 months)

1 = Greatest 3 = Moderate 5 = None
2 = High 4 = Low Moderate

Frequency of Disciplinary Reports (Last 12 months)

0 = 10 plus 2 = 2 thru 5
1 = 6 thru 9 3 = 0 thru 1

Responsibility Inmate has Demonstrated

2 = Poor 3 = Average 4 = Good

Family/Community Ties

3 = None or Minimal 4 = Average or Good

If Eligible for Security Level 1, are Medical and Dental Records Clear?

Y = Yes N = No

PRESENT SECURITY LEVEL	CONSIDER INCREASE	CONSIDER DECREASE	CONTINUE PRESENT CUSTODY
C-1	13 - 19	23 - 30	20 - 22
C-2	13 - 19	24 - 30	20 - 23
C-3	13 - 19	25 - 30	20 - 24
C-4	13 - 19	27 - 30	20 - 26
C-5	13 - 19	29 - 31	22 - 28

1. Type of Detainer

Enter the appropriate number of points in the box in the right-hand column to reflect detainer status. Refer to the Severity of Offense Scale section. Assign and enter the highest number of points appropriate. Determination is based on the nature of the charge of the most serious lodged detainer. Frequency, sentence length, and whether charge is open or adjudicated are not considered. If law enforcement officials indicate an intent to lodge, treat as lodged. Treat state sentences as detainers only if it is expected that the sentence will exceed the federal sentence. Serving consecutive sentences is not to be considered as detainer status.

<u>Points</u>	<u>Detainer</u>
0	None
1	Lowest and Low Moderate Severity
3	Moderate Severity
5	High Severity
7	Greatest Severity

Note: When an individual has two or more detainers, score highest rated detainer only.

2. Severity of Current Offense

Enter the appropriate number of points in the box in the right-hand column to reflect the severity of the offense. The severity is determined by the Scale in Severity of Offense section. "Current" refers to the most severe of the offenses for which the individual was convicted and sentenced for this period of incarceration.

<u>Points</u>	<u>Severity</u>
0	Lowest
1	Low Moderate
3	Moderate
5	High
7	Greatest

Example: Individual convicted of two counts of Breaking and Entering (Moderate), and one count of arson (High), use High = 5 points; write 5 points in the right-hand column.

3. Expected Length of Incarceration

Enter the appropriate code reflecting the expected length of incarceration in the right-hand column. This is completed by using length of sentence for current offense (if sentence expressed as a range, use highest number--e.g., 2-5 years would be considered as 5 years) and multiplying by the average percent (%) of the sentence generally served for that particular severity category of offense as determined by the Severity of Offense Scale. The Expected Length of Incarceration Scale in Appendix E reflects percentage of time served in the Federal system, yet this percentage may vary from state to state.

<u>Points</u>	<u>Expected Length</u>
0	0-12 months
1	13-59 months
3	60-83 months
5	84-plus months

Example: Utilizing the Federal system percentages, an individual convicted of Breaking and Entry (Moderate = 56%) and sentenced to 8 years; $8 \times 12 \text{ months} = 96 \text{ months} \times 56\% = 53.76 = 1 \text{ point}$. Write "1" in the box in the right-hand column.

Note: Life sentence equals 45 years or 540 months = 5 points, aggregate consecutive sentences.

4. Type of Prior Commitments

In the right-hand column, enter the appropriate number of points reflecting category of prior commitment history. This is determined by the kind of prior institution experience during criminal career and is based on the nature of the most severe offense which resulted in commitment. Commitment is defined as any time for which individual has been sentenced to confinement. Minor = Lowest and Low Moderate offenses which resulted in confinement. Serious = all offenses in the Moderate, High, and Greatest categories which result in incarceration. See Severity of Offense Scale.

<u>Scale</u>	<u>Type</u>
0	None
1	Minor
3	Serious

Example: If an individual has a previous incarceration for a crime which falls in the High category on the Severity of Offense Scale, such a prior incarceration would be considered Serious = 3 points. Write "3" in the box in the right-hand column.

5. History of Escape or Attempts (See also section, Criteria for Minimum Security Placement)

Enter the appropriate number of points in the right-hand column to reflect the escape history of the individual. History is defined as the individual's entire background of criminal convictions, excluding current offense. Escapes from institutions are to be recognized if the inmate was found guilty of the escape or attempt by an institutional discipline committee, regardless of the Prosecution and Conviction status of the case. Additionally, consideration is to be given to behavior relating to the current offense (such as flight to avoid prosecution) if reported in the Pre-Sentence Investigation Report. If more than one escape attempt, use most severe.

<u>Points</u>	<u>History</u>	<u>Definitions</u>
0	None	No escapes.
1	Past Minor	An escape more than five years ago from an open institution or program (e.g., camp, work release, furlough) not involving any actual or threat of violence. Also includes flight to avoid pending charges, if documented.
3	Recent Minor	An escape within the last five years from an open institution or program (e.g., camp, work release, furlough) not involving any actual or threat of violence. Also includes flight to avoid pending charges, if documented.
5	Past Serious	An escape more than five years ago from closed confinement, with or without threat of violence. Also includes escape from open facility or program <u>with</u> actual or threat of violence.
7	Recent Serious	An escape within the last five years from closed confinement, with or without threat of violence. Also includes escape from open facility or program <u>with</u> actual or threat of violence.

Example: Individual who jumped bail on current offense (Recent Minor) and who six years ago escaped a county jail by sawing through the bars (Past Serious). Use Past Serious = 5 points. Write "5" in the box in the right-hand column.

6. History of Violence

Enter the number of points reflecting the appropriate category in the right-hand column. History of violence is defined as the individual's entire background of criminal conviction, excluding current offense. However, institution discipline committee findings of guilt are to be recognized regardless of prosecution and conviction status, if known. Additionally,

consideration should be given to behavior relating to the current offense. Severity of violence is defined according to the degree of seriousness of the act which resulted in a fine or conviction. If more than one incident of violence, use most severe.

