	<b>DEPARTMENT OF CORRECTIONS AND REHABILITATION</b> <b>CORRECTIONS ADMINISTRATION</b> <b>POLICY AND PROCEDURES</b>	<b>EFFECTIVE DATE:</b> January 01, 2024	<b>POLICY NO.:</b> COR.14.26
		<b>SUPERSEDES (Policy No. &amp; Date):</b> COR.14.26 of March 08, 2016	
	<b>SUBJECT:</b> <b>ASSESSMENT PROTOCOLS</b>		Page 1 of 7

**1.0 PURPOSE**

To establish procedures for using validated assessment instruments to evaluate the recommended level of treatment for inmates.

**2.0 SCOPE**

This policy shall apply to all correctional and contracted facilities and to the personnel authorized to work there. To the extent any individual facility's policy conflicts with the statewide policy, COR.14.26 shall control.

**3.0 REFERENCES, DEFINITIONS & FORMS**

**.1 References**

- a. Department of Corrections and Rehabilitation (DCR), Policy and Procedure (P&P), COR.14.15, Prescriptive Program Plan.
- b. Hawaii Revised Statutes (HRS) §353-6, Establishment of Community Correctional Centers.
- c. HRS §353-62, Hawaii Paroling Authority (HPA); Responsibilities and Duties, Operations, Records, Reports, Staff.
- d. Memorandum of Agreement (MOA) between the Department of the Attorney General (AG), Department of Public Safety (now DCR), Department of Health (DOH), and the Judiciary, State of Hawaii, effective April 17, 2002.

**.2 Definitions**

- a. Adult Substance Use Survey (ASUS): A 64-item, self-report survey designed to assess an inmate's perceived alcohol and other drug use.
- b. Adverse Classification Action: Any significant event that results in an increase of one or more steps in an inmate's custody designation.
- c. "Big Four": The top four (4) criminogenic needs having the greatest impact on an inmate's risk to recidivate – Antisocial Attitude, Antisocial Personality, Criminal/Antisocial Behavior and Antisocial Peers.

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- d. Criminogenic Needs: Eight (8) main character attributes that research sees as being directly linked to criminal behavior which could lead to an increase in the risk for recidivism. In addition to the commonly referred to, "big four," the remaining four attributes are: Family/Marital, Education/Employment, Leisure/Recreation, and Substance Abuse.
- e. CYZAP: Interagency online database accessible to all Criminal Justice agencies that store an offender's completed LSI-R/ASUS scores.
- f. Inter-Agency Council on Intermediate Sanctions (ICIS): A council created from a cooperative, inter-agency agreement between the JUD, DCR, DOH, and the Attorney General's office, whose goal is to reduce recidivism and prevent future victimization by adult inmates.
- g. Level of Service Inventory-Revised (LSI-R): A predictive risk and needs scale that assesses an inmate's propensity for further unlawful and rule-violating behavior based upon their criminogenic risk factors.
- h. LSI-R Certification: Base-level scores required to be certified on the use of the instrument [3 or less scoring errors, 3 or less insufficient probed items (LSI-R), and a skill balance score of 48> for Motivational Interviewing (MI)].
- i. Inmate: An individual who has been convicted of a felony and sentenced/remanded to the care and custody of the Department of Corrections and Rehabilitation.
- j. Override: An administrative request to increase/decrease LSI-R Recommended Treatment Level (RTL).
- k. Parole Violator (PV): Inmate who was granted parole but failed to follow parole rules. PVs, although returned to custody, cannot be programmed until result documents from a parole revocation hearing have been filed.
- l. Prescriptive Program Plan: A report to record an inmate's institutional adjustment, which begins at the Reception, Assessment, and Diagnostic (RAD) Unit and the creation of an Initial Prescriptive Plan (IPP). Subsequent Prescriptive Plan Updates (PPU) are generated at significant times throughout an inmate's incarceration. Through case reviews and assessments, staff identify and address problem areas, make recommendations, linking inmates with programs and activities appropriate

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to address their needs and in line with their computed custody classification.

