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Unit Management Overview and Case Manager IV Objectives

It is the policy of the Oklahoma Department of Corrections (ODOC) to use a functional unit management system in its facilities to deliver programs and staff service to inmates and more effectively oversee the operations 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 have a unit manager that facilitates staff/inmate contact and interaction to the greatest degree practical. (5-ACI-1A-16, 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, 5-ACI-2B-03) When designing or acquiring any new facility and in planning any existing facility expansion, the agency will consider the effect of the design, acquisition, expansion, or modification upon the agency's ability to protect inmates from sexual abuse. (PREA 28 C.F.R. § 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

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

Unit staff in the institution normally include:

- a. One unit manager;
- b. Case managers;
- c. One secretary, if applicable;

- d. Correctional unit assistants;
- e. Unit correctional officers.

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, etc. (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. Weekend, late night, and holiday coverage will be provided as unit, facility, or division needs dictate.

A. Unit Manager

The unit manager is a member of senior facility staff and is responsible for maintaining a close working relationship with other departments. Unit managers are responsible for participating in the job change committee, assisting with program needs, providing re-entry services, inmate orientation, chairing the Unit Classification Committee (UCC), overseeing sanitation, acting as the disciplinary coordinator if one has not been assigned, being the housing coordinator and other tasks as needed.

1. Job Change Committee

The unit manager will serve on the weekly job change committee to ensure all inmate and new arrivals are properly assigned a job duty.

2. Programs Provider

The unit manager will assist with providing and teaching programs to the inmates on their unit.

3. Re-entry Services

The unit manager will assist with providing re-entry services in accordance with [OP-060901](#) entitled "Pre-Release Planning. The unit manager will assist with providing re-entry services in accordance with [OP-060901](#) entitled "Pre-Release Planning." Re-entry services that may be provided include conducting mock interviews, pre-release planning, helping inmates obtain birth certificates, social security cards, and drivers licenses, etc.

4. Inmate Orientation

The unit manager will attend weekly inmate new arrival orientation to address facility rules, address specifics about the facility and answer questions raised by the inmates.

5. UCC Chair

The unit manager will review and sign custody assessments, new arrivals, adjustment reviews, and transfer requests as the UCC chair.

6. Sanitation

Responsible for the overall sanitation of the housing unit. The responsibilities include the assignment of inmate workers to specific orderly duties. These duties will include floors, showers, bathrooms (if applicable), water fountains, microwaves, ice machines, laundry rooms (if applicable), TV/day rooms, walls, ledges, windows, foyers, chases, etc. Unit managers will conduct inspections of all areas of the unit to ensure expectations are being met. Unit managers will ensure orderlies have the proper cleaning supplies and equipment provided on a daily basis. Unit managers will also ensure inmate cells/living areas are compliant with facility/unit rules.

The unit manager will conduct the weekly safety and sanitation inspection in accordance with [OP-130107](#) "Standards for Inspection".

7. Disciplinary Coordinator

The unit manager may serve as the disciplinary coordinator for their unit if one has not been assigned. If the unit manager is the disciplinary coordinator, they will process all disciplinary misconducts as outlined in [OP-060125](#) entitled "Inmate/Offender Disciplinary Procedures." This will include the serving of misconducts, issuing sanction(s) and holding hearings for other unit managers when necessary.

8. Housing Coordinator

The unit manager will serve as the housing coordinator for the unit. The unit manager will take into consideration factors such as inmate crime, race, gang affiliations, job assignments, program assignments, etc. when making cell assignments in an effort to reduce issues on the unit.

9. Other

The unit manager may assist security staff with recreation, medical appointments, showers, counts, etc. The unit manager may assist in the escorts to and from recreation, showers, and medical on

maximum security units. The unit manager may assist in the supervision of recreation areas at medium/minimum security to ensure inmates receive the required recreation.

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 ICON.
2. Case managers provide social services, 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-08 b#3, b#4, 5-ACI-5E-09, 4-ACRS-6A-01-1). 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.

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-2B-03, 5-ACI-3A-03, 5-ACI-3A-06)

3. Officers are normally supervised by the unit manager or the shift supervisor. 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 Communication

1. 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."
2. 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) Unit managers will complete and document town hall meetings at a minimum of once per month. Reports may also be prepared on a regular basis for the facility head or others, which summarize unit operations.
3. 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. (5-ACI-5E-08 b#4) 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)
4. 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" ([DOC 030101A](#)) and submit the form to the named staff member. Any requests submitted on blank paper will 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. Classification Committee

1. 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)
2. 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 assignment reviews will be held in accordance with [OP-030102](#) entitled "Inmate Housing" and [OP-030103](#) entitled "Inmate Job and Program Assignments." (5-ACI-7A-09)
3. 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.
4. A list of prospective scheduled inmate classification and adjustment reviews will be posted or provided at least 48 hours prior to the review. An inmate may voluntarily waive their right to a 48 hour notice by signing the "Unit/Facility Classification Committee Waiver of 48 Hour Notice" ([Attachment C](#)).

V. Case Manager IV

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. The Case Manager IV will supervise all case managers and conduct case management audits.

A. Facility/Unit Audits

1. At facilities, the Case Manager IV will audit 1% of the facility's inmate population each month utilizing the "Facility/Unit Audit" ([Attachment B](#)). Files audited will be randomly selected. Files to be audited will be 120 days past their reception date at initial facility from LARC/MBARC. Completed audit forms along with a list of inmates audited will be sent to the deputy warden for review.
2. The Deputy Warden will compile the information utilizing the "Facility/Unit Audit" ([Attachment B](#)), with appropriate corrective action taken. The reports will then be forwarded to the facility head.

3. Upon review by the facility head, the "Facility/Unit Audit", ([Attachment B](#)) will be forwarded to the appropriate Administrator of Institutional Operations or designee by the 15th of each month.

VI. 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)

VII. 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-060107 entitled "Systems of Incarceration"

OP-060125 entitled "Inmate/Offender Disciplinary Procedures"

OP-060203 entitled "Adjustment Review"

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 28 C.F.R. § 115.18 (a)

VIII. Action

The Administrators of Institutional Operations are responsible for the compliance with this procedure.

The Chief Administrator of Operations 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 January 20, 2022

Distribution: Policy and Operations Manual
Agency Website

<u>Referenced Forms</u>	<u>Title</u>	<u>Location</u>
DOC 030101A	"Inmate Request"	Attached
DOC 090124D	"Inmate/Offender Grievance Process Request to Staff"	OP-090124
<u>Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment B	"Facility/Unit Audit"	Attached
Attachment C	"Unit/Facility Classification Committee Waiver of 48 Hour Notice"	Attached