



Correctional Alternative Rehabilitation (CAR) Program

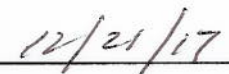
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Approved by:



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Date

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Introduction

The Correctional Alternative Rehabilitation (CAR) Program is a program initiative developed by the New York State Department of Corrections and Community Supervision (DOCCS). DOCCS is fully accredited by the American Correctional Association (ACA) with approximately 52,000 inmates.

Program Definitions

Throughout this document, the following terms will be used and are defined as follows:

SHU:	Special Housing Unit
RESTART:	Reduced Security Therapy and Recreation
GTP:	Group Therapy Program

Program Description

The CAR Program is an initiative developed by the New York State DOCCS to address the special needs of inmates with intellectual and adaptive deficits, who are serving disciplinary sanctions in SHU or Separate KL Unit. Each of these individuals will require individualized IQ testing as well as an Adaptive Behavior Assessment System (ABAS) either prior to participating in the CAR program and/or shortly after their arrival. The CAR program will be established at Sullivan Correctional Facility.

The purpose of the CAR Program is to provide rehabilitative and supportive services and housing for inmates who have intellectual and adaptive deficits, and have SHU/KL confinement sanctions. Identified individuals will be placed in the program as an alternative to SHU or a Separate KL Unit. The CAR program is not designed as an end destination for long-term housing but rather as an alternative for the identified population who would otherwise be housed in SHU or a Separate KL Unit. The program staff at CAR will conduct an Inmate Assessment Form (Appendix 1) for each inmate, which includes an evaluation of the inmate's adjustment to prison based on a review of his records; i.e. guidance record, any programs he may have attended, as well as rule infractions with which he may have been charged during his incarceration. All records including academic, vocational and familial background will be reviewed in addition to any medical or mental health diagnoses. The review will also entail an assessment of the inmate's instant offense as well as his past criminal history to ensure not only relevant group assignments in CAR but more importantly, proper placement once the inmate completes CAR.

The program is designed to offer up to four hours of structured out-of-cell programming per day. It will offer various DOCCS facilitated groups to assist the inmate adjusting to prison without falling into the behaviors which resulted in SHU sanctions.

Target Population

The target population for the CAR Program is inmates with a combination of a documented BETAWAIS IQ of 70 or below and who have a SHU or KL sanctions of more than 30 days. Others who have limited intellectual abilities, or who have otherwise not sufficiently developed their cognitive skills, adaptive functioning, and coping skills may be considered at the discretion of DOCCS. The CAR Program is designed as an alternative to SHU or Separate KL Unit to address the needs of the above-mentioned inmates absent an exceptional circumstance which would preclude their removal from SHU or Separate KL Unit.

Program Goals

The CAR Program provides evaluation, interventions and supportive rehabilitation services for any DOCCS inmate meeting admission criteria. The program's goal is to assist inmates with developing skills and providing supports that will facilitate, upon completion of SHU/KL sanctions, integration into the general prison population or a special program.

Management and Rehabilitation Considerations

As a group and individually, CAR Program inmates may be challenging to engage in rehabilitation and may have varying degrees of maladaptive behavior. The CAR Program is designed to ensure the personal safety of all individuals involved and to promote and maintain pro-social, non-violent, and adaptive behavioral skills.

CAR Program inmates require specialized behavioral management and cognitive behavioral interventions addressing underlying attitudes, beliefs, emotional deficits, coping skills deficits, and impulsivity that may give rise to their maladaptive behaviors. Program modules targeting cognitive and behavioral deficits will be offered.

Group programming will be offered based on individual assessments. Groups may include, but are not limited to the following areas; improving self-control, improving social skills, enhancing positive social relationships and reducing negative behavior.

Referral, Admission, and Discharge Planning Process

Referral Process

Identified inmates who receive a sanction of more than thirty (30) days confinement in SHU/KL following the completion of a Tier III hearing, paired with a documented BETA/WAIS IQ of 70 or below will be referred to CAR via the CAR Referral Form (Appendix 2). Upon receipt of the referral, DOCCS Bureau of Mental Health Services will review and make a determination on the appropriateness for the CAR Program. Further testing, such as an ABAS, may be recommended at that time to aid in the review for appropriate placement.

Admission Process

Once an inmate has been reviewed and accepted by DOCCS for admission to the program, the DOCCS Bureau of Mental Health will coordinate the transfer review through the DOCCS Office of Classification and Movement. The process of actual admission as well as clothing and amenities issued to the CAR Program will be described in the CAR Program Facility Operations Manual.

Program Review Committee (PRC)

The PRC will meet daily and additionally if needed, including at least two (2) meetings per week during the afternoon shift. The PRC will review specific inmate behaviors and program participation as well as concerns related to security and mental health. The PRC will also review inmate appropriateness for level progression. In addition, each individual in the program will be reviewed by the PRC bi-weekly for time cut recommendations utilizing the Discretionary Time Cut Review form (Appendix 3), which will be forwarded to the Superintendent for review. PRC meeting minutes will be taken daily, and will be documented and distributed as indicated on the PRC Meeting Minutes template (Appendix 4).

The CAR PRC will be comprised of DOCCS staff and will be co-chaired by the Assistant Deputy Superintendent and the assigned program Captain.

