

 <p style="text-align: center;">DIVISION OF ADULT INSTITUTIONS</p> <p style="text-align: center;">POLICY AND PROCEDURES</p>	DAI Policy: 300.00.11	Page 1 of 9
	Original Effective Date: 11/12/18	New Effective Date: 11/12/18
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	Administrator's Approval: Jim Schwochert, Administrator	
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Chapter: 300 Administrative		
Subject: Substance Use Disorder Program - non-ERP-CIP		

POLICY

The Division of Adult Institutions shall monitor, track and document an inmate's assignment to, participation in and/or refusal of all Substance Use Disorder programs.

REFERENCES

Wisconsin Administrative code Ch. 302 - Inmate Classification, Sentence and Release Provisions

DAI Policy 300.00.25 Primary Program Status Attachment A – Primary Program Tracking Status Definitions and Use

DEFINITIONS, ACRONYMS AND FORMS

BOCM - Bureau of Offender Classification Movement

CBP – Cognitive Behavioral Program

CIP – Challenge Incarceration Program

COMPAS – Correctional Offender Management Profiling for Alternative Sanctions

DAI – Division of Adult Institutions

DOC – Department of Corrections

DOC-1163A – Release of Information

DOC-2439 – Primary Program Status – Participation/Refusal/Withdraw

DOC-3021E – Substance Use Disorder Treatment Progress Notes

DOC-3740/3740A – PSU AODA Substance Use Disorder envelope Male/Female

DOC-3741 – Program Behavior Contract

DOC-3744 – Program Discharge Summary - General

DOC-3750 – Substance Use Disorder Treatment Plan

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DSPS - Department of Safety and Professional Services

ERP – Earned Release Program

FEDERAL GUIDELINES 42 CFR Part 2 - Applies to all records relating to the identity, diagnosis, prognosis, or treatment of any patient in a substance abuse program that is conducted, regulated, or directly or indirectly assisted by any department or agency of the United States.

HIPAA – Stands for Health Insurance Portability and Accountability Act which is a federal law that sets a national standard to protect medical records and other personal health information.

IC – Initial Classification

OWI – Operating While Intoxicated

PMR – Presumptive Mandatory Release

PSU – Psychological Services Unit

RC – Reclassification

RRS – Risk Reduction Sentence

SOT – Sex Offender Treatment

SUD – Substance Use Disorder

SUD Professional – Staff who possess certification in substance abuse counseling.

SUD Program Facilitator – A SUD professional formally trained to deliver programming.

UCP - Unified Case Plan

WICS – Wisconsin Integrated Corrections System

WRNA - Women’s Risk Needs Assessment

PROCEDURE

I. DAI SUD Programs (does not include ATR’s)

Inmates identified with a need for SUD shall have one of the following needs assigned:

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SUD LEVEL	Program/Intervention Dosage
SUD-1	Case Plan Intervention - No structured group.
SUD -2	SUD – 0 to 99 hours
SUD-3	SUD/CBP – 100 to 150 hours
SUD-4	SUD/CBP and ancillary – 200 to 250 hours

II. Substance Use Disorder Diagnostic Assessment

- A. Every inmate shall be assessed at IC using an evidence-based diagnostic SUD assessment.
- B. The SUD assessment shall be administered, scored and interpreted by a qualified, SUD credentialed professional per DSPS standards.
- C. In the event a designated and credentialed SUD professional is unavailable, the SUD program assignment shall be made using relevant results of a COMPAS Risk/Needs assessment.
- D. Assessment results shall be communicated with BOCM.

III. Assignment of Substance Use Disorder Program at Initial Classification

- A. After the SUD assessment is completed, BOCM shall evaluate the results of the assessment along with the COMPAS Risk Level Recommendation to determine the appropriate program assignment.
- B. Program assignment shall be determined utilizing the following graph:

Assessment result	Low Risk	Moderate Risk	High Risk
No Diagnosis	No treatment	No Treatment	No Treatment
Mild SUD	No Treatment	SUD-2	SUD-4
Moderate SUD	SUD-1	SUD-3	SUD-4
Severe SUD	SUD-1	SUD-3	SUD-4

IV. COMPAS Low Risk Level Recommendation

- A. Low Risk inmates currently incarcerated for repeated OWI (3+) shall receive a program designation of SUD-2.