<u>Points</u>	<u>History</u>	<u>Definitions</u>
0	None	No violence.
1	Past Minor	Acts occurring more than five years ago involving persons or property which resulted in fines or misdemeanor convictions (e.g., simple fights, domestic squabbles).
3	Recent Minor	Acts within the last five years involving persons or property which resulted in fines or misdemeanor convictions (e.g., simple fights, domestic squabbles).
5	Past Serious	Acts occurring more than five years ago involving persons or property which resulted in felony conviction (e.g., assaults, intimidation involving a weapon, incidents involving arson or explosives, etc.)
7	Recent Serious	Acts within the last five years involving persons or property which resulted in felony conviction (e.g., assaults, intimidation involving a weapon, incidents involving arson or explosives, etc.)

Example: If an individual has a history of being fined for drunken fights while an adolescent--12 years ago--this would rate as Past Minor, and "1" would be entered in the right-hand column.

7. Special Considerations

Medical: An individual may need special consideration if s/he has medical problems that cannot be treated at an institution that normally would have been designated for confinement.

Psychiatric: Information relating that the individual needs special psychiatric assistance must be evaluated, and, in those cases, where appropriate, a designation to an appropriate security level facility with a psychologist/psychiatrist must be affected.

Aggressive Sexual Behavior: If an individual has a history of or was committed for a crime involving aggressive sexual behavior, s/he may not be appropriate for certain community custody placements.

Threats to Government Officials: Offenders convicted of threats of violence to government officials cannot be assigned to camps or military bases. (These cases will be referred for CMC inclusion.)

8. Security Level

Enter the number representing the total score for the appropriate security level. The Security Point Total is used to determine the inmate's appropriate security level according to the following:

<u>Points</u>	<u>Security Level</u>
0 - 10	C-1
11 - 15	C-2
16 - 22	C-3
23+	C-4

Example: If the security total is 20 points, the security level would be "C-3" since security level "C-3" has a point range from 16 to 22 points

CUSTODY SCORING

1. Percentage of Time Served

Enter in the right-hand column one number of points that reflects the percentage of sentence the inmate has already served on present sentence (at time of review) by the number of months of incarceration projected (Number 3 of Section A); if appropriate, give credit for jail time.

<u>Points</u>	<u>Percent of Time Served</u>
3	0 through 25%
4	26 through 75%
5	76 through 90%
6	91% plus

2. Involvement with Drugs and Alcohol

Enter in the right-hand column one appropriate number of points reflecting drug and alcohol abuse. This concerns any past or present documented abuse, including trafficking; "Past" refers to any documented history, including current offense during the past five years. "Current" refers to any documented use during this period of incarceration.

<u>Points</u>	<u>Involvement</u>
2	Current
3	Past
4	Never (or more than five years ago)

3. Mental/Psychological Stability

Enter one appropriate number of points in the right-hand column reflecting the inmate's status in this category. This is based on most current (within past year) psychological/psychiatric report regarding inmate's degree of mental stability.

The conclusion should be clearly stated in the report and is to be interpreted in light of whether or not inmate can handle less custody/security status. If Unfavorable, report must be recent (within last year) and documented by specific behavior occurrences. Unfavorable report means most current report does contain a finding that the individual shows evidence of serious mental instability. A Favorable report means no finding of serious mental instability in most current report. No Referral means the case was not referred.

<u>Points</u>	<u>Stability</u>
2	Unfavorable
4	No Referral or Favorable

4. Type Disciplinary Report(s)

Enter the points which reflect the type of most serious disciplinary report. This is determined by using the Disciplinary Severity Scale. Points are assigned based on the one most severe disciplinary report for which inmate has been found "guilty" by either the UDC or IDC during the past 12 months.

<u>Points</u>	<u>Type of Disciplinary Report</u>
1	Greatest Severity
2	High Severity
3	Moderate Severity
4	Low Moderate Severity
5	None

Example: In addition to being found guilty of "Being Intoxicated" (moderate), this individual was also found guilty of "Tampering with a Lock" (High). Use High as the one most serious and record "2" in the box in the right-hand column.

5. Frequency of Disciplinary Reports

Enter one appropriate number of points in the right-hand column that reflects the frequency of disciplinary reports. This is determined by assigning points based on the number of disciplinary reports for which the inmate has been found "guilty" during the last 12 months.

<u>Points</u>	<u>Frequency (Last 12 Months)</u>
0	10 plus
1	6 through 9
2	2 through 5
3	0 through 1

Example: Inmate had two "guilty" findings; enter "2" in right-hand column.

6. Responsibility Inmate Has Demonstrated

Enter one appropriate number of points reflecting the inmate's demonstrated level of responsibility during the past 12 months. This is based on the inmate's general demeanor as reflected in peer group associates, attitude, degree of program involvement, level of dependability, and nature of interactions with staff and other inmates. Poor, Average, and Good reflect the team's judgment based on available program reports.

<u>Points</u>	<u>Responsibility (Last 12 Months)</u>
2	Poor
3	Average
4	Good

Example: If the team judged the inmate to have demonstrated a poor level of responsibility, "2" would be entered in the box in the right-hand column.

7. Family/Community Ties

Enter one number of points in the right-hand column that reflect the level of family/community ties. This is determined by assigning points based on established and continuing family/community ties, which includes consideration of: Current marital status or nature of common-law relationship; nature of family support; regularity of visits/mail; degree of family stability in the community; and, inmate having a stable community-relationship with nonfamily persons.

<u>Points</u>	<u>Type Ties</u>
3	None or Minimal
4	Average or Good

Example: If the inmate's family/community ties are nonexistent, enter a "3" in the box in the right-hand column.

Custody Total: Add the points in Items 1 through 7 and enter the sum in this block.