- m. Pre-Sentence Investigation (PSI) Report: A report generated by the Adult Probation Office (APO)) that investigates the history of a convicted inmate to make recommendations for probation, prior to sentencing. The report identifies and documents all extenuating factors that might decrease or increase the harshness of the final sentence.
- n. Reception, Assessment, Diagnostic (RAD): Section that conducts initial assessments, to determine a newly admitted, prison inmate’s initial custody classification and recommended programming to address their risk/needs and responsivity.
- o. Reassessment: A face-to-face interview with an inmate following a significant event to review their most current assessment, to reassess any changes in the offender’s risk/needs/responsivity.
- p. Recommended Treatment Level (RTL): The combined sum of completed LSI-R and ASUS assessment scores to determine a prison inmate’s recommended level of substance abuse treatment.

**.3 Forms**

- a. DCR 1005 – Request to Change Recommended Treatment Level (RTL).
- b. DCR 8731 – Initial Prescriptive Plan (IPP).
- c. DCR 8732 – Prescriptive Program Plan (PPU)

**4.0 POLICY**

- .1 As part of the RAD process, all newly sentenced prison inmates, including those transferred to a contracted facility, shall be assessed within 60-days of being admitted to a prison, using the LSI-R/ASUS instruments. There will be no substitutions to RAD recommendations.
- .2 Parole Violators (PV) shall not be assessed, using the LSI-R until after their parole 30 days in which to complete an LSI-R for re-programming recommended after revocation.

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- .3 In addition to RAD, LSI-R/ASUS assessments shall be completed following all significant events that result in adverse action being taken.
- .4 DCR shall be responsible for maintaining records on quality assurance amongst all staff, on how assessments are completed.
- .5 Wardens shall be responsible for administering the Assessment Protocols policy and procedures

**5.0 PROCEDURES**

- .1 Only correctional staff (excluding contracted, substance abuse treatment counselors) certified in administering LSI-R/ASUS instruments shall be authorized to complete assessments on inmates.
- .2 All correctional staff, including new hires, will be required to be certified on the use of LSI-R/ASUS assessment instruments, as part of their assigned duties.

Once certified, correctional staff shall undergo regular re-certification when directed.

- .3 LSI-R instruments will be completed under the following scenarios:
  - a. During the initial RAD process and with an ASUS.
  - b. Anytime following the adjudication of a significant event:
    - 1. PV Revocation Hearing.
    - 2. In-house adjudication of infraction(s).
    - 3. Following the successful completion of any level of recommended substance abuse treatment program.
    - 4. Three (3) calendar months AFTER furloughs commence.
    - 5. Event affecting any of the eight (8) criminogenic factors.
    - 6. Six (6) calendar months AFTER ext. furloughs start.
- .4 After completing the LSI-R assessment interview, case managers will instruct the inmate to complete the self-reporting, 64-item ASUS questionnaire.
  - a. Case Manager shall total up LSI-R scores while the inmate is completing the ASUS questionnaire, to identify any additional information needed from the offender to achieve a more accurate score.