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- B. Low risk inmates may be assigned a SUD-2 under the following circumstances:
 1. RRS.
 2. PMR.
 3. Parole Consideration.
 4. ERP.
 5. CIP.

V. Assignment of SUD Program at Reclassification (RC)

- A. BOCM may request a review of an inmates designated SUD program assignment by a SUD Professional due to new information or a change related to an inmate's substance use.
- B. Any changes to a SUD program assignment subsequent to IC shall involve an assessment and recommendation by a SUD professional.
- C. The SUD Professional shall complete an assessment and determine the appropriate SUD assignment.
- D. Upon completion of the SUD assessment, the SUD Professional shall enter the completion of the SUD evaluation/screening in WICS and assign a program type if a program need is determined.
 1. The SUD Professional shall place the inmate on the waiting list for the designated program type.
 2. If there is no program need determined, the SUD professional shall complete the SUD evaluation/screening with a designation of "no need".

VI. Primary Program Enrollment Process

- A. Designated staff shall utilize the WICS Program Status Search to establish a list of potential inmates to be considered for enrollment into a primary program.
- B. Program enrollment is based upon Risk, Need and Responsivity principles in combination with the review of several factors including, but not limited to:
 1. COMPAS Risk Level Recommendation; priority given to high and moderate risk inmates.
 2. Program resources.
 3. Case dynamics.
 4. Adjusted release date.
 5. Amenability to programming.
 6. Professional Judgement.
 7. Aggravating/mitigating factors.
- C. Inmates with program needs who are eligible and suitable for earned release programs (ERP, CIP, RRS) SOT and/or have a PMR may be enrolled into a primary program regardless of COMPAS Risk Level Recommendation.

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- D. Once an inmate is identified for possible program enrollment, the program provider shall conduct an interview with the inmate and encourage participation.
- E. The program provider shall inform the inmate of the following:
 - 1. Program start and end date.
 - 2. Content and structure.
 - 3. Performance expectations.
 - 4. Behavior expectations.
- F. The inmate shall make an informed decision regarding program participation at the time of the interview. The inmate may:
 - 1. Agree to participate. The program provider shall enroll the inmate into programming and indicate the program enrollment in WICS.
 - 2. Refuse to participate. The program provider shall inform the inmate that refusal to participate may:
 - a. Negate participation during this period of incarceration.
 - b. Decrease the priority for future enrollment.
 - c. Impact site placement and/or custody level.
 - d. Impact facility work assignment and/or pay status.
- G. The inmate's decision shall be documented on the DOC-2439.
- H. Program provider shall document on DOC-2439 inmate's refusal to attend interview and/or refusal to sign form.
- I. Program provider shall sign and date the form, documenting relevant information regarding the decision or interview.
- J. The program status and reason for refusal shall be documented in WICS. Use of comments section with an explanation is required.

VII. SUD Program Participation/Documentation

- A. All SUD program documentation shall adhere to HIPAA & federal guidelines (42 CFR Part 2).
- B. Within one week of the initial entry into the program, a battery of assessments shall be proctored by any staff member for each inmate enrolled. A SUD Professional shall interpret the results.
- C. SUD program facilitator shall review COMPAS and/or WRNA bar chart for needs assessment and create or update a COMPAS UCP based on COMPAS/WRNA risk/needs and other assessments.
- D. Assessment results shall be documented on a DOC-3021E.

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- E. SUD program facilitator shall create a treatment plan utilizing a DOC-3750 within the first 2 weeks of programming.
- F. Program participation shall be documented at least weekly on the DOC-3021E.
- G. Midway through the program a client evaluation shall be administered by the SUD program facilitator for each inmate in program. Results shall be documented on the DOC-3021E.
- H. If problem areas are noted and/or lack of participation/progress, a Program Behavior Contract (DOC-3741) shall be created.
- I. Two weeks prior to the end of program, a final battery of assessments and client evaluation shall be administered by the SUD program facilitator for each inmate. Results shall be documented on the DOC-3021E.
- J. At the end of programming, a summary of the inmate's program participation and progress shall be documented on a DOC-3744.
- K. All SUD documentation shall be stored in the DOC-3740/3740A envelope and filed in the PSU record.
- L. DOC-1163A is required for the release of any SUD treatment documentation outside of the treatment program.

VIII. Program Withdrawal

- A. When an inmate requests to withdraw from a program, the program providers shall meet with the inmate to discuss the reasons for the request.
- B. The inmate's request to withdraw shall not be honored for at least a 24 hour period to afford the inmate an opportunity to reconsider the decision.
- C. If an inmate chooses to continue with the program, the program provider shall meet with the inmate to assess motivation and the willingness to continue participation.
- D. After the 24-hour time period, if the inmate withdraws from the program, the inmate shall sign the DOC-2439. If the inmates refuses to sign the DOC-2439, the program provider shall document the refusal.
- E. Program staff shall place the original DOC-2439 in the confidential folder of the Social Service file.
- F. Status and reason for withdrawal shall be entered into WICS. Use of comments section with an explanation is required.

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IX. SUD Program Termination

- A. When the SUD program facilitator determines termination is necessary, a recommendation shall be made to the clinical supervisor.
- B. The clinical supervisor shall schedule a meeting with the program facilitator to discuss treatment interventions and the program facilitator's recommendation.
- C. The clinical supervisor shall make a final decision regarding termination. If termination is not approved, a behavior contract shall be created by the SUD program facilitator in collaboration with the inmate and clinical supervisor.
- D. When the termination is approved by the clinical supervisor, the clinical supervisor shall meet with the inmate to provide the reasons for the decision.
- E. A DOC-3744 shall be completed within 10 working days from the date of termination.
- F. The applicable program status shall be documented in WICS and COMPAS.

X. Reconsideration for Program Enrollment

- A. If an inmate would like to be reconsidered for program enrollment after they have refused, withdrawn or terminated, a written request shall be submitted to the program provider requesting to be considered for program enrollment.
- B. Program providers shall review DOC-2439 and available discharge information for comments made regarding inmate's refusal, withdrawal or termination.
- C. The program provider may reconsider an inmate for program enrollment taking into consideration:
 - 1. COMPAS Risk Level Recommendation; priority given to high and moderate risk inmates.
 - 2. Program resources.
 - 3. Case dynamics.
 - 4. Adjusted release date.
 - 5. Amenability to programming.
 - 6. Professional judgment.
 - 7. Aggravating/mitigating factors.
- D. If program enrollment is being reconsidered the inmate shall be placed on the waiting list in WICS with an explanation or special circumstances considered in making the determination.

XI. Quality Assurance Standards

- A. SUD treatment programs shall maintain an approved, standardized curriculum manual.

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- B. Clinical supervisors shall ensure a process of regular observation and documentation of the quality of service delivery using approved quality assurance forms.

- C. Program supervisors shall regularly review documentation for quality and timeliness.

Administrator's Approval: _____ **Date Signed:** _____
Jim Schwochert, Administrator

DIVISION OF ADULT INSTITUTIONS FACILITY IMPLEMENTATION PROCEDURES

Facility: Name		
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Chapter: 300 Administration		
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Will Implement <input type="checkbox"/> As written <input type="checkbox"/> With below procedures for facility implementation		
Warden's/Center Superintendent's Approval:		

REFERENCES

DEFINITIONS, ACRONYMS, AND FORMS

FACILITY PROCEDURE

- I.
 - A.
 - B.
 - 1.
 - 2.
 - a.
 - b.
 - c.
 - 3.
 - C.

II.

III.

RESPONSIBILITY

I. Staff

II. Inmate

III. Other