The Program Review Committee will consist of CAR staff:

Assistant Deputy Superintendent	Captain
Sergeants	Correction Officers
Teachers	Psychologist
Offender Rehabilitation Coordinator(s)	Social Worker(s)
Recreation Program Leader	

Discharge Process

The discharge planning process in the CAR program begins immediately upon admission. While length of stay will vary, the CAR PRC will begin to plan for appropriate post-program discharge upon admission to the program. The discharge plan is adjusted as appropriate during the course of rehabilitation. If SHU/KL expires before completing the program, the inmate will be removed from the program and placed in appropriate program. If the inmate was previously in a SNU and has begun the Person-Centered Planning process, CAR Program staff will continue to monitor the goals established in their Individualized Program Plan (IPP). When an inmate successfully completes his CAR programming, remaining SHU/Keeplock time will be suspended or cut, thus creating a pathway to return to a non-SHU/Keeplock environment. Continued SHU/Keeplock suspension will be contingent upon on-going positive adjustment and/or appropriate treatment compliance, which may include the inmate's willingness to participate in appropriate IQ and/or ABAS testing. The inmate will be discharged from the CAR Program to an approved program upon completion of the SHU sanction, which will be monitored by the Assistant Deputy Superintendent. No inmate that completes the program will be discharged to SHU or Long Term Keeplock from CAR. As the length of the DOCCS sentence allows, it is expected that inmates successfully completing the entire CAR program will be returned to the most appropriate supportive environment within the correctional system (e.g. SNU, TrSNU, GP, etc.). Discharge from the program is determined by achievement of specific milestones (as outlined in this program manual), PRC recommendations and approval of the Superintendent. Any time cut recommendation over 2 years must be forwarded to the appropriate Deputy Commissioner for review and approval.

The PRC will utilize the Discharge Recommendation Form (Appendix 5) and forward it to the Superintendent for approval. If an inmate is recommended for discharge, by the PRC prior to SHU/KL sanction completion date, any remaining SHU or Keeplock time will be reviewed by the Superintendent prior to discharge. The Superintendent will review the recommendation of the PRC and approve a modification of confinement time as appropriate.

Although it is expected that all inmates who are admitted to the CAR program will fulfill its requirements and successfully complete the rehabilitation levels, there are contingency plans for possible referral from CAR.

Removal from the CAR program is appropriate only in exceptional circumstances and will not be considered without ample evidence and documentation of substantial risk to the safety of inmates or other persons, or a substantial threat to the security of the facility. The PRC will make this recommendation to Superintendent for approval. Superintendent will refer to Central Office for final determination.

The PRC will take into consideration a number of areas when reviewing for successful completion. Some areas include, but are not limited to, the inmate's ability of understanding the CAR program and structure, the inmate's willingness to positively participate in their treatment plan, compliance with all assignments, the number of misbehavior and informational reports, the inmate's ability to not regress or display disruptive or negative behavior, etc.

Program Design

An inmate's program modules within his level will be determined based upon the needs identified during his Orientation/Assessment. Rehabilitation goals and scheduled programming will reflect the inmate's individualized rehabilitation needs. A schedule will be created and adjusted as necessary in order to provide diverse and progressive program opportunities for CAR inmates. Additional groups and programming will be developed and incorporated over time as additional best practice models of treatment with this population emerge.

Skills groups will be based upon inmates identified needs and will consist of education, recreation and various skills groups. Skills groups may include Interpersonal Relationships, Coping Skills, Communication, Socialization, Decision Making, Anger Management and Life Skills. With the exception of Education, Earned Eligibility Programs (EEP) will not be offered. Available programs should address identified areas of need established from the inmate's EEP needs and individualized Rehabilitation Plan (Appendix 6). Ancillary program services such as family visiting, religious counseling, General Library and Law Library services will be available according to established facility and department procedures. DOCCS programs will be tailored to the needs and functional level of inmates.

Although flexibility will be built into the program, the overall approach will combine cognitive-behavioral techniques with behavior modification as these have demonstrated efficacy in addressing the target population. Participation and behavior in groups and non-program areas will be closely monitored and discussed at Program Review Committee Meetings to determine if progress is being made and where additional areas of focus are needed.

Behavioral and Program Report Cards

As part of effective information sharing, a behavioral and program report card (Appendix 7 & 8) will be completed by security and program staff daily. The report card results will be shared at Review Committee meetings. For each group, inmates are given a score on a scale of 0-3 to reflect their participation in that group. These scores are collected at the end of each week and transferred to a report card which are distributed to inmates on Mondays. The report cards also have sections for "positives about the week" and "improvements to be made" which staff fill out to give inmates both a quantitative and qualitative review of the previous week. Reports for Friday, Saturday and Sunday will be shared at Monday's staff meeting. Inmate participation and behavior in groups and non-program areas will be closely monitored to determine if progress is being made and where additional areas of focus are needed. In order to incorporate a systemic way to measure this and to provide routine feedback to inmates, all program facilitators and security staff on each shift will score each inmate's group participation and behavior based on a behavioral checklist rating system. Inmates will be provided a report card every two weeks during rounds as additional method of communicating progress.

Informational Reports

Informational Reports (Appendix 9) are used to convey information that is positive, negative, or other in regard to the inmate's behaviors within the program area and/or housing unit.

They are also used as a communication tool, to provide a means of sharing information between staff and inmate, while also providing staff the means to document less serious conduct without having to utilize the formal disciplinary process.

The Informational Report on a CAR Program inmate can be filled out by any staff member. By the next business day, it is presented to the CAR Program Review Committee and an appropriate response is determined at that meeting. The Informational Report will be kept in the inmate's individual CAR Program folder.

Although the CAR Program promotes positive programming and the use of Informational Reports, program participation does not exempt inmates from the disciplinary system. In cases where serious maladaptive and dangerous behaviors are exhibited, the inmate will be dealt with through the DOCCS Disciplinary System.

The CAR Program Review Committee and Facility Administration will collaborate to determine which approach should be employed in specific instances where the appropriate response is unclear.

Designated Security and Civilian staff will share all decisions and recommendations made by the PRC regarding the informational report with the inmate within one (1) business day of the Review Committee's decision.

Chronic Refusers

Inmates who consistently refuse programs require close monitoring in efforts to encourage program compliance and active participation toward individual rehabilitation goals. This may include alternate placement/transfer as recommended by the PRC and approved by the Superintendent. This recommendation will be forwarded to Central Office for final determination.