Custody Change Scale: To determine eligibility for a custody change, the following scale is used:

<u>Inmate's Present Security Level</u>	<u>Current Custody Total</u>		
	<u>Consider for Custody Increase</u> If Point Range:	<u>Continue Present Custody</u> If Point Range:	<u>Consider for Custody Decrease</u> If Point Range:
C-1	13-19	20-22	23-30
C-2	13-19	20-23	24-30
C-3	13-19	20-24	25-30
C-4	13-19	20-26	27-30

EXAMPLE: An inmate with a security total of 18 points qualifies for a C-3 institution and would require a custody (reclassification total) of at least 25 to qualify for a possible custody decrease. Likewise, the same inmate would require a custody total of 19 or less for an increase in custody.

Severity of Offense Scale
(Also used for Detainers)

Greatest:

- Murder¹/arson/rape/sodomy
- Rape¹ (with weapon with which to intimidate life or any person who knows)
- Kidnapping
- Murder²
- Rape² (forcefully without consent or incapable of consent) and sex offense (2nd degree)
- Sex Offense (1st degree)
- Assault with Intent to Murder

High:

- Arson
- Armed Robbery
- Child Abuse
- Manslaughter
- Perverted Practice (without consent)
- Arson Dwelling
- Assault with Intent to Murder
- Robbery (General)
- Sex Offense (3rd degree)

Moderate:

- Assault (felony)
- CDS unlawful manufacture/distribution/possession with intent to distribute
- Sex Offense (4th degree)
- Handgun violation (deadly weapon)
- Burglary (NTHB)
- Sodomy
- Manslaughter (motor vehicle)
- Grand Larceny/Theft

Low Moderate:

RSG (\$100-)
Embezzlement/Forgery/Uttering
Malicious Destruction
CDS Simple Possession/paraphernalia (narcotic)
Fraud (public and medical assistance)
Larceny after trust (felony)
Auto theft
False Alarm
Perjury
Forged Prescription
False Pretense
Shoplifting

Low:

Rogue & Vagabond (Felony)
Disorderly conduct
Soliciting for prostitution
Petty Larceny/Theft (\$100+)
Unauthorized use
Trespass
Criminal non-support
Possession of marijuana
Telephone misuse
Shoplifting (misdemeanor)

Disciplinary Severity Scale

GREATEST CATEGORY*

Killing
Assaulting any person (includes sexual assault)
Escape from escort and/or escape from a secure institution
(Security Level 2 through 6), or from S-1 with violence
Setting a fire
Possession or introduction of a gun, firearm, weapon,
sharpened instrument, knife, dangerous chemical, explosive,
or any ammunition
Rioting
Encouraging others to riot
Taking hostage(s)
Conduct which disrupts or interferes with the security
or orderly running of the institution (conduct must be
of the Greatest Severity nature)

HIGH CATEGORY

Escape from unescorted Community Programs and activities
and Open Institutions (Security Level 1) and from outside
secure institutions---without violence
Fighting with another person
Possession or introduction of an unauthorized tool
Threatening another with bodily harm or any other offense
Extortion, blackmail, protection: Demanding or receiving
money or anything of value in return for protection against
others, to avoid bodily harm, or under threat of informing
Engaging in sexual acts
Making sexual proposals or threats to another
Wearing a disguise or a mask
Tampering with or blocking any locking device
Adulteration of any food or drink
Possession, introduction, or use of any narcotics, narcotic
paraphernalia, or drugs not prescribed for the individual
by the medical staff
Possessing any officer's or staff clothing
Engaging in, or encouraging, a group demonstration
Encouraging others to refuse to work, or to participate
in a work stoppage

*All Greatest Severity Prohibited Acts must be referred
to IDC by UDC or other lower committee.

**Should be charged with this act only when found to pose
a threat to life or a threat of serious bodily harm or in further-
ance of a prohibited act of Greatest Severity; e.g., in furtherance
of a riot or escape, otherwise, Code 218 or 329

Disciplinary Severity Scale (cont'd.)

HIGH CATEGORY (cont'd.)

Refusing to provide a urine sample or to take part in other drug-abuse testing procedures
Introduction of alcohol in BOP facility
Giving or offering an official or staff member a bribe, or anything of value
Giving money to, or receiving money from, any person for purposes of introducing contraband or for any other illegal or prohibited purposes
Destroying, altering, or damaging government property, or the property of another person, having a value in excess of \$100,00
Conduct which disrupts or interferes with the security or orderly running of the institution (conduct must be of the High Severity nature)

MODERATE CATEGORY

Indecent exposure
Stealing (theft)
Misuse of authorized medication
Possession of money or currency, unless specifically authorized
Loaning of property or anything of value for profit or increased return
Possession of anything not authorized for retention or receipt by the inmate, and not issued to him through regular channels
Refusing to work, or to accept a program assignment
Refusing to obey an order of any staff member
Violating a condition of a furlough
Violating a condition of a community program
Unexcused absence from work or any assignment
Failing to perform work as instructed by the supervisor
Insolence towards a staff member
Lying or providing false statement to a staff member
Counterfeiting, forging, or unauthorized reproduction of any document, article of identification, money, security, or official paper
Participating in an unauthorized meeting or gathering
Being in an unauthorized area
Failure to follow safety or sanitation regulations
Using any equipment or machinery which is not specifically authorized
Using any equipment or machinery contrary to instructions or posted safety standards

Disciplinary Severity Scale (cont'd.)

MODERATE CATEGORY (cont'd.)