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- b. The ASUS instrument shall be completed during the LSI-R interview and not be given to the inmate to complete later.
  - c. Upon completion of the ASUS questionnaire, and the calculation of the LSI-R is finished, the case manager shall review the results of both instruments with the inmate, and provide feedback, answering any questions the inmate may have.
  - d. Inmates being returned to prison due to an infraction shall not be given an ASUS to complete (after RAD, to be completed only in the event of a new admission.) Only one (1) ASUS per admission.
- .5 If a request for an override is warranted, Correctional Supervisors shall ensure that the request includes all recommended documentation:
- a. Cover page with summarized justification/rationale (Global score of >50 is not justified.)
  - b. Relevant pages from PSI, LSI-R/ASUS Summary Score Sheet.
  - c. Most recent IPP or PPU, w/supportive information.
  - d. All justice-involved incidents involving documented substance abuse, to correlate (may indicate underreporting).
- No action concerning the inmate shall be taken until a final decision has been rendered by the SAPM and written approval has been received.
- .6 Once written approval of the override has been received, the case manager shall review the results with the inmate and explain the possible consequences of refusing to comply with the amended recommendations.
- .7 Correctional Facilities (In State)
- a. All newly sentenced, prison inmates entering the RAD Unit shall have LSI-R/ASUS assessments completed by a certified case manager within 60-days of being admitted.
  - b. Only the initial LSI-R/ASUS, Summary Scores, and Recommended Treatment Level (RTL), completed during RAD, shall be used to initially assign inmates to the appropriate level of substance abuse treatment.

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- c. Override requests shall only be authorized/approved by the Substance Abuse Programs Manager (SAPM) or designee. Approvals/disapprovals must be finalized/recorded prior to initiating any action involving the inmate.
- d. RAD staff shall have all initial substance abuse assessments reviewed by a certified CSAS before discussing the results of the LSI-R/ASUS with the inmate on the level of treatment recommended. Final recommendations documented in the RAD IPP and a copy of the LSI-R/ASUS summary score sheet will be given to the inmate. Possible consequences for non-compliance will also be discussed.
- e. Inmates eligible for parole or transfer to a minimum or community-based facility, shall have:
  - 1. An LSI-R reassessment completed within 24 months prior to the parole eligibility date and 6 months prior to transfer.
  - 2. Signed LSI-R Override document if override request was previously submitted.
  - 3. A revised LSI-R instrument following any significant event that affects any of the 8-criminogenic needs identified by the instrument.
  - 4. A new LSI-R instrument completed 3-months after beginning furloughs and 6-months after being placed on extended furlough.
- f. Staff shall enter all completed LSI-R/ASUS scores and approved, override decisions (if applicable) onto the CYZAP Internet database.

**.8 Correctional Facilities (Out-of-State)**

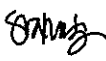
- a. All inmates transferring out-of-state shall have a current LSI-R/ASUS on file prior to. If the inmate is transferred before an assessment can be completed, Mainland Branch Monitors shall ensure:
  - 1. An assessment is completed within 30-days of transferring and a copy is forwarded to the out-of-state facility with a summary page given to the inmate. The original will be placed in the inmate's institutional record.

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- 2. They update the inmate's LSI-R/ASUS assessment prior to the inmate's return to the State.
  
- .9 Correctional Supervisors shall work with case managers to complete the certification process. If not submitted for review within 30-days of completing training, a progressive corrective action plan for the case manager might be recommended to the Warden or designee for approval.
  
- .10 Correctional Supervisors shall conduct periodic and/or random reviews of case managers' interviews and scoring of LSI-R/ ASUS instruments to maintain consistency/accuracy in scoring and to identify any scoring errors requiring re-training.
  
- .11 Mainland Branch Supervisors shall ensure that LSI-R/ASUS instruments are current and on file both upon arrival to and departure from out-of-state facilities.
  
- .12 Correctional Supervisors shall be responsible for reviewing/signing all requests for RTL overrides, ensuring that all required documentation is included before forwarding up the chain of command for approval.

APPROVAL RECOMMENDED:

  
\_\_\_\_\_  
Deputy Director for Corrections

**JAN 0 1 2024**  
\_\_\_\_\_  
Date

APPROVED:

  
\_\_\_\_\_  
DIRECTOR

**JAN 0 1 2024**  
\_\_\_\_\_  
Date

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**INITIAL PRESCRIPTIVE PLAN**

**FACE SHEET**

Date: Completed By:

Name: DOB:

SID: SSN:

Date of Commitment: RAD Admission Date:

**OFFENSE:**

Court      Criminal Number      Judge      Restitution      Max Term

**OFFENSE:**

Court      Criminal Number      Judge      Restitution      Max Term

**OFFENSE:**

Court      Criminal Number      Judge      Restitution      Max Term

**Notifiers:**

**If Yes, describe:**

Maximum Sentence (Longest)

Mandatory Minimum Length

Pre-Confinement Credits

**CIRCLE ONE (verified):**

**MEDICAL**      **TRADE SKILLS**      **NO**      **YES**







**Initial Prescriptive Plan**

**Name:**

**Date**

**Page** \_\_\_\_\_

F. Sex Offender: Any conviction for or history of sexual deviance?

No

Yes

If yes, describe needed assessment or treatment interventions:

G. Family/Community Ties:

H. Institutional Behavior/Summary ( List all misconducts, including those incurred as a jail inmate):

I.. Additional Comments: (include information (past and present) that provides an, overall historical assessment of the inmate)

Completed By: \_\_\_\_\_

Date: \_\_\_\_\_

RAD Case Manager

**Initial Prescriptive Plan**

**Name:**

**Date**

**Page** \_\_\_\_\_

**II. INITIAL TREATMENT PLAN**

A. Problem: Substance Abuse

Recommendations: a. Treatment Level:  
b.

B. Problem: Education

Recommendations: a.  
b.

C. Problem: Social Skills/Criminal Behavior

Recommendations: a.  
b.

D. Problem: Marketable Job Skills

Recommendations: a.  
b. Available Workline

E. Problem: Other

Recommendations:  
a.

**III. Program Intervention Summary:**

A. Substance Abuse

B. Education:

C. Social Skills

D. Marketable Skills

**Initial Prescriptive Plan**

**Name**

**Date**

**Page** \_\_\_\_\_

**I have read my Initial Treatment Plan and have received a copy.**

\_\_\_\_\_

INMATE

\_\_\_\_\_

DATE

\_\_\_\_\_

CASE MANAGER

\_\_\_\_\_

DATE

**STATE OF HAWAII  
DEPARTMENT OF CORRECTIONS AND REHABILITATION**

**PRESCRIPTIVE PLAN UPDATE # \_\_\_\_\_**

(Name of Facility)  
(Complete Address)

NAME:

DATE:

SID:

PAROLE ELIGIBILITY DATE:

CUSTODY LEVEL:

<u>Circuit</u>	<u>Criminal Number</u>	<u>Offense</u>	<u>Minimum Term/Expiration</u>	<u>Maximum Term/Expiration</u>
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PREVIOUS INITIAL/PRESCRIPTIVE PLAN RECOMMENDATIONS:

- 1.
- 2.
- 3.
- 4.

ADDITIONAL GOALS IDENTIFIED:

- 1.
- 2.
- 3.

FINANCIAL STATUS:

Restricted Account Balance: \$-	_____	Restitution Amount Paid: \$-	_____
Spendable Account Balance: \$-	_____	Restitution Amount Owed: \$-	_____
Total: \$-	_____	Restitution Amount Balance: \$-	_____

Prescriptive Plan Update #: \_\_\_\_\_

Name:

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MISCONDUCTS: (Guilty)

<u>DATE</u>	<u>CATEGORY</u>	<u>DESCRIPTION</u>
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INMATE HAS A DISABILITY: NO \_\_\_\_\_ YES \_\_\_\_\_

[Explain any issue that may inhibit their ability to participate in recommended programming or any disabilities that require accommodations (Example: Inmate is deaf or hard of hearing and requires a sign language interpreter, inmate has low vision and requires large print, inmate has mobility disability that prevents him from performing manual labor, etc.)]:

INSTITUTIONAL BEHAVIOR/ADJUSTMENTS:

PAROLE PLAN:

COMMENTS/SUMMARY (historical assessment):

CLASSIFICATION COMMITTEE MEMBERS:

Completed by: \_\_\_\_\_  
Case Manager