In order to monitor and document program refusers, a tracking spreadsheet (Appendix 10) has been developed for use in the CAR Program to track progression through the program. The tracking spreadsheet should be submitted to DOCCS Bureau of Mental Health staff every Friday.

Level Overview

There are three (3) levels in the CAR program; Assessment and Orientation, Rehabilitation Level I, and Rehabilitation Level II. Upon admission to the CAR Program, inmates will be provided a period of orientation and then progress through three (3) levels based on their behavior and participation in the program. Level progression will depend on an inmate's ability to achieve and maintain specific milestones. These milestones are normally reached prior to advancing through levels, however the CAR Program Review Committee will review the totality of the circumstances, including overall security risk, and make the final determination regarding an inmate's appropriateness for movement through the CAR Program level system.

Structure of Rehabilitation

The weekly schedule will be posted in the Program area and the Housing Unit. Groups are scheduled for two (2) hours per day for Assessment and Orientation and four (4) hours per day for Rehabilitation Levels Monday through Friday, in addition to exercise. Groups and programs will be facilitated by a DOCCS Social Worker, Psychologist, Offender Rehabilitation Coordinator, ORC ASAT, Teachers, and a Recreation Program Leader. Monday's schedule will include an earned movie for those individuals who positively participated in program during the week. For those individual's ineligible for the movie, attendance at an alternative group will be required. For inmates who display positive program participation and demonstrate improvements in their behavior additional incentives will be offered throughout the level system. Inmates will have the opportunity to meet with the Review Committee once monthly, or as needed to discuss individual progress in the program.

Assessment and Orientation

Upon admission to the CAR Program, inmates are placed into an Assessment and Orientation Group (Appendix 11). Inmates will attend this group for two (2) hours per day, for three (3) consecutive weekdays (excluding holidays). It is anticipated that the orientation process will be completed within three (3) business days, unless otherwise determined by the Review Committee. The purpose of this level is to introduce inmates to the program by providing information about expectations, policies and procedures. In addition, assigned staff will have the opportunity to complete assessments, identify individual rehabilitation needs, Rehabilitation Plans, and program schedules. This will assist individuals to make a smooth transition to the CAR Program while cultivating motivation for change as the PRC solicits input into the rehabilitation planning process.

Inmates in the CAR Program will be placed in security restraints during all out-of-cell movement and groups will occur in secure RESTART's. Restrained inmates will not be escorted in groups with unrestrained inmates. Inmates will be restrained behind the back during block movement only (i.e., showers, exercise.) The Officer is responsible to maintain control and safety of the inmate when restrained in this manner.

Rehabilitation Level I

Inmates who have completed the Assessment and Orientation group will be assigned to active programming in Rehabilitation Level I. Upon entry into Rehabilitation Level I, individuals will be expected to begin to participate in four (4) hours daily of structured programming by demonstrating an understanding of the CAR program, becoming involved in rehabilitation and by not displaying disruptive behavior. Efforts will be made to instill, expand, and continually assess a readiness in the inmate to contemplate the need to change. During this level, inmates will be moved in the same manner as those assigned to the Assessment and Orientation Level previously mentioned. To be considered for promotion from the Rehabilitation Level I to Rehabilitation Level II, inmates must reach the following milestones:

- Participate in the Rehabilitation Level I for a minimum of thirty (30) days.
- Receive no misbehavior reports for at least thirty (30) days post Orientation.
- Have a positive recommendation from the Program Review Committee.
- Demonstrate appropriate level of program participation while in group.
- Demonstrate respectfulness to self, peers and staff as evidenced by expressing self calmly in groups and other situations (e.g. not yelling, coercing, demanding or threatening)
- Makes an effort to keep self and cell clean and neat.
- Makes an effort to express negative emotions appropriately in all situations.
- Move between groups and programs without being disruptive.

- Demonstrate an understanding and actively participate in the rehabilitation planning process.
- Negative informational reports may not exclude inmates from advancing.

Rehabilitation Level II

Inmates who have successfully completed Rehabilitation Level I and are approved for advancement by the CAR Program Review Committee will be transitioned to Rehabilitation Level II. Inmates will continue to be assigned four (4) hours of programming based on individual needs. A half (1/2) day work assignment may be granted in this level to inmates with recommendation from the PRC and approval by the Deputy Superintendent for Security. During this level, inmates are expected to gain and demonstrate a more comprehensive understanding of their behavior and needs. During this level, inmates will not be moved in security restraints or be secured in a RESTART unless under a restraint order or moving with other restrained inmates. To be considered for successful completion, the following milestones should be considered:

- Continue to meet all level 1 milestones.
- Demonstrate ability to handle work assignments
- A period of time with no significant behavioral concerns
- Demonstrate openness to constructive feedback from others
- Demonstrate ability to ask for guidance from staff when having difficulties
- Demonstrate responsible use of increased privileges
- Demonstrate use of acquired coping skills when faced with difficulties in day-to-day living
- Express emotions appropriately
- Complete program assignments on time.
- Demonstrate appropriate level of program participation while in group.
- Demonstrate respectfulness to self, peers and staff as evidenced by expressing self calmly in groups and other situations (e.g. not yelling, coercing, demanding or threatening)
- Demonstrate an understanding and actively participate in the rehabilitation planning process.

Level Regression

Regardless of level, inappropriate behavior or refusal to participate may result in the inmate returning to a previous level or removal from program. The CAR Program Review Committee will review each case individually and make a determination and recommendation to the Superintendent. Infractions may result in additional disciplinary sanctions as outlined in DOCCS regulations.

For example, if an inmate is returned to the Rehabilitation Level I, he will again have to achieve the milestones needed to move to Rehabilitation Level II. Additional groups may be offered to address the specific behavior that resulted in the level regression.

Program Movement/Security Restraints

The CAR Program Sergeant will be present during the movement of CAR Program inmates to the program area. The CAR Program Sergeant will be present in the CAR Program Area during program hours and will be on the CAR Program Housing Unit anytime inmates are out of their cells during feed-up and recreation. Assistant Deputy Superintendent for Mental Health and assigned Captain will complete daily rounds in the housing and program area.