Failing to stand count
Interfering with the taking of count
Making, possessing, or using intoxicants
Refusing to breathe into a breathalyzer or take part in other alcohol abuse testing
Gambling
Preparing or conducting a gambling pool
Possession of gambling paraphernalia
Unauthorized contacts with the public
Giving money or anything of value to, or accepting money or anything of value from: another inmate, a member of his family, or his friend
Destroying, altering, or damaging government property, or the property of another person, having a value of \$100.00 or less
Being unsanitary or untidy; failing to keep one's person and one's quarters in accordance with posted standards
Conduct which disrupts or interferes with the security or orderly running of the institution (conduct must be of the Moderate Severity nature)

LOW MODERATE CATEGORY

Possession of property belonging to another person
Possessing unauthorized clothing
Malingering, feigning illness
Smoking where prohibited
Using abusive or obscene language
Tattooing or self-mutilation
Unauthorized use of mail or telephone
Conduct with a visitor in violation of institution regulations
Conducting a business

Expected Length of Incarceration Scale
(Based on Federal System and will differ by state)

Note: Point values based on sentence length (in months)

GREATEST CATEGORY: Percent average sentence served, 41%.

<u>Points</u>	<u>Length of time (months)</u>
0	0-31.5
1	31.6-146.1
3	146.2-204.6
5	204.7+

HIGH CATEGORY: Percent average sentence served, 52%.

<u>Points</u>	<u>Length of time (months)</u>
0	0-24.8
1	24.9-115.2
3	115.3-161.3
5	161.4+

MODERATE CATEGORY: Percent average sentence served, 56%.

<u>Points</u>	<u>Length of time (months)</u>
0	0-23.0
1	23.1-107.0
3	107.1-149.8
5	149.9+

LOW MODERATE CATEGORY: Percent average sentence served, 56%.

<u>Points</u>	<u>Length of time (months)</u>
0	0-23.0
1	23.1-107.0
3	107.1-149.8
5	149.9+

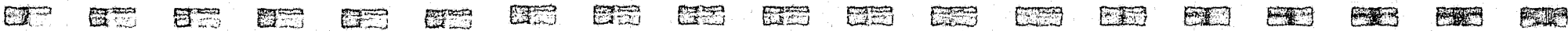
LOWEST CATEGORY: Percent average sentence served, 78%.

<u>Points</u>	<u>Length of time (months)</u>
0	0-16.5
1	16.6-76.8
3	76.9-107.6
5	107.7+

Expected Length of Incarceration Scale (cont'd.)

NOTE: The chart should help the user make point assignments directly from the prisoner's length of sentence without having to do a lot of arithmetic. By converting the appropriate number of points can be readily identified.

For example: A newly committed prisoner sentenced to 15 years for armed bank robbery. Bank Robbery = GREATEST category; 15 times 12 months = 180 months; this falls between 146.2 and 204.6 months in the GREATEST category; therefore, individual will be given 3 points on the S/D form.



**Appendix E:
Correctional Classification Profile, Scoring and Definitions**

MEDICAL AND HEALTH CARE NEEDS

CODE: M

M-5 Medical services for M-5 inmates will include all services in Levels M-1 through M-4 and will expand to 24-hour coverage for Nursing Services. Services will include medication stabilization for acute patients and the development of a treatment plan which will include the reintegration of patients into an institutional program at a reduced level of services.

M-5 inmates are distinguished by their need to have full-time hospital care and treatment. All inmates hospitalized outside of the prison setting are classified in this category. Persons transferred to a facility for hospital care are designated in this level.

M-4 M-4 inmates generally require all services as M-1 to M-3 facilities provide plus the following additional services:

1. Medical Observation

Seven days a week, medical observations will be available with routine treatment provided as necessary.

2. Psychiatric Consultation

Psychiatric evaluation and consultation will be available daily. Services will include examination, development of treatment plan, prescribing of psychotropic medication as appropriate and stabilization based upon recommended treatment plan.

M-3 M-3 inmates will generally require the services provided in M-1 and M-2 facilities plus the following:

1. Infirmery Care

For inmates requiring more frequent treatment/observation, infirmery level care will be provided.

2. Pharmacy Services

Inmates requiring long-term drug therapy may be maintained accordingly. Pharmacy Services will include necessary medication and consultation to provide the above.

3. Nursing Services

Nursing Services to include assessment and treatment will be provided. Additionally, nursing staff will be participating on a multi-disciplinary team in the management and treatment of the mentally ill offender.

M-2 In addition to the requirement of primary health care as with Level 1 facilities, M-2 will need the following services:

1. Pharmacy Services

Pharmacy Services are expanded to include the capability of providing psychotropic medications. Inmates requiring short-term therapy may be maintained accordingly.

2. Chronic Care

Management of chronic care patients will occur through the conducting of chronic care clinics according to established protocol.

M-1 This level is for inmates only needing Primary Health Care Services which will be offered at every Level 1 Institution. Services include diagnosis and treatment of routine medical problems, emergency services and referral services as appropriate. Specific services will include:

1. Sick Call

Screening and treatment of minor medical problems will occur on a daily basis, five days a week. This will provide for the triage of all medical complaints with treatment which may include patient education, over-the-counter and/or prescription medication, and other follow-up measures as may be appropriate.

2. Pharmacy Services

Inmates assigned to Level 1 institutions will have access to Pharmacy Services and to such medication as may be required in their treatment, with the exception of psychotropic medication. Pharmacy Services will be provided under the direction of a licensed Pharmacist and will include proper distribution and administration of medication with appropriate documentation as required by State and Federal Laws.

3. Laboratory Services

Routine Laboratory Services will be provided with referral to outside laboratories available for more complex testing.

4. Emergency Services

Twenty-four hour Emergency Care will be available to inmates assigned to Level 1 facilities. This will include access to an accredited hospital for inpatient care as needed.

5. Dental Services

Inmates assigned to Level 1 institutions will have access to Dental Services to include screening and treatment of acute dental problems and other services in accordance with dental priorities within State Health Service Standards.

6. Medical Records

An individual health record will be maintained on all inmates. This medical record will include a medical history, complete physical examination, documentation of all health care provided and other pertinent information, Lab Reports, consultant findings, Psychiatric evaluations, and other reports or correspondence.

