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| Section-03 Facility Operations | OP-030101 | Page: 1 | Effective Date: 01/20/2022 |
| Unit Management Overview | ACA Standards: 2-CO-4B-03, 2-CO-2B-01, 5-ACI-1A-16, 5-ACI-2B-01, 5-ACI-2B-02, 5-ACI-2B-03, 5-ACI-3A-03, 5-ACI-3A-06, 5-ACI-5B-03, 5-ACI-5B-05, 5-ACI-5B-07, 5-ACI-5E-01, 5-ACI-5E-03, 5-ACI-5E-04, 5-ACI-5E-08, 5-ACI-5E-09, 5-ACI-7A-09, 4-ACRS-5A-07, 4-ACRS-6A-01-1, 4-ACRS-7D-36 | | |
| Scott Crow, Director Oklahoma Department of Corrections | Signature on File | | |

Unit Management Overview and Major Objectives

It is the policy of the Oklahoma Department of Corrections (ODOC) to use a functional unit management system in its facilities, which decentralizes authority to the greatest practical extent, thereby more effectively delivering programs and staff services to inmates and more effectively overseeing the operation of the inmate housing areas of each facility. (5-ACI-2B-02)

I. Procedural Guidelines for Institutions

To the extent that resources permit, each institution will be organized under a system of unit management that facilitates staff/inmate contact and interaction to the greatest degree practical. (5-ACI-2B-01, 5-ACI-2B-02, 5-ACI-3A-06)

A. Unit

A “unit” is a self-contained living area, generally housing not more than 400 inmates that include both housing for inmates and office space for unit staff. Institutional compliance and design issues will guide construction and

renovation activity intended to facilitate the unit management concept in accordance with [OP-150101](#) entitled "Physical Plant Development" and [OP-150205](#) entitled "Capacities of Facilities." (2-CO-2B-01, 5-ACI-2B-01) When designing or acquiring any new facility and in planning any existing facility expansion, the agency shall consider the effect of the design, acquisition, expansion, or modification upon the agency's ability to protect inmates from sexual abuse. (PREA 115.18 (a))

The maximum size of a single-management unit is variable and is based on the characteristics of its inmate population. The exact size of each management unit is determined by (1) the security classification of the inmate occupants (higher security levels require smaller unit size), and (2) the ability of staff to complete regular security checks, maintain visual and auditory contact, maintain personal contact and interaction with inmates, and be aware of unit conditions. (5-ACI-2B-03)

B. Unit Team

Each unit will be staffed by a unit team made up of the employees who work in the unit and who are directly responsible for the inmates living in that unit. At initial classification, each inmate is assigned to a staff member to ensure supervision and personal contact; a unit management team may perform this function. (5-ACI-5B-05, 4-ACRS-5A-07) The classification plan provides for maximum involvement of representatives of relevant institutional programs and the inmate concerned in classification reviews. (5-ACI-5B-03) Unit staff offices will be located in the unit, where feasible, to facilitate staff and inmate accessibility to one another. (2-CO-2B-01, 5-ACI-2B-01) The institution has a formal mechanism to determine appropriate levels of social services staffing. The mechanism used to determine such staffing levels includes at a minimum: (5-ACI-5E-08)

1. Type of inmate population served; (5-ACI-5E-08 b#1)
2. Type of institution; (5-ACI-5E-08 b#2)
3. Legal requirements; and (5-ACI-5E-08 b#3)
4. Goals to be accomplished. (5-ACI-5E-08 b#4)

The institution's use of a "team" approach and use of paraprofessionals, volunteers, and students also may influence the numbers of professional staff required. (5-ACI-5E-08)

As designated by authorized FTE, unit staff in the institution normally include:

1. One unit manager;
2. Case managers as designated by authorized FTE;

3. One secretary;
4. Correctional unit assistants as designated by authorized FTE; and
5. Unit correctional officers as authorized by the master roster.

II. Team Responsibilities

Inmates are assigned to a specific unit team when they receive their housing assignment. (5-ACI-5B-05) Team members are available to assist in many areas, including program needs, classification issues, parole matters, re-entry preparation and pre-release planning, personal and family problems, special needs and counseling. (5-ACI-2B-02, 5-ACI-5E-01, 4-ACRS-5A-07) Unit team members will schedule their working hours so that one of them will normally be available at times when inmates are not working or in programs. Ordinarily, unit team coverage will be provided weekdays during normal business hours and in the evening. Weekend and holiday coverage will be provided as unit or facility needs dictate.

A. Unit Manager

The unit manager is in charge of the unit(s) and oversees all unit programs and activities. The unit manager is a member of senior facility staff, maintains a close working relationship with other departments, chairs the unit team classification meetings, reviews all team decisions and ensures quality assurance of inmates' records and classification to include re-entry planning in accordance with [OP-060901](#) entitled "Pre-Release Planning." The unit manager reviews inmate transfer eligibility, inmate program eligibility rosters, and ensures the quality of other on-unit programs. Additionally, the unit manager oversees sanitation and maintenance of the unit.

1. Unit managers will conduct case management audits as outlined in Section V. of this procedure.
2. Unit managers provide direct supervision to case managers, correctional unit assistants, and secretaries, assigned to their housing unit.