CAR Group Therapy Program (GTP)

If it is determined by Central Office that an inmate be removed from CAR because he poses a substantial risk to the safety and security of staff, inmates, or the security of the facility, that inmate should be referred to the CAR GTP at Green Haven Correctional Facility.

When such a determination is made, an Exceptional Circumstance Form must be completed (See Appendix 13). Any time the Exceptional Circumstance Form is completed, it must indicate the reason why a substantial risk would be created to the safety of staff, inmates, or security of the facility if this inmate were to be returned to Sullivan CAR and/or offered out-of-cell programming. If the inmate has been removed from SHU and subsequently placed in a Residential Crisis Treatment Program (RCTP), medical, outside hospital, etc. the completion of the Exceptional Circumstance form is not required as the inmate is receiving other required care. Please see Appendix 13 for the form and direction on how to complete.

GTP Referral Process

CAR inmates who have been determined to pose a substantial risk to the safety and security of the facility, staff, and inmates may be referred for CAR GTP by the CAR Program Review Committee to DOCCS Bureau of Mental Health. If an inmate is approved by DOCCS Bureau of Mental Health, both Sullivan and Green Haven Correctional Facilities will be notified once the Transfer Order has been approved and the inmate has been scheduled for transportation. The Deputy Superintendent for Security (DSS) for Sullivan CF should send the completed Exceptional Circumstance Form, which documents the reason the inmate was removed from CAR, to the DSS for Green Haven CF. Additionally, the ADSMH at Sullivan will provide details surrounding the reasons for the exceptional circumstance to the ADSMH at Green Haven.

GTP Program Description

The CAR GTP will be staffed by a DOCCS Social Worker or Psychologist. The groups offered will consist of core groups aimed at the maladaptive behaviors the inmate exhibited to create the Exceptional Circumstance. Groups may include, but are not limited to the following areas: improving self-control, improving social skills, enhancing positive social relationships, and reducing negative behaviors. Additional groups may be provided if they are thought to be beneficial by the DOCCS staff. Each inmate will be offered two hours per day, five days per week of structured out-of-cell therapeutic programming.

Upon admission to the CAR GTP, inmates will meet with the DOCCS clinician for an Assessment and Orientation. It is anticipated that the orientation process will be completed within 3 days, unless otherwise determined by the ADSMH. The purpose of this is to introduce inmates to the program by providing information about expectations, policies, and procedures. The DOCCS clinician will also develop a rehabilitation plan with the inmate (Appendix 14) to address the maladaptive behaviors resulting in the exceptional circumstance. This will ensure that the inmate is familiarized with the CAR GTP and he will be empowered to participate in his treatment.

Skill groups will be based upon inmates identified needs. The overall approach will combine cognitive-behavioral techniques with behavior modification, as these therapeutic techniques have demonstrated efficacy in addressing the target population. Participation and behavior in groups and on the housing unit will be closely monitored by the CAR GTP Review Committee staff as well as Exceptional Circumstance conference telephone calls to determine if progress is being made and where additional areas of focus may be needed.

Ancillary program services such as family visiting, religious counseling, General Library, and Law Library services will be available according to established facility and departmental procedures as outlined in Directive 4933 "Special Housing Units".

GTP Discharge Process

Exceptional Circumstance conference telephone calls will occur bi-weekly with staff from the DOCCS Bureau of Mental Health and GH Executive Level staff and CAR GTP staff from Green Haven CF. This may include the Superintendent, Deputy Superintendent of Security, Deputy Superintendent of Programs, Assistant Deputy Superintendent for Mental Health, the Social Worker and Offender Rehabilitation Coordinator assigned to CAR GTP, and other staff as needed. During the telephone calls, the inmates' progress and response to treatment will be discussed and the continuation of Exceptional Circumstances will be reviewed. If it is determined that the reason for the Exceptional Circumstance no longer exists, arrangements will be made by the DOCCS Bureau of Mental Health for the inmate to be returned to Sullivan CAR and access additional hours of therapeutic programming.

GTP Incentive System

All CAR GTP inmates will enter the program with the basic SHU amenities per DOCCS Directive 4933 "Special Housing Units". Inmates participating appropriately in program over time will be eligible to earn additional amenities/privileges as discussed in and approved by the CAR GTP Review Committee. Incentives that may be considered include:

- An additional visit if approved by the Superintendent
- 1 extra phone call (collect, limit 15 minutes)
- Time cuts
- An extra shower
- Extra books, magazines, newspapers not to exceed an aggregate total of 15
- Extra photos from personal property
- Limited commissary buys

Should the participant have subsequent disciplinary problems, inappropriate behavior, or poor participation, the previously given amenities/privileges may be restricted as discussed and agreed upon by the CAR GTP Review Committee. Incentives involving SHU time cuts or conversions will be discussed regularly during these Review Committee meetings.

Each inmate who appropriately participates in the program during a week will be able to participate in a scheduled group that will allow participants to view a movie and/or partake in some other activity not otherwise available in the SHU environment. All movies presented will have prior approval of the Deputy Superintendent for Programs or designee.

CAR Incentives

Level appropriate incentives are available and will be offered to the extent possible as determined by the Review Committee, on an individualized basis, and will be Rehabilitation Plan driven. Incentives beyond, or in addition to, those established in the local manual can be recommended by the CAR Program Review Committee and will be forwarded to the Superintendent for review and approval. Inmates eligible for an incentive will be given an Incentive List form (Appendix 12) to select an appropriate incentive based on their Rehabilitation Level. The Review Committee will review and approve all incentive requests. Relapse into

inappropriate behavior results in an immediate reduction of incentives as determined by the Review Committee. Additional information on level incentives and security needs can be found in the CAR Program Facility Operations Manual.