MENTAL HEALTH CARE NEEDS

CODE: MH

The program of Mental Health services provided by the Division is limited by the capability of the institutions to manage the behavior of psychologically-disturbed inmates. The levels of care concentrate on the degree of disturbance coupled with the potential behavior as demonstrated by past behavior. This factor was placed high on the CCP in priority second only to Medical and Health Care Services as inmates identified as MH-5 or MH-4 would generally have their institutional assignments based on these ratings and not on their P or I levels.

MH-5 Severe impairment from a psychiatric condition. Individual needs to be committed to Fulton State Hospital or is so markedly deviant that special handling in the institution hospital is necessary. Job and/or program placement is impossible in the correctional institution.

MH-4 Moderate impairment from a psychiatric condition of a latent or chronic nature. Case is not committable to another agency, but requires special handling either in the regular institution or in specialized units. Mental deficiency, mild psychiatric conditions who can respond to short term intensive treatment, etc., fall in this category. Character Disorders (described below) with a lifelong history of acting-out and any prepsychotics would be included here. Careful evaluation is necessary in making program and/or job assignments and only a limited number are available in the institution. Probable referral to a specialized program within the Division of Corrections or to a contracted agency will be necessary.

MH-3 Mild impairment from a psychiatric condition of a latent or chronic nature. Although with care, program and/or job assignment of a routine nature is possible, there is an indicated need for professional clinical services on a regularly scheduled basis (psychiatric or psychological counseling and psychotherapy or regular medication). The Personality Pattern type of Character Disorder would be included in this group. These are: Inadequate personality, Schizoid personality, Cyclothymic personality, Paranoid personality. Cases of depression needing regular counseling are also included.

MH-2 Minimal impairment from a psychiatric condition manifested by minor mental or emotional symptoms of a chronic or transient nature. Includes cases which require no special handling in the institution insofar as clinical services are concerned. Minimal impairment is used to describe the following diagnostic categories of Character Disorders (called Personality Disorders in the 1968 American Psychiatric Classification).

- A. Personality Trait Disturbances: Emotionally unstable personality (Explosive personality); Passive-aggressive personality (passive type, aggressive type, dependent type); Compulsive personality; Narcissistic Personality.
- B. Sociopathic Personality (Antisocial reaction, Dyssocial reaction, Sexual deviation).
- C. Alcoholism and Drug Addiction - The M-2 rating would be given to individuals in the above group who do not engage in acting-out behavior harmful to others. Controlled epileptics are also included in this category.

MH-1 Emotionally stable; no impairment or positive history of psychiatric disorder in the immediate family. Capable of handling any program or job assignment.

SECURITY/PUBLIC RISK NEEDS

CODE: P

The public risk factor rates the level to which the individual presents a danger to the public if he were to escape confinement or be involved in a community release program. The bases for this classification include past escape record, history of violence in the community, nature of the present offense, community reaction to the offense, and level of stability in the community.

P-5 This level of inmate has proven, through a number of actions (or one recent serious action) that he or she is consistently prone to assaultive behavior and/or escape. The extent of violence perpetrated by these inmates is quite severe involving a deadly weapon. Level P-5 inmates generally do not discriminate relative to who they assault, preying on staff and other inmates. Should this type of inmate escape there is the distinct possibility that he or she would commit one or more violent acts while in the community.

Specific criteria for the P-5 level security requisits includes those inmates who:

- . Are currently under a Capital Sentence;
- . Have committed a violent institutional offense (where serious injury or death resulted) within the past six months.

Security Requirements:

- . The facility perimeter has the capacity to contain P-5 inmates, particularly those prone to escape.
- . The internal physical capacity of this space is sufficient to control very difficult to manage inmates who require 1-5 to 1-3 supervision.
- . This space has the capacity to be staff-intensive.
- . This space has the capacity to be autonomous or self-contained.
- . This space is designed and configured to service individual or small group activity.
- . This space can easily control, limit or restrict inmate movement.

P-4 P-4 inmates are those who are likely to attempt an escape, particularly if assigned to a low security institution, and likely to be violent if the attempt is successful. The basic difference between a P-5 and P-4 inmate is generally the recency and number and to some extent degree of violence involved in the most recent offense. The degree of premeditation in the most recent offense is also a consideration as well as the motivation for the offense.

Security Requirements:

- . The facility perimeter has the capacity to contain P-4 inmates.

- . The internal physical capacity of this space is sufficient to control difficult to manage inmates who may require 1-4 to 1-2 supervision.
- . This space has the capacity to be staff-intensive.
- . This space is designed or configured to service small group activity.
- . This space can easily limit or restrict inmate movement.

P-3 This level inmate has demonstrated the capacity to be violent either through commission of a serious offense perpetrated over 5 years ago, a recent violent act within the institution where no weapon was involved and no serious injury resulted and/or a series of commitments for relatively minor violent offenses. A P-3 inmate may also have a history of escape from nonsecure facilities or an escape attempt from a secure institution over five years ago.

Security Requirements:

- . The facility perimeter has the capacity to contain P-3 inmates.
- . The internal physical capacity of this space is sufficient to facilitate control of inmates who need 1-3 or 1-2 supervision.
- . This space may be less staff-intensive than either P-5 or P-4 security grades.
- . This space is designed or configured to service large group activity.
- . This security grade is designed to house inmates with long sentences.
- . This space is more open and flexible than P-5 or P-4 but allows for some controlled movement.

P-2 This level is reserved for inmates who have a moderate extent of violence in their background or have attempted or been successful in an escape from a nonsecure facility some time in the past or a secure facility over 5 years ago. Inmates in this level would not be likely to become involved in violent behavior should they escape.

Security Requirements:

- . The facility perimeter does not have the capacity to contain inmates who are escape risks.
- . The internal physical capacity of this space is not sufficient to manage inmates who are difficult to control or need supervision above 1-3.
- . This space is not designed to be particularly staff-intensive.
- . This space is designed and configured to service large group activity.
- . This space promotes open and mass inmate movement.