B. Case Manager

1. The case manager is responsible for all casework and many social services functions, preparation of classification actions and parole reports, ensures consistent reviews of inmates regarding their special needs, security and/or level assignment changes, and enters the required data and other pertinent information into the Offender Management System (OMS). The required information to be entered into OMS includes, at a minimum, the inmate's progress toward

meeting the developed case plan, the inmate's overall adjustment (unit and work), any requests made by the inmate and other significant issues or serious incidents.

2. Case managers provide social services such as cognitive program provision, counseling and guidance for the inmates on the unit in areas of individual conduct, personal difficulties, social skill development to include guidance to those with physical and developmental disabilities, crisis intervention, interpersonal communications, and planning for the future. (5-ACI-5E-03, 5-ACI-5B-05, 5-ACI-5E-09, 5-ACRS-6A-01-1) In accordance with [OP-060104](#) entitled "Community Corrections Assessment" and [OP-060204](#) entitled "Inmate Transfers," the case manager maintains inmate transfer eligibility and program needs, assists inmates with pre-release plans and re-entry preparation, and processes inmate-related correspondence and other materials relating to the inmate's commitment. The case manager serves as the primary contact point between the inmate, the administration, and the community. (5-ACI-5E-09)

C. Correctional Unit Assistant

1. Where available, correctional unit assistants provide services such as counseling and guidance for the inmates on the unit in areas of institutional conduct, personal hygiene, and sanitation. Correctional unit assistants will visit inmates at their work and program assignments regularly and are the first resource for inmates in resolving daily problems.
2. Correctional unit assistants may be responsible for sanitation of the unit, assist with classification, the disciplinary process, program provision, assist the inmate with re-entry plans, security, and other duties on the unit as directed by the unit manager.

These services may be provided by case managers at facilities/units where correctional unit assistants are not available.

D. Unit Officers

1. Housing unit officers have direct responsibility for the day-to-day supervision of inmates and the enforcement of rules and regulations. Unit officers maintain safety, security, and sanitation in the unit.
2. Unit officers are in regular contact, visual and auditory, with inmates in units and are encouraged to establish professional relationships with them, as long as the interaction does not interfere with their primary security duties. (5-ACI-3A-03, 5-ACI-3A-06)
3. Officers are normally supervised by the unit manager or the shift

supervisor, in accordance with the master roster. Assignments away from the unit will be authorized by the unit manager or shift supervisor.

III. Communications

Written policy, procedure, and practice provide for a system of two-way communication between all levels of staff and inmates. (5-ACI-1A-16, 4-ACRS-7D-36) Written policy, procedure, and practice facilitate personal contact and interaction between staff and inmates. (5-ACI-3A-06)

- A. Unit staff will maintain bulletin boards with written information of interest to inmates. Information on bulletin boards will be in accordance with [OP-130107](#) entitled "Standards for Inspections."
- B. Unit managers may utilize town hall/SharePoint, staff, and other group and individual meetings, at their discretion, to improve communications in the unit. (5-ACI-1A-16, 4-ACRS-7D-36) Reports may also be prepared on a regular basis for the facility head or others, which summarize unit operations.
- C. A unit plan will be developed to define the mission and goals of the unit,) describe programs available, define responsibilities for staff and inmates, and provide a method of evaluating the operations of the unit. An annual evaluation will include a review of inmate needs to ensure that programs and services are available to address such needs. (5-ACI-5E-04)
- D. An inmate who has a request that does not fall within one of the categories for filing an "Inmate/Offender Grievance Process Request to Staff" ([DOC 090124D](#)) in accordance with [OP-090124](#) entitled "Inmate/Offender Grievance Process," may utilize the "Inmate Request" form ([DOC 030101A](#), attached) and submit the form to the named staff member. Any requests submitted on blank paper may be returned denied.

IV. Team Reviews

Unit or facility classification committees will be conducted by the unit team to ensure that each inmate has the opportunity to formally meet with their assigned unit staff.

- A. New arrival reviews of inmates will normally be held by the unit team within ten working days and after all orientation and testing is complete. (5-ACI-5B-05)
- B. Reviews will be held to adjust level assignments in accordance with [OP-060107](#) entitled "Systems of Incarceration," and [OP-060203](#) entitled "Adjustment Review"; work, program, and housing assignments in accordance with [OP-030102](#) entitled "Inmate Housing," and [OP-030103](#) entitled "Inmate Job and Program Assignments." (5-ACI-7A-09)

- C. Reviews will include gathering the information needed to prepare the inmate for re-entry in accordance with [OP-060901](#) entitled "Pre-Release Planning," transfer or custody reduction requests, and any information necessary for reports to the paroling authority.
- D. The unit manager or designee will post a list of prospective scheduled inmate classification and adjustment reviews at least 48 hours prior to the review. Inmates will be provided with a written advisement of each team action. An inmate may voluntarily waive their right to a 48-hour notice ([OP-060103](#) entitled "Custody Assessment Procedures" [Female/Male](#), Section I. A. item 1. by signing the "Unit/Facility Classification Committee Waiver of 48 Hour Notice," ([Attachment C](#) attached)).

V. Facility/Unit Audits

A. Unit Manager/Case Manager IV Audit Responsibilities

- 1. On a monthly basis, unit managers will audit ten files, divided equitably among their case managers' caseloads, utilizing the "Case Management Audit" form ([Attachment A](#), attached). The audit will include at a minimum, an accurate and timely custody assessment, eligibility for lower security, program participation, level assignment, case notes, required pre-release information, and other case management requirements. Case files will be randomly selected by the unit manager. Files to be audited must be 120 days past their reception date at initial facility from LARC/MBARC.
- 2. At facilities, the case manager IV will audit 1% of the facility's inmate population each month, also utilizing the "Case Management Audit" form ([Attachment A](#), attached). Files audited will be randomly selected and will not be the same as those audited by the unit managers. Files to be audited must be 120 days past their reception date at initial facility from LARC/MBARC.

B. Completion and Distribution

- 1. Unit managers/case manager IVs will complete audits of the case managers' caseloads utilizing the "Case Management Audit" form ([Attachment A](#), attached).
- 2. Completed audit forms will be sent to the deputy warden for review.
- 3. The deputy warden will compile the information utilizing the "Facility/Unit Audit" form ([Attachment B](#), attached), with appropriate corrective action taken. The reports will then be forwarded to the facility head.

4. Upon review by the facility head, the "Facility/Unit Audit" form, ([Attachment B](#), attached) will be forwarded to the appropriate administrator by the 15th of each month.

VI. Procedural Guidelines for Community Corrections

A. Case Manager IV

1. The case manager IV is responsible for oversight of case management at the facility and is a senior member of facility staff. The case manager IV maintains a close working relationship with other departments and ensures quality assurance of inmates' records and classification, to include inmate transfer eligibility and re-entry preparation. In addition, the case manager IV reviews inmate eligibility rosters and ensures the quality of facility programs.
2. Case manager IV's will conduct case management audits as specified in Section V. of this procedure, with copies submitted to the facility administrator. The facility administrator will review and then forward to the administrator of Institutions.

B. Case Manager

1. The case manager is responsible for all casework and many social services functions, preparing classification actions and parole reports, ensures consistent reviews of inmates regarding any special needs, security and/or level assignment change, and enters the required data and other pertinent information into the OMS.
2. Case managers provide social services such as counseling, cognitive program provision and guidance for inmates in areas of individual conduct, personal difficulties, social skill development, to include guidance to those with physical and developmental disabilities, crisis intervention, interpersonal communications, and planning for the future. (4-ACRS-6A-01-1)
3. In accordance with [OP-060104](#) entitled "Community Corrections Assessment" and [OP-060204](#) entitled "Inmate Transfers," the case manager maintains inmate eligibility and program needs, assists inmates with pre-release plans and reentry preparation, and processes inmate-related correspondence and other materials relating to the inmate's commitment. The case manager serves as the primary contact point between the inmate, the administration, and the community. (4-ACRS-5A-07)

VII. Appeals

The classification plan specifies criteria and procedures for determining and changing an inmate's program status. The plan includes at least one level of

appeal of a decision by the unit team to the appropriate facility head in accordance with [OP-090124](#) entitled "Inmate/Offender Grievance Process." (2-CO-4B-03, 5-ACI-5B-07)

VIII. References

Policy Statement P-030100 entitled "Provisions of Services/Inmate Rights and Responsibilities"

OP-030102 entitled "Inmate Housing"

OP-030103 entitled "Inmate Job and Program Assignments"

OP-060103(F) entitled "Female Custody Assessment Procedures"

OP-060103(M) entitled "Male Custody Assessment Procedures"

OP-060104 entitled "Community Corrections Assessment"

OP-060107 entitled "Systems of Incarceration"

OP-060203 entitled "Adjustment Review"

OP-060204 entitled "Inmate Transfers"

OP-060901 entitled "Pre-Release Planning"

OP-090124 entitled "Inmate/Offender Grievance Process"

OP-130107 entitled "Standards for Inspections"

OP-150101 entitled "Physical Plant Development"

OP-150205 entitled "Capacities of Facilities"

PREA 115.18 (a)

IX. Action

The administrators of Institutions are responsible for the compliance with this procedure.

The chief administrator of Institutions is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the agency director.

This procedure will be effective as indicated.

Replaced: OP-030101 entitled "Unit Management Overview and Major Objectives" dated November 18, 2020

Distribution: Policy and Operations Manual
Agency Website

| <u>Referenced Forms</u> | <u>Title</u> | <u>Location</u> |
|-----------------------------|--|---------------------------|
| DOC 090124D | "Inmate/Offender Grievance Process Request to Staff" | OP-090124 |

| <u>Attachments</u> | <u>Title</u> | <u>Location</u> |
|------------------------------|---|-----------------|
| DOC 030101A | "Inmate Request" | Attached |
| Attachment A | "Case Management Audit" | Attached |
| Attachment B | "Facility/Unit Audit" | Attached |
| Attachment C | "Unit/Facility Classification Committee Waiver of 48 Hour Notice" | Attached |