Possible incentives for levels include, but are not limited to:

- Weekly movie
- Wage incentive (Transition and Level II with approval)
- Work Incentive
- Limited Commissary buy
- Extra Shower (s)
- Extra books, magazines, newspaper, etc.
- Extra photo (s)
- Extra phone call - 15 minute collect call
- One extra visit per month
- 1 puzzle book
- 1 deck of cards
- Additional clothing from an approved list
- Extra In- cell TV programming (Level II and Transition only)
- 1 sketch pad
- Additional exercise (Level II and Transition Level only)
- Composition notebooks
- Extra movie incentive (Transition Level only)
- Extra hair cut (Transition Level only)

DOCCS Disciplinary System

While the CAR Program involves sanctions and incentives that are applied to inmates, program participation does not exempt those enrolled in the program from the DOCCS Disciplinary System. Minor misbehaviors may be dealt with through the use of Informational Reports and the CAR Program Incentives and modifications. In the event of Misbehavior or Informational reports being written, the CAR Review Committee will review each case individually to determine if and what appropriate adjustments to programming/incentives are indicated

Quality Improvement and Outcome Evaluation

DOCCS Bureau of Mental Health will establish outcome measures and quality improvement processes to assess the program's impact on the identified population. Services provided within the CAR Program will be delivered in a manner that is consistent with existing DOCCS policies and procedures. DOCCS Bureau of Mental Health will also work with DOCCS Research Department in order to monitor the program participants to see if there's an impact on their behavior following participation in the CAR Program.

Staff Training

Due to the complexity and innovative demands of the CAR Program, it is important that all staff assigned to the CAR Program are adequately trained. In addition, training will be provided annually, and on an as needed basis as updates and new initiatives emerge. In addition, any new employee that works in CAR on a permanent basis or accepts a BID into the CAR program will be trained prior to working in the unit. Once

the training occurs, a completed training form should be submitted to appropriate regional training staff with a copy to the assigned Mental Health Program Specialist II.

Correctional Alternative Rehabilitation (CAR) Program Inmate Assessment Form
(to be completed by CAR staff)

Directions:

1. The person making the assessment is encouraged to seek information from multiple sources (housing unit officers, OMH staff, program staff (academic, vocational records), medical staff, family background, pre-sentence reports, previous school records, etc.).
2. Clearly describe observed behaviors or limitations that impair successful functioning in general population.

Inmate Name _____ Date _____
DIN# _____ IO _____
Date of Birth _____ Sentence _____
Facility _____ ER/CR/ME Dates _____
Current SHU offense and sanctions: _____

Education:

Explain inmate's education history (special education, OPWDD involvement etc...)

Cognitive Deficits:

Does the inmate have a history of Traumatic Brain Injury and/or evidence of significant cognitive deficits?
_____ Yes _____ No

If yes, explain (include date of incident or diagnosis):

Disciplinary/Behavioral History:

Please describe the inmate's current SHU offense and reason for offense, if known:

4/24/14

Appendix 1

Correctional Alternative Rehabilitation (CAR) Program Inmate Assessment Form
(to be completed by CAR staff)

Please list the inmate's UI's (dates and incidents): _____

Please list the inmate's Tier 2 and Tier 3 misbehavior reports within the last 24 months: _____

Has inmate exhibited predatory behavior?

_____ Yes _____ No

If yes, describe: _____

Is the inmate victim-prone? _____ Yes _____ No

If yes, describe: _____

Does the inmate exhibit or have a history of any other unusual or maladaptive behaviors (e.g. disruptive, inciting behavior, lewd exposure)?

Treatment History:

Drug/Alcohol Abuse? _____ Yes _____ No

Does the inmate have a history of DOCCS/OMH Program placement (RMHTU or SNU)?

_____ Yes _____ No

If yes, which? _____

4/24/14

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Appendix I

Correctional Alternative Rehabilitation (CAR) Program Inmate Assessment Form
(to be completed by CAR staff)

Has this inmate attempted suicide or have a history of self injurious behavior?

_____ Yes _____ No

If yes, explain: _____

Current OMH service level designation? _____

Is this inmate on any psychotropic medications?

_____ Yes _____ No

If so, note compliance: _____

Has this inmate been to Central New York Psychiatric Center?

_____ Yes _____ No

If yes, date of last admission: _____

Is the inmate prescribed medical medication? _____ Yes _____ No

Recommended programs/group assignments:

Additional Comments/Recommendations:

Form completed by:

Name _____

Title _____

Date _____

Facility _____

Phone _____

cc: Guidance File
CAR Program File

4/24/14

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Appendix 2

Correctional Alternative Rehabilitation (CAR) Program Inmate Referral Form

Directions for referring facility:

1. Fill out form completely and accurately
2. Email completed referral to DOCCS Bureau of Mental Health CAR Program general mailbox through Microsoft Outlook - Mentalhealth.CAR@doccs.ny.gov

Inmate Name _____ Date _____
DIN# _____ IO _____
Date of Birth _____ Sentence _____
Facility _____ ER/CR/ME Dates _____
Current SHU offense and sanctions: _____

Education/Testing:

Education Level: _____

Reading Level: _____ Date of Test: _____ Math Level: _____ Date of test: _____

BETA Score: _____ Date: _____ KBIT-2 IQ: _____ Date: _____

WAIS-IV FSIQ: _____ Date: _____ CTONI-2 IQ: _____ & WAIS-IV PRI: _____ Date: _____

Dominant Language: _____

Form completed by:

Name _____ Title _____
Date _____ Facility _____
Phone _____

cc: Guidance File
CAR Program File
DOCCS Bureau of Mental Health

4/24/14

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APPENDIX 3

CORRECTIONAL ALTERNATIVE REHABILITATION (CAR) PROGRAM DISCRETIONARY TIME CUT
REVIEW FORM

TO: Superintendent
FROM: CAR Program Time Cut Chairperson
DATE:

The following CAR Program inmate is scheduled for a discretionary review of his Special Housing Unit (SHU) time.