P-1 This level is reserved for inmates who generally are considered unlikely to escape and even if they did would be extremely unlikely to commit an additional offense particularly one where violence is involved. It is also reserved for those individuals who are near release and require the programming that a community correctional center can provide even though the same inmates may have warranted, earlier in their confinement, a higher P-score primarily due to length of time left to release.

Security Requirements:

- The facility perimeter does not have the capacity to house inmates who are escape risks.
- The internal physical capacity of this space is not sufficient to manage inmates who need REGULAR supervision. It should house only those inmates who need 1-2 or 1-1 supervision.
- This space is not designed to be particularly staff-intensive.
- This space is designed and configured to service group programs and activity.
- This space is for pre-release honor center inmates.

Table 1 summarizes the security requirements for each P-score.

TABLE 1
SECURITY REQUIREMENTS

	P-1	P-2	P-3	P-4	P-5
Perimeter	None	Clearly designated by single fence or unarmed "posts."	Secure	Secure	Secure
Towers	None	Optional, manned less than 24 hours	Manned 24 hours	Manned 24 hours	Manned 24 hours
External Patrol	None	Intermittent	Yes	Yes	Yes
Detection Devices	None	None	Yes	Yes	Yes
Housing	Single rooms and/or multiple rooms	Single rooms and/or multiple rooms	Single cells or rooms and/or multiple rooms	Single outside or inside cells	Single inside

DEFINITIONS:

SECURE PERIMETER: Walled or double-fenced perimeter with armed towers. All entry and exit into and out of the compound is via sally ports.

INSIDE CELLS: A cell which is contained on four sides within a cell block; i.e., if an inmate escapes from the cell, he is still confined within the building.

OUTSIDE CELL: A cell with a wall or window immediately adjacent to the outside of the building; i.e., if an inmate escapes from the cell he has escaped from the building.

CUSTODY/INSTITUTIONAL RISK NEEDS

CODE: I

subcodes: A = Assaultive
V = Victim

Unlike the other factors comprising the CCP, the Institutional Risk Needs factor essentially deals with two types of considerations rather than a single determination component. Since Institutional Risk principally deals with the custody/supervision needs of an inmate, it must include the two basic types of inmates who require supervision; those who are predators (assaultive) and those who are preyed upon (victims). Essentially the I-score deals with the question, how closely does the inmate need to be watched? Inmates not considered to fall in either of the assaultive or victim levels will not have a subcode attached to their I-level score.

I-5A This level of inmate generally is defined as one who has a history of assaultive behavior in the institution and/or has been involved as a leader in institutional disturbances. Examples of behavior requiring this label include:

- . Commitment of a violent act against a staff member or another inmate in the past 6 months where death or serious injury resulted;
- . Has been found guilty of extensive destruction of institutional property or setting of fire in the prison during the past 6 months;
- . Has been instrumental in the creation of a work stoppage or riot in the prison system.

This level may also be reserved for inmates who are under a death sentence.

I-5V This type of inmate requires complete separation from the general population either via assignment to protective custody (he may even require additional supervision in this status) or use of the Interstate Corrections Compact. He is extremely vulnerable generally due to his size and/or lack of sophistication and usually has already been the victim of an assault. Examples of this type of inmate include:

- . Those who have been the victim of two physical assaults in the past three months and request protection from other inmates;
- . Those who have a history of homosexual activity and express need for protection from predatory inmates.

Custody Requirements:

- . Inmate in restraints, only 5A (not death penalty) inmates, when out of his individual living space (cell).
- . Uninterrupted close visual contact whenever an inmate is out of living space (cell).

- . Uninterrupted close physical proximity (minimum 25 feet) with unrestricted capacity to respond as required whenever an inmate is out of his individual living space (cell).

- . Frequent visual checks, not more than 15 minutes apart, whenever an inmate is locked in his individual living space (cell).

I-4A Examples of this type of inmate include:

- . Commitment of a violent act against a staff member in the past 12 months where serious injury or death resulted;
- . Two or more serious rule violations in the past six months not involving violence; and,
- . Convicted of possession of a deadly weapon.

I-4V Examples of this type of inmate include:

- . Victim of at least one physical assault in past 3 months and requests protective custody; and
- . Former law enforcement officer who staff have identified as being subject to assault.

Custody Requirements:

- . Uninterrupted close visual contact whenever an inmate is out of his individual living space (cell);
- . Uninterrupted close physical proximity with unrestricted capacity to respond as required whenever an inmate is out of his individual living space (cell);
- . Frequent visual checks, not more than 30 minutes apart, whenever an inmate is locked in his individual living space (cell); and,
- . Inmate movement done under escort.

I-3A Examples of this type of inmate may include:

- . Has committed at least one serious rule violation involving limited violence in past six months;
- . Has verbally threatened a staff member in past six months; and,
- . Has been involved in the introduction of nondangerous contraband into the facility in the past 6 months.

I-3V Examples of this type of inmate may include:

- . Accused by other inmates of being a staff informant; and
- . Is relatively unprepared for his or her prison experience and requires additional supervision during adjustment period.

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Custody Requirements:

- . Staff in general proximity to respond with minimum delay, as required, when an inmate is out of his individual living space (cell);
- . Staff in reasonable proximity for unrestricted response, as required, whenever an inmate is out of his housing unit;
- . Frequent visual checks, not more than 30 minutes apart, whenever an inmate is locked in his individual living space (cell).

I-2A Examples of this type of inmate include:

- . Involvement in large group fight in past year where inmate was not considered leader;
- . Has been found guilty of insubordination in past year; and,
- . Continually has physical complaints and manipulates the staff and other inmates into doing special favors based upon his condition.

I-2V Examples of this type of inmate include:

- . Has expressed concern, although not serious, about his ability to function in general population; and
- . Involved in gambling incident where debt went unpaid.

Custody Requirements:

- . Staff in audible range, unaided by electronic or other mechanical device, when inmate is out of his individual living space (cell);
- . Make direct visual contact with each inmate under security-supervision in housing unit at least once every 30 minutes;
- . Staff in proximity to respond as required whenever an inmate is out of his housing unit.
- . Frequent visual checks, not more than 60 minutes apart, whenever an inmate is locked in his individual living or group living space (cell or dorm).

I-1A Examples of this type of inmate may include:

- . Inmate who is verbally aggressive but has not yet acted out physically; and,
- . Involvement in sit-down strike in past two years.

I-1V Examples of this type of inmate may include:

- . Previous assignment to protective custody due to assault; and,
- . Some minor fears concerning assault by an identified enemy.

Custody Requirements:

- . Staff available to respond as required; and
- . Infrequent checks, not more than 120 minutes apart, whenever inmate is in group or individual living space (room or dorm).

Table summarizes the custody requirements for each I-score.

TABLE 2

CUSTODY REQUIREMENTS

	I-1	I-2	I-3	I-4	I-5
Day Movement Inside Perimeter	Unrestricted	Unrestricted	Unrestricted	All normal movement unescorted but observed by staff	Escorted only
Night Movement Inside Perimeter	Unrestricted	Unrestricted	Under staff observation	Escorted or under check- out/check-in basis	Only in order of Watch Com- mander and an escorted basis
Supervision	Periodic as appropriate to circumstances of	Supervised in groups (5-25) by an unarmed officer or	Frequent and direct observation by staff	Always observed and supervised by staff	Always escorted
Leave the Institution	Daily and unescorted Eligible for unescorted furloughs	Under supervision. Eligible for unescorted furloughs	Under close and/or armed supervision. Eligible for escorted furloughs	Armed one-on-one escort, and in handcuffs. Not eligible for furloughs	Armed one-on-one escort, and in full restraints Not eligible for furloughs
Access to Programs/ Activities	Unrestricted, including all community-based programs/activities	All inside the perimeter and selected community-based programs and activities	All inside the perimeter	Selected programs and activities inside the perimeter	Selected cell activity only
Access to Jobs	All, both inside and outside the perimeter	All inside, and supervised jobs outside the perimeter	All inside the perimeter	Only day jobs inside the perimeter	None
Meal Movement	Unrestricted	Unrestricted	Under staff observation	Controlled and supervised	Fed in cell or in the cellblock

DEFINITIONS:

CONTROLLED MOVEMENT: Performed under constant staff observation and direction, usually on a check-out/check-in basis.

TREATMENT NEEDS

CODE: T

This scale will attempt to point out those areas where treatment may be appropriate and there appears to be a need for some intervention or counseling. Because of the nature of drug- and alcohol-related problems, and the unwillingness of a number of individuals to indicate that they have a problem in these areas, reclassification may have to be the primary identifier of these problems.

- T-5 An inmate at level five indicates that drugs and alcohol are the main reason he or she has been in trouble with the criminal justice system. Such individuals have a history of arrest for drug possession or have a history of being incarcerated for Driving Under the Influence or Public Drunkenness.
- Inmates in this category may have also been arrested for drug trafficking; however, not all individuals with this offense will require treatment. Only those who indicate a need for treatment will be treated for such problems. Persons who are or have been addicted to heroin are in this category.
- T-4 These individuals have a history of drug or alcohol involvement coupled with other offenses and indicate a need for drug and/or alcohol treatment. Persons who have been in drug programs in the community prior to their incarceration will fall into this category and require ongoing treatment.
- T-3 Individuals at level three have been incarcerated for an offense that was committed under the influence of drugs or alcohol and admit that they would not have been incarcerated for their actions if it were not for the fact that they were under the influence at the time they committed the offense. They may not be motivated for treatment, but an educational program on the effects of alcohol or drugs may be beneficial.
- T-2 Inmates classed as level two on the Drug and Alcohol scale have periodically become involved in drug or alcohol problems, but they have never changed their pattern of living as a result of substance abuse. They may have some family member that has a problem related to drugs or alcohol use, and would be interested in some education concerning the effects and treatment.
- T-1 Level one inmates have never been users of illegal drugs, nor do they drink on a regular basis. Neither they nor their family has ever sought treatment or advice on alcohol- or drug-related problems.

EDUCATION NEEDS LEVELS

CODE: E

This factor was placed before vocational needs because it appeared to be a necessary component to any vocational learning program and is usually part of a total educational program as it is identified by the evaluation. Persons entering these programs will have the initial screening battery performed at the Diagnostic Center, with follow-up evaluations for vocational evaluation or educational placement being performed at the receiving institution. The level system is based upon the present educational placement criteria used by the Missouri State Board of Education.

- E-5 Inmates classed at level five require special education. They have been identified as mentally retarded or totally illiterate, and require special attention to function in daily living situations. Persons who may also be considered for this category are those who have some brain damage and require retraining of a specialized nature because of this handicap.
- E-4 These individuals have minimal educational capabilities and indicate a need for educational upgrading. They have the ability to read, write, and spell on the first through third grade levels. They may benefit from remedial studies of an individual nature, and in some cases can benefit by special training in certain areas to qualify for vocational training, such as programs that are supported by Title One funds.
- E-3 These individuals are able to read, perform math functions, and spell at the third through seventh grade level, and indicate an interest in improving their skills in these areas. They may also benefit from a Title One program to support a vocational trade.
- E-2 Those individuals graded at level two are functioning on the seventh grade level or above, but have not achieved an equivalency degree or high school diploma. They are interested in continuing their education and are working toward their GED. They are candidates for preparation course work.
- E-1 Level one individuals have completed their high school or equivalency degree, and may or may not have an interest in further education. If interest is indicated in a college program and this program is available, then certainly consideration will need to be given. However, if the person is not interested in further education or has a college degree, he may be placed in an institution based on his academic skills to assist teachers in working with other inmates.

VOCATIONAL TRAINING NEEDS LEVELS

CODE: V

This category requires some indication upon entrance into the system of the individual's abilities to work in the community. A determination of his aptitude for work and the amount of interest the individual has in a particular occupation is needed. Staff from the Diagnostic Unit attempt to determine the level of skills through the use of the test battery recommended in Chapter IV Initial Classification and these results are available to the personnel at the receiving institution. Counselors also interview each inmate to determine interest in a trade program and to obtain a past work history. The inmate's present level of skills and his work history will determine the level of need.

V-5 These individuals have poor overall aptitudes and will require courses in vocational planning. They have never worked at one location for more than several weeks. They have not been in school on a full-time basis and have not been able to support themselves in the community through legitimate means. Their skills are limited and their intellectual functioning is poor. They show little interest in learning and lack motivation.

The program for these individuals consists of indepth vocational exploration work performed by vocational evaluation staff or appropriate counselors. In some cases, group counseling is required to focus motivation and to explore work goals. Courses are offered on how to seek jobs, how to function with co-workers, and how to manage time on the job and money. This program concentrates on the very basics of how to survive in the work world. Objectives may be to see that the individual can handle remedial job placement in the institutional setting in conjunction with remedial education.

The focus of this program is to upgrade the individual to a point where an OJT program or vocational program will be of some benefit to him. Persons in this group may also be handicapped physically or intellectually and require re-training in conjunction with their handicaps.

V-4 These individuals are characterized as having held a job for a period of more than four months but having changed jobs on numerous occasions and having been unemployed for more than four months. They have a history of problems in the work situation and have been fired on numerous occasions. They have been able to make enough money to survive, but essentially have no skills that are marketable above the general labor category.

This program requires some vocational exploration and a commitment on the part of the inmate to entering an On the Job Training program where first-hand experience is provided. The person is identified as needing some vocational training in order to provide for himself upon release.

V-3 These individuals have a record of maintaining employment for more than a year at one occupation and have some job skills which are not certified. The individual is capable of completing a number of low skill occupations, and indicates an interest in a number of trade occupations that require fifth grade academic functioning in an area that supports that occupation. Both OJT and Vocational training slots are available, and the individual must apply to enter the program. Potential for success in the program is measured by the GATBY and an interview with the vocational instructor.

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V-2 This individual is characterized as having been employed in a skilled occupation or in support of a skilled occupation for two years. He has maintained a steady work record and possesses the aptitude to continue his education in a certified vocational training program. Interest and motivation are key factors, and the individual will need to apply to get into the program.

The labor counselors will determine the level of interest and recommend a trade program that may be available at an institution that can manage the individual. Placement will rely on continued interest and available learning slots.

V-1 The individual rated at level one has a good work history of more than two years of steady employment in a skill area and can demonstrate the skills in working at that occupation. Interest in obtaining additional skills of a certified nature will be evaluated and the supporting skills will be considered. Persons who are highly skilled may be limited in the vocational programs based on available space in the program.

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WORK SKILLS

Code: W

This scale is inversed because the skills of the individual will make some difference in his placement in the system. A high rating in this area will indicate a strong need for a specific type of work that is correlated with the individual's skills.

- W-5 Inmates rated at level five are those who have demonstrated skills and licensure in a specific trade or a degree from a certified college program. These inmates have occupational skills that are specialized and can demonstrate their skills in these trades. Inmates with certified skills may be considered for placement based upon the area of the system with the most need for those skills.
- W-4 These individuals have stable work histories in semi-skilled jobs but do not have certification from a school or on-the-job training program. They may be placed on details that have similar functions to those that they have knowledge of in the community. They are valuable workers and have a good attitude toward work and are willing to work regularly in the institution.
- W-3 Level three rated inmates have sporadic work records in the community. They do not have usable skills other than general labor in the system.
- W-2 These inmates have poor work records in the community and do not perform well on the details they are assigned to in the institution. They require supervision and instruction at every step of the work effort. They are only capable of manual labor jobs, and must be trained to perform those functions.
- W-1 Inmates rated as level one have very poor work histories or refuse to work. They have not held jobs in the community or in the institution, and have a great deal of difficulty in meeting even the minimum requirements for the world of work. They do not report on time, fail to clean their work areas, and require constant instruction and monitoring.

PROXIMITY TO RELEASE RESIDENCE/FAMILY TIES

CODE: F

This factor will generally be considered last when determining an inmate's institutional assignment. This is the result of two situations; first, most of the Division's major institutions are located in the center of the state, some distance from the largest community jurisdictions. The exception to this is MECC. Second, other CCP factors were considered more important by Division staff (and supported by CSG) in determining an inmate's institutional assignment. Staff believe however, that this factor should be given more attention the closer an inmate gets to his or her release date, and that as a consequence the F-score would increase over the period of the inmate's confinement.

- F-5 This level is reserved for inmates who have a documented need to be assigned to an institution in close proximity to their family, e.g., one or more family members are handicapped and unable to travel long distances. In addition, the relationship between the offender and family should be such that regular interaction would improve the inmate's abilities to adjust both to prison and upon release.
- F-4 F-4 inmates are those who warrant serious consideration to be located near their families due to the need for regular visitation but who do not require such an assignment based upon a documented problem limiting family travel.
- F-3 This level of inmate has a substantial history of regular family contacts but no critical need to be located in an institution near them.
- F-2 Inmates in F-2 have evidenced minimal family relationship but may receive sporadic visits while confined.
- F-1 This level of inmate has no family or others who will visit while he or she is confined and/or will be released to residence out of the State of Missouri.



Appendix F: References and Contacts

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Central Missouri Correctional Center
Missouri Intermediate Reformatory
Missouri Eastern Correctional Center
State Correctional Prerelease Center
Kansas City Honor Center
Renz Correctional Center
Missouri Correctional Training Academy

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