Name _____ DIN Number _____ Cell _____

CAR Admission Date _____ SHU Release Date _____

PERIOD OF REVIEW FROM _____ TO _____

Number of Information Reports this period: _____

Number of Misbehavior Reports this period: _____

Number of Program Refusals this period: _____

Recommend time cut of _____ days ☐ Time Cut not recommended

Assistant Deputy Superintendent/Designee: _____ Date: _____

Captain /Designee: _____ Date: _____

Superintendent's Decision: ☐ Concur ☐ Reject ☐ Modify

Comments:

Signature: _____ Date: _____

*Inmates with keeplock time remaining upon approval for discharge from the CAR Program, will have a discretionary review for keeplock time. This is the only time that keeplock sanctions will be reviewed.

4/24/14

Appendix 4

DATE:

[illegible]

GENERAL BUSINESS:

PRESENT:

Correctional Alternative Rehabilitation (CAR) Program
Discharge Recommendation Form

Directions Assessment Team:

1. Fill out form completely and accurately.
2. Send a copy to the Superintendent for review.
3. After final approval/ denial made by the Superintendent, file the form in the inmate's CAR program folder and his guidance folder.

Inmate Name _____ Date _____
DIN# _____ IO _____
Date of Birth _____ Sentence _____
ER/CR/ME Dates _____ Proposed Date of Discharge from CAR Program: _____

Type of Discharge (check one):

SHU Sanctions Complete _____
Review Committee Recommendation (for positive program participation/improved behavior) _____
Inappropriate for Services _____

Overall level of participation/progress in CAR Program:

Keyplock time remaining: _____
SHU time remaining (for Review Committee recommended discharge only): _____

SHU time cut recommended: _____
Keyplock time cut recommended: _____

Assessment Team Recommendation for placement/programs:

Assessment Team Signature (s) _____

Date _____

Superintendent Signature _____ Date _____

Approved _____

Denied _____

CC: CAR Program Folder
Guidance Folder
DOCCS Mental Health

4/24/14

Correctional Alternative Rehabilitation (CAR) Program

Rehabilitation Plan

Inmate Name (Last, First, Middle):

Date Completed:

Inmate DIN#:

Date of First Review:

Rehabilitation issues: Review all applicable assessments/evaluations (CAR Assessment, referral, Chronological Notes, etc.) and determined challenges and identified needs central to the inmate's rehabilitation. Prioritize and list challenges, issues, and concerns in the table below. Develop goals and objectives for each challenge and document date of establishment, projected completion and date of achievement.

[illegible]

4/24/14

Appendix 6

Correctional Alternative Rehabilitation (CAR) Program
Rehabilitation Plan

INMATE STATEMENT Obtain inmate input for the Rehabilitation Plan, including areas of agreement/disagreement when possible. Obtain the inmate's signature if possible or document the reason for no signature.	
Inmate Signature:	Date:
PARTICIPANTS List all participants who participate in the Rehabilitation Plan, including participation by telephone.	
Participant Name/Title:	Date:

Signature of Staff completing the form: _____ Date: _____

CC: CAR Program File

4/24/14



Corrections and Community Supervision

ANDREW M. CUOMO
Governor

ANTHONY J. ANNUCCI
Acting Commissioner

Sullivan Correctional Alternative Rehabilitation (CAR) Program Report Card

LAST, FIRST DIN#

Date:

Weekly Tracker

The "score" is a 0-3 rating; 0 = Refused, 1 = Poor/Unacceptable, 2 = Average/Acceptable,

3 = Good/Shows initiative. M = Medical, C = Call Out, T = Trip, W = Work on block

Date	Attendance		Score		Pos. or Neg.
	A.M.	P.M.	A.M.	P.M.	
9/19					
9/20					
9/21					
9/22					
9/23					

Weekly Summary

Positives about the week:

Improvements to be made:

Behavior on the housing unit:

INMATE
CAR FOLDER

Appendix 8

Correctional Alternative Rehabilitation (CAR) Program Daily Attendance

Directions:

1. Please fill out the attendance sheet completely and accurately.
2. The "score" is a 0-3 rating; 0= Refused, 1= Poor/Unacceptable, 2 = Average/Acceptable, 3 = Good/Shows Initiative. If the I/M did not attend for any other reason than a refusal, indicate reason in the "score" section. See reason key below.
3. Return the Daily Attendance form to the KBS I at the end of each module.

Group Name:

Date:

Time:

Room#:

Instructor:

Inmate Name	DIN	Score	Comments

M=MEDICAL
C=CALL OUT
T=TRIP
W=WORK ON BLOCK

Instructor Signature: _____ Date: _____

*Please note, if an inmate did not attend group for any other reason than a refusal, it does not count towards the total score.

4/24/14

Appendix 9

INMATE INFORMATIONAL REPORT

NAME OF INMATE (LAST, FIRST)	DIN #	HOUSING LOCATION
LOCATION	DATE	TIME
TYPE OF BEHAVIOR		
POSITIVE BEHAVIOR ____	NEGATIVE BEHAVIOR ____	OTHER BEHAVIOR ____
DESCRIPTION OF BEHAVIOR		
REPORT DATE	REPORTED BY:	SIGNATURE
		TITLE:

----- BELOW TO BE COMPLETED BY CAR PROGRAM REVIEW COMMITTEE -----

DATE REVIEW COMMITTEE MET:		
ACTION TAKEN BY REVIEW COMMITTEE		
DATE ACTION TAKEN:	DATE REVIEWED WITH INMATE	REVIEWED BY: STAFF SIGNATURE/TITLE:
SIGNATURES OF REVIEW COMMITTEE:		

CC: CAR Program File

4/24/14

**Correctional Alternative Rehabilitation (CAR) Program
Chronic Refuser Procedure**

Inmates who consistently refuse programs require close monitoring in efforts to encourage program compliance and active participation toward individual rehabilitation goals.

In order to monitor and document program refusers, a tracking spreadsheet has been developed for use in the Correctional Alternative Rehabilitation (CAR) Program to track progression through the program. The attached spreadsheet is expected to be completed on a weekly basis by the Assistant Deputy Superintendent or designee and sent to DOCCS Bureau of Mental Health via Outlook.

In addition to the spreadsheet documenting each program refusal, a separate e-mail notification must be sent to the Director of DOCCS Bureau of Mental Health for any inmate that refuses full (both AM and PM) program for five (5) consecutive days. At the facility level, inmates who refuse five consecutive days of full program should be offered an out-of-cell contact to discuss program refusals. This referral and out-of-cell contact must be documented and include the inmate's response to intervention (compliance or refusal).

For inmates that continue to refuse programming for ten (10) consecutive days, the CAR Assessment Team will meet with the inmate to discuss the course of intervention needed to engage the inmate to participate in programming.

After sixty (60) days of program non-compliance, despite above interventions, the Assessment Team will prepare a report to submit to the Director of DOCCS Bureau of Mental Health and the facility Superintendent, documenting those inmates that continue to refuse programs. Further review will be indicated to determine if alternate placement/transfer is needed.

If you have any questions regarding this process, please contact DOCCS Bureau of Mental Health.

4/24/14

Name		DIN	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Dates I/M was seen for Private Interview

*** Any I/M that refuses all programs for 5 consecutive days, will require an e-mail notification to DOCCS Mental Health***

12/2017

S.C.F. Correctional Alternative Rehabilitation (CAR) Program Appendix 11

Assessment and Orientation Schedule

	DAY 1	DAY 2	DAY 3
9:15 - 9:45	SUPERINTENDENT (Welcome & Supt's expectations) DEPUTY SUPERINTENDENT FOR SECURITY (Security overview & expectations)	SGT./CAPTAIN (CAR PROGRAM Security Procedures: Housing, escorts, feed up etc.)	ADS FACILITY PREA COMPLIANCE MANAGER (PREA Directives 4027A/4028A) OMH UC/DESIGNEE (Mental Health Services at Sullivan C.F.)
9:45 - 10:15	*ASSIGNED CAR PROGRAM STAFF (CAR Program specific orientation per CAR Program Orientation Manual and CAR Program Inmate Handbook)	*ASSIGNED CAR PROGRAM STAFF (CAR Program specific orientation per CAR Program Orientation Manual and CAR Program Inmate Handbook)	*ASSIGNED CAR PROGRAM STAFF (CAR Program specific orientation per CAR Program Orientation Manual and CAR Program Inmate Handbook)
10:15-10:45	DEPUTY SUPERINTENDENT FOR PROGRAMS (Overview of non-CAR specific programs available) ASSISTANT DEPUTY SUPERINTENDENT (Overview of CAR Program)	IGRC SUPERVISOR (Grievance Program) DEPUTY SUPERINTENDENT FOR ADMINISTRATION (Administration functions: Commissary, Medical Business Office etc.)	*ASSIGNED CAR PROGRAM STAFF (CAR Program specific orientation per CAR Program Orientation Manual and CAR Program Inmate Handbook)
10:45 - 11:15	*ASSIGNED CAR PROGRAM STAFF (CAR Program specific orientation per CAR Program Orientation Manual and CAR Program Inmate Handbook)	*ASSIGNED CAR PROGRAM STAFF (CAR Program specific orientation per CAR Program Orientation Manual and CAR Program Inmate Handbook)	*ASSIGNED CAR PROGRAM STAFF (CAR Program specific orientation per CAR Program Orientation Manual and CAR Program Inmate Handbook)

*PLEASE BE AWARE THAT DURING THE ASSESSMENT AND ORIENTATION PERIOD, ASSIGNED STAFF WILL BE MEETING WITH THE INMATES INDIVIDUALLY TO COMPLETE A FORMAL ASSESSMENT AND A REHABILITATION PLAN.

4/24/14

Appendix 12

Correctional Alternative and Rehabilitation Program
Incentive List

Name: _____ DIN _____ Date _____ Location: _____

You received a positive informational report on _____ for _____.

You may select 1 incentive from the list which corresponds to your Rehabilitation Level. Please indicate your choice with a check mark next to the incentive and then send this back to the Assessment Team for review and their decision. The Assessment Team reserves the option to choose an incentive other than what you have requested.

*** Incentive forms MUST be turned in no longer than 5 business days from above date***

Rehabilitation Level I:

- ☐ An additional visit if approved by Superintendent
- ☐ 1 extra phone call (Collect, Limit 10 minutes duration)
- ☐ Extra shower
- ☐ 1 puzzle book (crossword, word find, etc.)
- ☐ A deck of cards (from personal property- Max 1)
- ☐ 1 sketch pad
- ☐ Extra 5 items of reading material (magazines, newspapers, books) not to exceed an aggregate total of 15
- ☐ Commissary increase of \$1.00, max of \$7.50 (Food only)

Rehabilitation Level II:

- ☐ An additional visit if approved by Superintendent
- ☐ 1 extra phone call (Collect, Limit 10 minutes duration)
- ☐ Extra 5 items of reading material (magazines, newspapers, books) not to exceed an aggregate total of 15
- ☐ Extra shower
- ☐ Commissary increase of \$1.00, max of \$15 (Food only)
- ☐ 1 puzzle book (crossword, word find, etc.)
- ☐ 10 extra photos (maximum of 30)
- ☐ A deck of cards (from personal property- Max 1)
- ☐ 1 sketch pad
- ☐ Extra T.V. programming
- ☐ Extra hour of recreation (Weekend only)
- ☐ 1 extra item of personal clothing (shoes, sneakers, shirts, shorts, sweats, underwear)

Transition Level:

- ☐ An additional visit if approved by Superintendent
- ☐ 1 extra Phone call (Collect, Limit 10 minutes duration)
- ☐ Extra 5 items of reading material (magazines, newspapers, books) not to exceed an aggregate total of 15
- ☐ Extra shower
- ☐ Commissary increase of \$1.00, max of \$25 (Food only)
- ☐ 1 puzzle book (crossword, word find, etc.)
- ☐ 10 extra photos (maximum of 30)
- ☐ A deck of cards (from personal property- Max 1)
- ☐ Extra T.V. Programming
- ☐ Extra hour of recreation (Weekend only)
- ☐ 1 extra item of personal clothing (shoes, sneakers, shirts, shorts, sweats, underwear)

4/24/14

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Corrections and Community Supervision

ANDREW M. CUOMO
Governor

ANTHONY J. ANNUCCI
Acting Commissioner

MEMORANDUM

TO: All Superintendents

FROM: Joseph Bellnier, Deputy Commissioner for Correctional Facilities 

DATE: December 21, 2015

RE: Exceptional Circumstance Form for Correctional Alternative Rehabilitation Inmates

As you know, February 19th, 2014, represented the implantation of the NYCLU Agreement wherein DOCCS agreed to provide inmates with Special Needs an alternative to Special Housing Unit (SHU) in the Correctional Alternative Rehabilitation (CAR) Program at Sullivan Correctional Facility, absent an exceptional circumstance.

Absent exceptional circumstances, inmates who are placed in the CAR program shall be offered, in addition to recreation, structured out-of-cell programming, with the exception of weekends and holidays. In some cases, when it has been determined that an inmate must be removed from the CAR program and placed in a SHU at an alternate facility, due to the inmate presenting a continued substantial risk to the safety and security of staff or inmates, an Exceptional Circumstance Form (attached) must be completed.

Any time the Exceptional Circumstance Form is completed it must indicate the reason why a substantial risk would be created to the safety of staff, inmates, or to the security of the facility if this inmate were to be returned to Sullivan CAR Program and/or offered out-of-cell programming. If the inmate has been removed from SHU and subsequently placed in a Residential Crisis Treatment Program (RCTP), medical, outside hospital, etc. the completion of the Exceptional Circumstance Form is not required as the inmate is receiving other required care.

The Deputy Superintendent for Security, in consultation with the Office of Mental Health (OMH) at their facility, or medical staff at those sites that do not have on-site OMH staff, will make a recommendation to the Superintendent for the approval to return an inmate to the CAR program. These reviews are to be completed at a minimum every 14 days.

This form should be sent to Doris Ramirez-Romero, Director of DOCCS Bureau of Mental Health, with a copy to the Deputy Commissioner for Correctional Facilities each time a new entry is completed.

If there are any questions, please contact DOCCS Bureau of Mental Health at (518)445-6071.

Exceptional Circumstance Form- CAR (3/15)

STATE OF NEW YORK- DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION
REPORT OF RESTRICTION/REMOVAL FROM THE CAR PROGRAM
_____ Correctional Facility

To be completed for any inmate who is housed in the CAR program and whose conduct poses an immediate unacceptable risk to the safety and security of inmates or staff, such that the inmate's behavior requires restriction from out of cell programming/treatment, or in circumstances where an inmate's behavior requires an immediate transfer to segregated confinement.

Name: _____ DIN: _____ Initial Review Date: _____

Removal from unit or Restriction from program for Safety & Security Reasons:

- ☐ Removal from unit due to immediate unacceptable risk to the safety of staff, inmates or to the security of the facility.
(To be reviewed at least every 14 days by the Treatment Team.)

The basis for this determination is indicated below:

DSS Name: _____ Name/Title of (ADS or SORC) consulted: _____

- ☐ Restriction on out-of-cell programming/treatment. It has been determined, in consultation with the CAR Treatment Team, that circumstances exist that preclude offering out of cell programming as such access would pose an unacceptable risk to the safety of staff or inmates. (To be reviewed at least every 14 days by the Treatment Team.)

The basis for this determination is indicated below:

DSS Name: _____ Name/Title of (ADS or SORC) consulted: _____

Exceptional Circumstance Form- CAR (3/15)

Alternative programming offered by DOCCS:

Supt. (initials) _____ Accepts _____ Rejects _____ Recommendation _____

Reviews:

Recommendation:

1. Date _____

DSS/ADS or SORC
(print name) _____

Supt. (initials) _____ Accepts _____ Rejects _____ Recommendation _____

Recommendation:

2. Date _____

DSS/ADS or SORC
(print name) _____

Supt. (initials) _____ Accepts _____ Rejects _____ Recommendation _____

THIS FORM SHOULD BE SENT TO THE DIRECTOR OF DOCCS BUREAU OF MENTAL HEALTH WITH A COPY
TO THE DEPUTY COMMISSIONER FOR CORRECTIONAL FACILITIES EACH TIME A NEW ENTRY IS
COMPLETED.

Correctional Alternative Rehabilitation Group Therapy Program				
Rehabilitation Plan				
Inmate Name (Last, First, Middle): Inmate Din #:				Date Completed: Date of First Review:
<p>Rehabilitation Issues: Review all applicable assessments/evaluations (CAR Assessment, referral, Chronological Notes, Exceptional Circumstance Form, etc.) and determine challenges and identified needs central to the inmate's rehabilitation and return to program. Prioritize and list objectives, issues, and concerns in the table below. Develop goals and objectives for each challenge and document date of establishment, projected completion, date of achievement, and progress.</p>				
Challenge (e.g. Daily Living Skills, Ineffective Coping, Poor Impulse Control, Poor Anger Management, etc.)	Goal	Objectives	Recommended Groups	Progress Review Every 7 Days: (Date and Comments)
<p>Inmate Statement Obtain inmate input for the Rehabilitation Plan, including areas of agreement/disagreement when possible. Obtain the inmate's signature if possible or document the reason for no signature.</p>				
Inmate Signature:				Date:
Signature of Staff completing the form:				Date: