



ASCA  
Performance-Based Measures System  
Counting Rules:  
Revised Key Indicators and Characteristics  
Effective September 1, 2016

Association of State Correctional Administrators  
1110 Opal Court, Suite 5  
Phone: (301) 791-2722  
Web: [www.pbms.us](http://www.pbms.us)

**ASCA PERFORMANCE STANDARDS, MEASURES, AND KEY INDICATORS**  
**(with Counting Rules)**  
**Updated 8/9/2016**

**Table of Contents**

<b>I.</b>	<b>CONTEXTUAL INFORMATION .....</b>	<b>1</b>
<b>I.1.</b>	<b>Organizational Characteristics .....</b>	<b>1</b>
I.1.1	General Organization Information .....	1
I.1.2	Scope of Responsibility .....	2
I.1.3	Sentence Length Statistics.....	3
I.1.4	Frequency Distribution of Inmates by Length of Sentence .....	4
I.1.5	Crime Distribution Among the Inmates .....	5
I.1.6	Inmate Demographics .....	7
I.1.7	Inmate Admission Status .....	8
<b>I.2</b>	<b>Facility Characteristics .....</b>	<b>9</b>
I.2.1	General Facility Information .....	9
I.2.2	Facility Staff Information.....	11
I.2.3	Inmate Demographics .....	12
<b>II.</b>	<b>PUBLIC SAFETY STANDARD .....</b>	<b>14</b>
<b>II.1</b>	<b>Escapes.....</b>	<b>14</b>
II.1.1	Escapes from a Secure DOC Facility .....	14
II.1.2	Escapes from a Secure Non-DOC Facility.....	14
II.1.3	Escapes from outside a secure DOC Facility.....	15
II.1.4	Unauthorized Absence from a Facility without a Secure Perimeter .....	16
<b>II.2.</b>	<b>Returns to Prison .....</b>	<b>17</b>
II.2.1	Recidivism – CY New Convictions within 36 months .....	17
II.2.2	Recidivism – CY Technical Violations within 36 months.....	18
II.2.3	Recidivism – CY Overall Recidivism Rate within 36 months .....	19
II.2.4	Recidivism – CY New Convictions within 24 months .....	20
II.2.5	Recidivism – CY Technical Violations within 24 months.....	21
II.2.6	Recidivism – CY Overall Recidivism Rate within 24 months .....	22
II.2.7	Recidivism – CY New Convictions within 12 months .....	23
II.2.8	Recidivism – CY Technical Violations within 12 months.....	24
II.2.9	Recidivism – CY Overall Recidivism Rate within 12 months .....	25
<b>III.</b>	<b>INSTITUTIONAL SAFETY STANDARD .....</b>	<b>27</b>
<b>III.1</b>	<b>Inmate-on-inmate Assaults .....</b>	<b>27</b>
III.1.1	Inmate-on-Inmate Assaults With Serious Injury .....	27
III.1.2	Inmate-on-Inmate Victims With Serious Injury .....	27
III.1.3	Inmate-on-Inmate Assaults Without Serious Injury .....	28
III.1.4	Inmate-on-Inmate Fights .....	29
III.1.5	Inmate-on-Inmate Assaults By Throwing Substances .....	29
<b>III.2</b>	<b>Inmate-on-Staff Assaults.....</b>	<b>30</b>
III.2.1	Inmate-on-Staff Assaults With Serious Injury.....	30
III.2.2	Inmate-on-Staff Victims With Serious Injury.....	31

III.2.3 Inmate-on-Staff Assaults that <u>did not</u> involve serious injury.....	32
III.2.4 Inmate-on-Staff Assaults by throwing substances .....	33
<b>III.3 Inmate-On-Inmate Sexual Violence .....</b>	<b>33</b>
III.3.1 Inmate-on-Inmate <u>Completed</u> Non-Consensual Sexual Acts.....	33
III.3.2 Inmate-on-Inmate <u>Attempted</u> Non-Consensual Sexual Acts.....	34
III.3.3 Allegations of Inmate-On-Inmate Non-Consensual Sexual Acts .....	35
III.3.4 Inmate-on-Inmate Abusive Sexual Contact.....	36
III.3.5 Allegations of Inmate-on-Inmate Abusive Sexual Contact.....	37
<b>III.4 Inmate-on-Staff Sexual Violence .....</b>	<b>38</b>
III.4.1 Inmate-on-Staff Completed Non-consensual Sexual acts .....	38
III.4.2 Inmate-on-Staff <u>Attempted</u> Non-consensual Sexual acts .....	39
III.4.3 Inmate-on-Staff Abusive Sexual Contact .....	40
<b>III.5 Staff-on-Inmate Sexual Misconduct .....</b>	<b>40</b>
III.5.1 Staff-on-inmate Sexual Misconduct .....	40
III.5.2 Staff-on-inmate Sexual Harassment .....	41
III.5.3 Civilian-on-Inmate Sexual Misconduct.....	42
III.5.4 Civilian-on-Inmate Sexual Harassment.....	43
<b>III.6 Inmate-on-Inmate Homicides .....</b>	<b>44</b>
III.6.1 Inmate-on-Inmate Homicides .....	44
<b>III.7 Inmate-on-Staff Homicides.....</b>	<b>44</b>
III.7.1 Inmate-on-Staff Homicides.....	44
<b>III.8 Inmate suicides .....</b>	<b>45</b>
III.8.1 Inmate Suicides.....	45
III.8.2 Inmate Attempted Suicides .....	45
<b>III.9 Positive drug tests .....</b>	<b>46</b>
III.9.1 Positive Drug Tests .....	46
<b>III.10 Disturbances .....</b>	<b>47</b>
III.10.1 Disruptive Event.....	47
<b>III.11 Cell Searches .....</b>	<b>48</b>
III.11.1 Random Cell Searches .....	48
III.11.2 Targeted Cell Searches .....	49
<b>III.12 Major Contraband Finds .....</b>	<b>49</b>
III.12.1 Major Contraband Finds of an Illicit Substance.....	49
III.12.2 Major Contraband Finds of Weapons .....	50
III.12.3 Major Contraband Finds of a Cell Phone(s).....	51
<b>III.13 Use of Force .....</b>	<b>51</b>
III.13.1 Immediate Use of Force.....	51
III.13.2 Planned Use of Force .....	52
<b>IV. SUBSTANCE ABUSE STANDARD.....</b>	<b>54</b>
<b>IV.1 Substance Abuse Assessments.....</b>	<b>54</b>
IV.1.1 Assessment of Substance Abuse Disorders.....	54

<b>IV.2. Substance Abuse Intervention .....</b>	<b>55</b>
IV.2.1 Substance Abuse Enrollment in Treatment .....	55
IV.2.2 Enrollment in Substance Abuse Outpatient Treatment.....	56
IV.2.3 Enrollment in Substance Abuse Inpatient Treatment .....	57
IV.2.4 Substance Abuse Outpatient Treatment Completions.....	58
IV.2.5 Substance Abuse Inpatient Treatment Completions .....	59
<b>V. MENTAL HEALTH SERVICES STANDARD .....</b>	<b>61</b>
<b>V.1 Mental Health Assessments.....</b>	<b>61</b>
V.1.1 Mental Health Assessment.....	61
V.1.2 Mental Health Diagnosis Among Number Assessed .....	61
V.1.3 Mental Health Diagnosis – Prevalence Among DOC Population .....	63
V.1.4 Axis I Mental Health Diagnosis -- Prevalence among assessments.....	63
V.1.5 Axis I Mental Health Diagnosis -- Prevalence among DOC Population.....	63
<b>V.2 Mental Health Treatment .....</b>	<b>64</b>
V.2.1 Mental Health Treatment for Axis I Mental Health Disorder – Prevalence among Assessed .....	64
V.2.2 Mental Health Treatment for Axis I Mental Health Disorder – Prevalence among DOC Population .....	65
<b>V.3 Mental Health Facilities .....</b>	<b>68</b>
V.3.1 Number of Mental Health Beds.....	68
V.3.2 Mental Health Placements in non-DOC Facilities.....	68
<b>VI. JUSTICE STANDARD .....</b>	<b>69</b>
<b>VI.1 Notification .....</b>	<b>69</b>
VI.1.1 Notification .....	69
<b>VI.2 Grievances.....</b>	<b>69</b>
VI.2.1 Grievances Filed.....	69
VI.2.2 Grievances Resolved Informally.....	70
VI.2.3 Grievances Resolved Formally.....	71
<b>VI.3 Lawsuits and Class Action Cases .....</b>	<b>72</b>
VI.3.1 Lawsuits Filed.....	72
VI.3.2 Lawsuits Resolved.....	72
VI.3.3 Class Action Cases Filed.....	73
VI.3.4 Class Action Cases Resolved.....	73
<b>VI.4 Disciplinary Reports .....</b>	<b>74</b>
VI.4.1 Disciplinary Reports for Major Infractions .....	74
VI.4.2 Disciplinary Reports for Minor Infractions .....	74
VI.4.3 Disciplinary Reports – Findings of Guilt.....	75
VI.4.4 Disciplinary Hearing Decisions Appealed .....	75
<b>VI.5 Administrative Segregation/Restrictive Housing.....</b>	<b>75</b>
VI.5.1 Administrative Segregation.....	75
VI.5.2 Restrictive Housing Assessment .....	76
VI.5.3 Restrictive Housing Status Reviews .....	76
VI.5.4 Restrictive Housing Mental Health Assessment.....	77
VI.5.5 Mental Health Treatment for Mental Health Diagnosis – Prevalence among Restrictive Housing Population .....	79

VI.5.6 Transition Programming among Restrictive Housing Population .....	79
<b>VI.6 Protective Custody .....</b>	<b>80</b>
VI.6.1 Protective Custody.....	80
<b>VII. ACADEMIC EDUCATION .....</b>	<b>81</b>
<b>VII.1 Education Needs .....</b>	<b>81</b>
VII.1.1 Assessment of Academic Education Needs .....	81
VII.1.2. Academic Education Needs Among Number Assessed .....	81
VII.1.3 Academic Education Needs – Prevalence Among DOC Population .....	82
VII.1.4 Secondary Education Needs – Prevalence Among DOC Population.....	83
VII.1.5 Middle School Education Needs – Prevalence Among DOC Population .....	84
VII.1.6 Primary School Education Needs – Prevalence Among DOC Population.....	84
<b>VII.2 Education Enrollment .....</b>	<b>85</b>
VII.2.1 Enrollment in Academic Education Services–Prevalence Among Assessed ..	85
VII.2.2 Enrollment in Post Secondary Academic Educational Services .....	86
– Prevalence Among DOC Population .....	
VII.2.3 Completion of Academic Education Degree .....	87
<b>VII.3 Education Slots .....</b>	<b>88</b>
VII.3.1. Number of Academic Education Slots .....	88
<b>VIII. HEALTH CARE .....</b>	<b>89</b>
<b>VIII.1 Medical Services Provided .....</b>	<b>89</b>
VIII.1.1 Health Care Encounters by Health Care Professionals.....	89
VIII.1.2 Health Care Visits by Health Care Practitioners .....	89
<b>VIII.2 Medical Problems .....</b>	<b>90</b>
VIII.2.1 Inmates Diagnosed with Active Tuberculosis .....	90
VIII.2.2 Inmates who are new TB convertors .....	90
VIII.2.3.a Number of Inmates diagnosed with chronic HCV infection.....	91
VIII.2.3.b Number of Inmates with diagnoses of chronic HCV infection.....	92
VIII.2.4 Number of Inmates with HIV virus .....	92
VIII.2.5 Number of inmates diagnosed with MRSA infection.....	92
<b>VIII.3 Medical Treatment.....</b>	<b>93</b>
VIII.3.1 Inmates Treated for TB Disease.....	93
VIII.3.2 HIV Positive Inmates Who Received Treatment.....	94
VIII.3.3 Inmates with AIDS who received treatment.....	94
VIII.3.4 Inmates with HCV who received treatment.....	95
VIII.3.5 Inmates diagnosed with a MRSA infection that received treatment .....	95
VIII.3.6 Medical Deaths .....	96
<b>VIII.4 Medical Facilities .....</b>	<b>97</b>
VIII.4.1 Inmates Admitted to Hospital.....	97
VIII.4.2 Inmates Treated for an Emergency Health Condition.....	97
VIII.4.3 Specialty Consults Completed.....	98
<b>IX. FISCAL STANDARD .....</b>	
<b>IX.1. Adult Correctional Agency Expenditures .....</b>	<b>99</b>
IX.1.1 Capital Expenditures.....	99

IX.1.2 Operational Expenditures .....	99
<b>IX.2. Adult Correctional Agency Appropriations .....</b>	<b>100</b>
IX.2.1 Total Capital Appropriations .....	100
IX.2.2 Total Operational Appropriations .....	100
IX.2.3 Operational Funds Appropriated for Food .....	101
IX.2.4 Operational Funds Appropriated for Medical Services .....	102
IX.2.5 Operational Funds Appropriated for Mental Health Services .....	102
IX.2.6 Operational Funds Appropriated for Inmate Programs .....	103
IX.2.7 Operational Funds Appropriated for Inmate Academic Education Service .....	104
<b>IX.3. Adult Correctional Agency Funding Sources .....</b>	<b>105</b>
IX.3.1 State Revenue Capital Budget .....	105
IX.3.2 Federal Capital Budget .....	105
IX.3.3 State Revenue Operational Appropriation .....	106
IX.3.4 Federal Operational Budget .....	106
<b>IX.4. Adult Correctional Agency Contractual Service Expenditures .....</b>	<b>107</b>
IX.4.1 Expenditures for Contractual Mental Health Services .....	107
IX.4.2 Expenditures for Contractual Medical Services .....	108
IX.4.3 Expenditures for Contractual Beds .....	108
<b>X. PERSONNEL STANDARD .....</b>	<b>110</b>
<b>X.1. Adult Correctional Agency Correctional Staffing .....</b>	<b>110</b>
X.1.1 Male Correctional Security Staff .....	110
X.1.2 Female Correctional Security Staff .....	110
X.1.3 Central and Regional Office Personnel .....	111
X.1.4 Security Staff Ratio to Inmates .....	112
X.1.5 Case Management Staff Ratio to Inmates .....	112
X.1.6 Security Staff Turnover Rate .....	113

## I. CONTEXTUAL INFORMATION

### 1. Organizational Characteristics

#### Counting rules:

1. Organizational data should be updated monthly, with the exception that recidivism data shall be entered yearly in March.
2. All characteristics reported as a statistical average should be computed to two decimals, e.g., 24.34. Do not round to the nearest whole number.

**Organization inmate population – Denominator for Organization Characteristics (As of July 2015, this number is computed as the sum of: Inmates Housed + Inmates Outsourced.** An agency needs only to report the counts for **Inmates Housed and Inmates Outsourced. The System computes the organization inmate population and rates across the organization characteristics.**

#### Counting rules, as of the last day of a given month, include:

1. Organization inmate population on the last day of a given month includes:
  - Inmates in facilities operated by the DOC.
  - Inmates housed in facilities operated by other state(s)' correctional facilities under a contract for bed space.
  - Inmates housed in facilities not operated by the DOC, such as county or regional jail facilities or facilities operated by private vendors.
  - Inmates housed in community-based facilities operated by the DOC, county, or private vendors. (If DOC offender's legal status is "inmate," he/she should be included in the count for the organization inmate population.
2. Organization inmate population on the last day of a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.
  - Inmates housed in the DOC facilities as "safe keepers," i.e., for an evaluation/diagnostic assessment or as a courtesy for a local facility or law enforcement agency.

### I.1.1 General Organization Information

**Operational Capacity:** Total bed capacity across all DOC facilities throughout the agency on the last day of a given month. The capacity of a facility is the number of beds authorized for safe and efficient operation of the facility. Do not include beds reserved for discipline, investigations, infirmary, or other temporary holds because these beds are used for temporary or special purposes. When the special purpose(s) or circumstances do not apply, the beds are not occupied.

**Inmates Housed:** Number of inmates in facilities operated by the DOC on the last day of a given month. Do not include inmates housed in other states' correctional facilities, facilities not operated by the DOC, or parolees. Include inter-state compact cases and offenders housed in DOC facilities as "safe keepers," i.e., for an evaluation/diagnostic assessment or as a courtesy for a local facility or law enforcement agency.

**Inmates Outsourced:** Number of inmates in facilities not operated by the DOC on the last day of a given month. Include inmates housed in other states' correctional facilities, facilities

not operated by the DOC such as facilities operated by private vendors and county or regional jails.

**Male Security Staff:** The number of FTEs (Full Time Equivalent positions) held by male uniformed staff, such as majors, captains, lieutenants, sergeants, cadets and correctional officers employed throughout the agency on the last day of a given month. Do not include inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

**Female Security Staff:** The number of FTEs (Full Time Equivalent positions) held by female uniformed staff, such as majors, captains, lieutenants, sergeants, cadets and correctional officers employed throughout the agency on the last day of a given month. Do not include inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

**Institutional Staff:** The number of FTEs (Full Time Equivalent positions) employed in the DOC's correctional facilities on the last day of a given month. A staff member is defined as an individual who is employed by the DOC on a full-time, part-time, or contractual basis. Do not include inactive staff or civilians, i.e., individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility. Inactive staff includes any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

**I.1.2 Scope of Responsibility:** Identify all of the types of offenders and decisions over which the agency has jurisdiction.

**Civil Commitments:** Individuals held by the agency for treatment and/or safe keeping based on civil procedures that the individuals are mentally ill, disturbed, incompetent, sex offenders, and/or substance abusers.

**Community-Based Corrections (CBC):** Individuals under the supervision of the agency within the community. This may include furlough, halfway house, day reporting, house arrest, community supervision, pre-release, probation, and/or parole.

**Jails:** A local facility whose main purpose is to hold pretrial detainees, offenders with short-term sentences, sentenced misdemeanants, and those awaiting transport to state or federal prison.

**Juvenile:** Individual subject to juvenile/family court proceedings because of statutorily defined events or conditions. The status of "juvenile" is statutorily defined by an age range, usually 7 to 17.

**Parole:** The conditional release of an inmate from prison to serve the remainder of his/her sentence under community correctional supervision.

**Parole Board:** An agency that has statutory authority to grant the release of inmates from prison to serve the remainder of their sentences under community correctional supervision.

**Prisons:** Correctional facilities operated by a state or federal agency or private company to incarcerate individuals. In the case of state-operated facilities, the institutions are generally used to house offenders who have received a sentence greater than one year in duration.



**Probation:** A form of punishment administered by criminal courts as an alternative to incarceration that generally requires the offender to comply with specific conditions/requirements, e.g., reporting to a probation officer, maintaining employment, notification of any address changes, etc.

### I.1.3 Sentence Length Statistics

**Average Length of Sentence:** Statistical mean of the sentences (in years) of the organization inmate population on the last day of a given month. For each inmate, use the longest maximum concurrent sentence and/or the sum of all consecutive maximum sentences.

Counting rules:

1. Organization inmate population, on the last day of a given month includes:
  - Inmates in facilities operated by the DOC.
  - Inmates housed in facilities operated by other state(s)' correctional facilities under a contract for bed space.
  - Inmates housed in facilities not operated by the DOC, such as county or regional jail facilities or facilities operated by private vendors.
  - Inmates housed in community-based facilities operated by the DOC, county, or private vendors. (If the offender's legal status is "inmate," he/she should be included in the count for the organization inmate population.
2. Organization inmate population on the last day of a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.
  - Inmates housed in the DOC facilities as "safe keepers," i.e., for an evaluation/diagnostic assessment or as a courtesy for a local facility or law enforcement agency.
3. For the sentence length for inmates serving sentences of:
  - Life with parole, compute the sentence length as the average time served by inmates with sentences of life with parole who were released or died during the last 10 years;
  - Life without parole, compute the sentence length as the average time served by inmates with sentences of life without parole who were released (i.e., died) during the last 10 years; and
  - Death, compute sentence length as the average time served by inmates with death sentences who were released (i.e., died) during the last 10 years.
4. Sentence length should be reported in years (with two decimal points).
5. To determine the length of the maximum sentence:
  - Use the longest concurrent maximum sentence, plus
  - Sum all consecutive maximum sentences, and
  - Exclude any calculations relative to good time, earned time, etc.

**Average Length of Stay Sentenced Offenders:** Statistical mean of the time served (in years) of the organization inmate population released by the agency in the last 12 months.

Counting rules:

1. Organization inmate population, on the last day of a given month includes:
  - Inmates in facilities operated by the DOC.
  - Inmates housed in facilities operated by other state(s)' correctional facilities under a contract for bed space.
  - Inmates housed in facilities not operated by the DOC, such as county or regional jail facilities or facilities operated by private vendors.

- Inmates housed in community-based facilities operated by the DOC, county, or private vendors. (If the offender's legal status is "inmate," he/she should be included in the count for the organization inmate population.
- 2. Organization inmate population on the last day of a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.
  - Inmates housed in the DOC facilities as "safe keepers," i.e., for an evaluation/diagnostic assessment or as a courtesy for a local facility or law enforcement agency.
- 3. Length of stay should be reported in years (with two decimal points).
- 4. To determine the length of the stay, compute the time (in years) between the date of the current admission to a DOC facility (i.e., the most recent incarceration) to the date of his/her release.
- 5. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g. individuals furloughed). To be counted, the individual must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
- 6. Exclude from the count inmates who escaped, absconded, or went AWOL.

**Average Length of Stay as Pre-trial Offenders:** Statistical mean of the time served (in days) of the pre-trial inmates released by the agency in the last 12 months.

Counting rules:

1. Pre-trial offenders include those held awaiting trial for: new commitment/charge, hold for other state/jurisdiction, probation violator awaiting hearing, bail violator, failure to pay costs/fine, contempt of court, hold for immigration, fugitive from justice, or failure to appear.
2. Length of stay should be reported in **days** (with two decimal points).
3. To determine the length of the stay, compute the time (in **days**) between the date of the current admission to a DOC facility (i.e., the most recent incarceration) to the date of his/her release or sentencing date.
4. Include only the time the offender was in pre-trial status, if he/she was sentenced, the time served would be included in the computation of the average length of stay of sentenced inmates.
5. Time served by probation violators prior to their revocation/re-sentencing should be included in the computation of the **Average Length of Stay for Pre-trial Offenders**, however if they are sentenced, the time served would be counted within the average length of stay of sentenced inmates.

**I.1.4 Frequency Distribution of Inmates by Length of Sentence:** Sum across the following 10 categories of sentence lengths should equal the number of the organization's inmate population with a criminal sentence on the last day of a given month:

**Less than 1 year:** Number of the organization's inmate population on the last day of a given month serving sentences of less than one year (1 day to 364 days).

**1 to 3 years:** Number of the organization's inmate population on the last day of a given month serving sentences of 12.0 months to 36.0 months.

**3 to 5 years:** Number of the organization's inmate population on the last day of a given month serving sentences of 36.01 months to 60.0 months.

**5 to 10 years:** Number of the organization's inmate population on the last day of a given month serving sentences of 60.01 months to 120.0 months.

**10 to 20 years:** Number of the organization's inmate population on the last day of a given month who sentences of 120.01 months to 240.0 months.

**20 to 40 years:** Number of the organization's inmate population on the last day of a given month serving sentences of 240.01 months to 480.0 months.

**More than 40 years:** Number of the organization's inmate population on the last day of a given month serving sentences more than 480.01 months, excluding those with life (with or without parole) or death sentences.

**Life with parole:** Number the organization's inmate population on the last day of a given month serving sentences of life with the possibility of parole.

**Life without parole:** Number of the organization's inmate population on the last day of a given month serving sentences of life without the possibility of parole.

**Death:** Number of the organization's inmate population on the last day of a given month sentenced to death.

Counting rules for Length of Sentence:

1. To determine the length of the sentence:
  - Use the longest concurrent sentence, plus
  - Sum of all consecutive sentences.
2. Organization inmate population, on the last day of a given month includes:
  - Inmates in facilities operated by the DOC.
  - Inmates housed in facilities operated by other state(s)' correctional facilities under a contract for bed space.
  - Inmates housed in facilities not operated by the DOC, such as county or regional jail facilities or facilities operated by private vendors.
  - Inmates housed in community-based facilities operated by the DOC, county, or private vendors. (If the offender's legal status is "inmate," he/she should be included in the count for the organization inmate population.
3. Organization inmate population on the last day of a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.
  - Inmates housed in the DOC facilities as "safe keepers," i.e., for an evaluation/ diagnostic assessment or as a courtesy for a local facility or law enforcement agency.

**I.1.5 Crime Distribution Among Inmates:** The sum across the following six categories should equal the organization inmate population on the last day of a given month. The Uniform Crime Report categories are:

**Part 1 Violent Crime:** Number of the organization inmate population on the last day of a given month whose most serious active conviction was for murder, non-negligent manslaughter, rape, robbery, or aggravated assault.

**Other Violent Crime:** Number of the organization inmate population on the last day of a given month whose most serious active conviction was for negligent manslaughter, kidnapping, other sexual assault, simple assault, and other violent offenses including intimidation, illegal abortion, extortion, cruelty toward a child or wife, hit-and-run driving with

bodily injury, and other crimes against the person not listed as a Part 1 violent crime. Do not include aggravated burglary or burglary as a violent crime.

**Property:** Number of the organization inmate population on the last day of a given month whose most serious active conviction was for burglary, larceny, motor vehicle theft, arson, fraud, forgery, embezzlement, stolen property (including receiving, transporting, possessing, concealing and selling stolen property), and other property offenses such as possession of burglary tools, damage to property, smuggling and other miscellaneous property crimes.

**Drug Offense:** Number of the organization inmate population on the last day of a given month whose most serious active conviction was for drug trafficking, drug possession, and other drug offenses such as possession of drug paraphernalia and forged or unauthorized prescriptions.

**Other Public Order Offense:** Number of the organization inmate population on the last day of a given month whose most serious active conviction was for weapons offenses (including unlawful sale, distribution, manufacture, alteration, transportation, possession or use of a deadly or dangerous weapon or accessory), traffic offenses, DUI or DWI, probation or parole violations, escape, obstruction of justice, court offenses, non-violent sex offenses, commercialized vice, family offenses, liquor law violations, bribery, invasion of privacy, disorderly conduct, contributing to the delinquency of a minor and miscellaneous public order offenses.

**Other Crime:** Number of the organization inmate population on the last day of a given month whose most serious active conviction was for any other crime not listed in the previous five crime categories.

**Pre-Trial, Non-Convicted Offenders:** Number of the organization inmate population on the last day of a given month who are awaiting trial that have not been convicted of a crime.

Counting rules for the Crime Distribution Statistics:

1. An inmate should be counted in only one crime category. The sum of the seven categories should equal the population in the custody of the agency on the last day of a given month.
2. Use the offense with the longest sentence to assign inmates with multiple convictions to a crime category. If an inmate has two sentences of equal length, rank the offenses according to Part I Violent Crime, Other Violent Crime, Property Crime, Drug Offense, Other Public Order Offense, and Other Crime.
3. If an inmate has been convicted of a crime but has a pending charge, count according to crime of which he/she has been convicted, e.g., offender convicted of possession of drugs and has pending murder charges, count as **"Drug Offense."**
4. Count according to most serious active conviction – if inmate has completed a sentence (e.g., murder) and is now serving time for a consecutive sentence, (e.g., theft) count as Property Offense.
5. Organization inmate population, on the last day of a given month includes:
  - Inmates in facilities operated by the DOC.
  - Inmates housed in facilities operated by other state(s)' correctional facilities under a contract for bed space.
  - Inmates housed in facilities not operated by the DOC, such as county or regional jail facilities or facilities operated by private vendors.
  - Inmates housed in community-based facilities operated by the DOC, county, or private vendors. (If the offender's legal status is "inmate," he/she should be included in the count for the organization inmate population.

6. Organization inmate population on the last day of a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.
  - Inmates housed in the DOC facilities as “safe keepers,” i.e., for an evaluation/ diagnostic assessment or as a courtesy for a local facility or law enforcement agency.

**I.1.6 Inmate Demographics:** Provide the inmate demographics for the organization inmate population.

**Average Age:** Statistical mean of the age (in years) of the organization inmate population on the last day of a given month.

**Male:** Number of the organization male inmate population on the last day of a given month.

**Female:** Number of the organization female inmate population on the last day of a given month.

**White:** Number of the organization inmate population on the last day of a given month whose racial/ethnicity is Caucasian.

**Black (African American):** Number of the organization inmate population on the last day of a given month whose racial/ethnicity is black or African American.

**Native Hawaiian or Pacific Islander:** Number of the organization inmate population on the last day of a given month whose racial/ethnicity is Native Hawaiians, Guamanians, Samoans, Carolinian, Fijian, Kosraean, Melanesian, Micronesian, Northern Mariana Islander, Palauan, Papua New Guinean, Ponapean (Pohnpelan), Polynesian, Solomon Islander, Tahitian, Tarawa Islander, Tokelauan, Tongan, Trukese (Chuukese), and Yapese.

**Native American or Alaskan Native:** Number of the organization inmate population on the last day of a given month whose racial/ethnicity is Alaskan Native, American Indians, i.e., Indians from North, Central and South American.

**Hispanic or Latino:** Number of the organization inmate population on the last day of a given month of Hispanic or Latino descent.

**Asian:** Number of the organization inmate population on the last day of a given month from the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

**Other:** Number of the organization inmate population on the last day of a given month for whom their race/ethnicity does not match any of the previous categories.

**Unknown/Missing:** Number of the organization inmate population on the last day of a given month for whom their race/ethnicity is not known or the data are not available.

**Non-Citizens:** Number of the organization inmate population on the last day of a given month who are not citizens of the United States.

Counting rules:

1. Organization inmate population, on the last day of a given month includes:
  - Inmates in facilities operated by the DOC.
  - Inmates housed in facilities operated by other state(s)' correctional facilities under a contract for bed space.
  - Inmates housed in facilities not operated by the DOC, such as county or regional jail facilities or facilities operated by private vendors.
  - Inmates housed in community-based facilities operated by the DOC, county, or private vendors. (If the offender's legal status is "inmate," he/she should be included in the count for the organization inmate population.
2. Organization inmate population on the last day of a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.
  - Inmates housed in the DOC facilities as "safe keepers," i.e., for an evaluation/diagnostic assessment or as a courtesy for a local facility or law enforcement agency.
3. The number of male and female inmates should total number of the organization inmate population on the last day of a given month. Inmates should only be counted in one category. Trans-gender inmates should be counted as male or female according to how they were managed on the last day of a given month, i.e., trans-gender inmates managed/housed as male inmates should be counted as male inmates.
4. An inmate should be counted in only one racial/ethnicity category. The sum of the seven categories (white, African American, Asian, Native Hawaiian or Pacific Islander, Native American/Alaskan Native, Hispanic or Latino, and unknown/missing) should total 100%. Multi-racial inmates should be counted in the racial/ethnic category with which they identify.

### I.1.7 Inmate Admission Status

**New Conviction:** Number of the organization inmate population incarcerated for a new conviction on the last day of a given month.

**Technical Violation (with New Sentence):** Number of the organization inmate population incarcerated for a technical violation with new sentence on the last day of a given month.

**Technical Violation (with No New Sentence):** Number of the organization inmate population incarcerated for a technical violation with no new sentence on the last day of a given month.

**Pre-trial:** Number of the organization inmate population incarcerated awaiting trial on the last day of a given month.

Counting rules:

1. An inmate should be counted in only one category. The sum of the four admission status categories should equal the organization inmate population on the last day of a given month.
2. Organization inmate population, on the last day of a given month includes:
  - Inmates in facilities operated by the DOC.
  - Inmates housed in facilities operated by other state(s)' correctional facilities under a contract for bed space.
  - Inmates housed in facilities not operated by the DOC, such as county or regional jail facilities or facilities operated by private vendors.

- Inmates housed in community-based facilities operated by the DOC, county, or private vendors. (If the offender's legal status is "inmate," he/she should be included in the count for the organization inmate population.
- 3. Organization inmate population on the last day of a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.
  - Inmates housed in the DOC facilities as "safe keepers," i.e., for an evaluation/diagnostic assessment or as a courtesy for a local facility or law enforcement agency.
- 4. Probation violators whose revocation hearings have been held who were sentenced/re-sentenced to prison/jail should be included in New Conviction category, not as Technical Violation with new Sentence or Technical Violation (with No New Sentence). Probation violators who are held awaiting their hearing on the last day of the month should be counted as pre-trial offenders.
- 5. Pre-trial offenders include those held awaiting trial for: new commitment/charge, hold for other state/jurisdiction, probation violator awaiting hearing, bail violator, failure to pay costs/fine, contempt of court, hold for immigration, fugitive from justice, or failure to appear.

## I.2 Facility Characteristics

### Counting rules:

1. Facility data should be updated monthly to reflect the characteristics of the facility on the last day of a given month. Facility characteristics should be updated monthly to reflect the changes in the characteristics of the facility during the previous month. For example, conversion of the inmate population from male to female offenders or vice versa and/or the addition or closing of a housing unit.
2. All characteristics reported as a statistical average should be computed to two decimals, e.g., 24.34. Do not round to the nearest whole number.

### I.2.1 General Facility Information

**Operational Capacity:** Total bed capacity of the facility. The capacity of a facility is the number of beds authorized for safe and efficient operation of the facility. Beds reserved for discipline, investigations, infirmary, and holding beds are for temporary use for special purposes. Because these beds are not available for regular housing (i.e., when the special purposes do not apply, they are not occupied), they should not be counted as part of the operational capacity.

**Inmates Housed:** Number of inmates in a given facility on the last day of a given month. Do not include inmates housed in other correctional facilities or facilities not operated by the DOC, i.e., the "out-count." Include inter-state compact cases and offenders housed the facility as "safe keepers," i.e., for an evaluation/diagnostic assessment or as a courtesy for a local facility or law enforcement agency.

**Security Level:** The physical (architectural – environmental) constraints of a correctional institution incorporated in the design and construction of the facility for the purpose of safely managing inmates and preventing escape(s). Factors include perimeter security, existence and operation of watchtowers, external patrols, perimeter detection devices and housing arrangements. Security levels differ from inmate custody levels that are a classification designation. Select the security level from the menu that best reflects the current security parameters of the facility on the last day of a given month:



- **Low Security:** Fenced or “posted” perimeter, room or dormitory housing, visual surveillance of normal entry and exit.
- **Medium Security:** Single or double fenced perimeter with armed coverage by towers or patrol, cell room, or dormitory housing. All entry and exit into and out of the compound is via trap gate/sally port.
- **High Security:** Walled or double fenced, cell housing contained on four sides within a cell block so that if an inmate escapes from a cell, he or she is still confined within the building, or the cell housing is doubly secured from the perimeter by bars, fences or other hardware. All entry and exit into and out of the compound is via trap gate or sally port.

**Minimum Custody Level:** Number of inmates in a given facility on the last day of a given month whose custody designation is “minimum,” i.e., they appear to pose the least threat to institution and public safety. This may include inmates assigned to community service centers or halfway houses and those who participate in work, education, and other activities in the community. They require only periodic supervision appropriate to the circumstances of their particular program or job assignment and they generally are permitted unescorted movement for program and/or work assignments.

**Medium Custody Level:** Number of inmates in a given facility on the last day of a given month whose custody designation is “medium.” Inmates in this level require more than minimal supervision. Inside movement (except call-outs) is subject to the issuance of passes. Restraints must be used for any outside movement except work or program assignments.

**Close Custody:** Number of inmates in a given facility on the last day of a given month whose custody designation is “close.” Inmates in this level have demonstrated, by their conduct, to pose risks to the safety and security of the institution, to staff or other inmates and, therefore, require additional supervision. These inmates are prohibited from participation in any programming requiring outside movement. Inside movement is closely observed.

**Maximum Custody:** Number of inmates in a given facility on the last day of a given month whose custody designation is “maximum.” Inmates in this level require the greatest degree of supervision due to the danger they pose to others and/or the security of the institution, or that their lives or well-being are in jeopardy and they refuse protective custody.

**Unclassified:** Number of inmates in a given facility on the last day of a given month whose custody designation has not been assigned. Because their threat to the safety and security of the institution has not been assessed, unclassified inmates are generally assumed to pose risks to the safety and security of the institution, to staff or other inmates and, therefore, require additional supervision. In most systems, these inmates are prohibited from participation in any programming requiring outside movement and their inside movements are closely observed.

#### Counting rules for Custody Level:

1. An inmate should be counted in only one custody level. The sum of the four custody levels plus the number unclassified should equal 100% and reflect the entire population in a given facility on the last day of a given month.



**Year the Facility was Opened:** Provide the year (CCYY) the facility was first opened as a correctional facility.

Counting rules:

1. If the facility was originally designed and operated as a mental hospital or school, for example, provide the year the facility was converted to a correctional facility.
2. If the facility was built in phases, provide the year of the original construction of the facility.
3. If the facility is a complex, i.e., there are multiple correctional institutions on the compound, consider reporting separately the data for each facility on the compound. If this not possible, provide the year the first facility on the compound was opened.

**One Person Cell/Room:** Number of beds in a given facility on the last day of a given month designed or modified to accommodate one inmate.

**Two Person Cell/Room:** Number of beds in a given facility on the last day of a given month designed or modified to accommodate two inmates.

**Multiple Occupancy Cell/Room:** Number of living units/beds in a given facility on the last day of a given month designed or modified to accommodate between 3 and 11 inmates.

**Dormitories:** Number of living unit/beds in a given facility on the last day of a given month designed or modified to accommodate 12 or more inmates.

Counting rules:

1. A cell/room/dormitory should be counted in only one housing category. The sum of the four types of housing should equal 100% of the beds in a given facility on the last day of a given month.
2. If the cell/room was designed for one inmate, but was modified to accommodate multiple inmates, count as multiple occupancy cell/room.
3. If the cell/room was designed to accommodate multiple inmates, e.g., 2 or more person cell/room, but only one inmate occupies the cell on the last day of a given month due to a low number of inmates in the custody of the facility on the last day of the month count, etc., count as a multiple occupancy cell/room.
4. A dormitory is a large open room designed to house 12 or more inmates.
5. Count the number of beds of each type (single, double, multiple, and dormitory) regardless of whether the bed was occupied on the last day of a given month.

## I.2.2 Facility Staff Information

**Institutional Total Staff:** The number of FTEs (Full Time Equivalent positions) employed in a DOC correctional facility on the last day of a given month. A staff member is defined as an individual who is employed by the DOC on a full-time, part-time, or contractual basis. Do not include civilians who are not paid by the DOC such as visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, and construction workers employed by contractors who have projects within the facility. Do not include "inactive" staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave. Do not include program, parole, or community supervision staff that is not located in the facility.

**Institutional Male Security Staff:** The number of FTEs (Full Time Equivalent positions) held by male uniformed staff such as majors, captains, lieutenants, sergeants, cadets and

correctional officers employed in a given facility on the last day of a given month. Do not include “inactive” staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

**Female Security Staff:** The number of FTEs (Full Time Equivalent positions) held by female uniformed staff including such as majors, captains, lieutenants, sergeants, cadets and correctional officers employed in a given facility on the last day of a given month. Do not include “inactive” staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

### I.2.3 Inmate Demographics

**Average Age:** Statistical mean of the age (in years) of the inmates in a given facility on the last day of a given month.

**Male:** Number of male inmates in a given facility on the last day of a given month.

**Female:** Number of female inmates in a given facility on the last day of a given month.

**White:** Number of inmates in the custody of the facility on the last day of a given month whose racial/ethnicity is Caucasian.

**Black (African American):** Number of inmates in the custody of the facility on the last day of a given month whose racial/ethnicity is black or African American.

**Native Hawaiian or Pacific Islander:** Number of inmates in the custody of the facility on the last day of a given month whose racial/ethnicity is Native Hawaiians, Guamanians, Samoans, Carolinian, Fijian, Kosraean, Melanesian, Micronesian, Northern Mariana Islander, Palauan, Papua New Guinean, Ponapean (Pohnpelan), Polynesian, Solomon Islander, Tahitian, Tarawa Islander, Tokelauan, Tongan, Trukese (Chuukese), and Yapese.

**Native American or Alaskan Native:** Number of inmates in the custody of the facility on the last day of a given month whose racial/ethnicity is Alaskan Native, American Indians, i.e., Indians from North, Central and South American.

**Hispanic or Latino:** Number of inmates in the custody of the facility on the last day of a given month of Hispanic or Latino descent.

**Asian:** Number of inmates in the custody of the facility on the last day of a given month from the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, Philippine Islands, Thailand, and Vietnam.

**Other:** Number of inmates in the custody of the agency on the last day of a given month for whom their race/ethnicity does not match any of the previous categories.

**Unknown/Missing:** Number of inmates in the custody of the facility on the last day of a given month for whom their race/ethnicity is not known or the data are not available.

**Non-Citizens:** Number of inmates in the custody of the facility on the last day of a given month who are not citizens of the United States.

Counting rules:

1. The number of male and female inmates should total to the number of inmates in the facility on the last day of a given month. Inmates should only be counted in one category. Trans-gender inmates should be counted as male or female according to how they are managed on the last day of a given month, i.e., trans-gender inmates managed/housed as male inmates should be counted as male inmates.
2. An inmate should be counted in only one racial/ethnicity category. The sum of the seven categories (white, African American, Asian, Native Hawaiian or Pacific Islander, Native American/Alaskan Native, Hispanic or Latino, and unknown/missing) should total 100%. Multi-racial inmates should be counted in the racial/ethnic category with which they identify.

## II. PUBLIC SAFETY STANDARD

### 1. Escapes

**Key Indicator II.1.1 Escapes from a Secure DOC Facility.** Number of inmates in the custody of the agency who are housed in a given secure facility (an institution with a defined perimeter security system) who escaped from that facility during a given month adjusted for the number of inmates held in that facility on the last day of a given month.

Data element II.1.1 (numerator). Number of inmates in custody who are housed in a given secure facility (an institution with a defined perimeter security) who escaped from that facility during a given month.

Counting rules:

1. A secure facility has a perimeter that is intended to prevent inmates from leaving. It's perimeter security features may include a) barriers such as fences and walls that are intended to physically constrain inmates from departing the facility as well as b) surveillance methods such as guard towers, perimeter patrols and electronic monitoring devices that are intended to detect inmates who are attempting to depart the facility.
2. Do not include inmates who have escaped or absconded from institutions, camps and community-based facilities that lack perimeter security as described above.
3. Do not include inmates housed in other states' correctional facilities.
4. Do not include inmates housed in facilities not operated by the DOC.
5. An act is considered to be an escape from within the facility as soon as the inmate breaches the last line (barrier) of security. For example, if an inmate clears the first fence of a double fenced facility but is caught inside the two fences, this act is considered to be an attempt and should not be counted as an escape. However, if the inmate clears the second fence, then the act should be counted as an escape, even if the inmate is apprehended on prison grounds.
6. Do not include inmates who have escaped from prison staff surveillance while outside the perimeter of the secure institution (while on work details, during transportation or during medical visits or court appearances) nor inmates who fail to return from furloughs or other temporary releases.
7. Do not include inmates housed in non-secure satellite camps and facilities attached to secure institutions who have absconded.

Data element II.1.1 (denominator). Number of inmates held in that facility on the last day of the month.

Counting rules:

This tally should include all inmates in the custody of the facility with the exceptions of:

1. Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
2. Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator II.1.2 Escapes from a Secure Non-DOC Facility:** Number of inmates who were sentenced to the DOC but were housed in a secure facility (an institution with a defined perimeter security system) that is not operated by the DOC, and who escaped from a given facility during a given month adjusted for the number of inmates held in that secure facility not operated by the DOC on the last day of that month.

Data element II.1.2 (numerator). Number of inmates who were sentenced to the DOC but were housed in a given secure facility (an institution with a defined perimeter security system) the DOC did not operate, and who escaped from that facility during a given month.

Counting rules:

1. A secure facility has a perimeter that is intended to prevent inmates from leaving. It's perimeter security features may include a) barriers such as fences and walls that are intended to physically constrain inmates from departing as well as b) surveillance methods such as guard towers, perimeter patrols and electronic monitoring devices that are intended to detect inmates who are attempting to depart.
2. Do not include inmates housed in institutions, camps and community-based facilities that lack perimeter security systems i.e. they are not secure facilities.
3. Include escapes by inmates housed in facilities not operated by the DOC. by agencies who are contracted to provide incarceration
4. Do not include inmates housed in other states' correctional facilities.
5. An act is considered to be an escape from within the facility as soon as the inmate breaches the last line of security. For example, if an inmate clears the first fence of a double fenced facility but is caught inside the two fences, this act is considered to be an attempt and should not be counted. However, if the inmate clears the second fence, then the act should be counted as an escape, even if the inmate is apprehended on prison grounds.
6. Do not include inmates who escape from prison staff surveillance while outside the perimeter of the secure institution (while on work details, during transportation or during medical visits or court appearances) nor inmates who fail to return from furloughs or other temporary releases.
7. Do not include inmates who failed to return from furloughs or other temporary releases.
8. Do not include inmates housed in non-secure satellite camps and facilities attached to secure institutions that absconded.

Data element II.1.2 (denominator). Number of inmates held in that facility on the last day of the month.

Counting rules:

This tally should include all inmates in the custody of the facility with the exceptions of:

1. Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
2. Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator II.1.3 Escapes from outside a secure DOC Facility:** Number of inmates in the custody of the DOC and under supervision of agency personnel or its agents who escaped from supervision while outside the secure perimeter of a DOC facility (including those who escaped while on work details, medical or court visits, or while being transported) during a given month, adjusted for the number of inmates held by a given facility on the last day of a given month.

Data element II.1.3 (numerator). Number of inmates in the custody of the agency who are housed in a given secure facility (an institution with a defined perimeter security system) who escaped from supervision while outside the secure perimeter of that facility (including those who escaped while on work details, medical or court visits, and while being transported) during a given month.

Counting rules:

1. To be counted as an escape from supervision while outside the secure perimeter of a facility, the inmate must have been, at the time of the escape, under the supervision of a staff member of the facility whose duty and responsibility was to prevent the inmate from gaining freedom from custody. The staff member(s) may or may not be armed and the inmate may or may not be restrained to constitute supervision.
2. Do not include inmates in incidents when they are not under the supervision of a DOC staff member but depart from custody without authorization (i.e. absconding from an unsupervised work detail or failing to return from a furlough or leave).
3. For an escape to be successful and counted, the staff member responsible for supervision of the inmate must lose sight and sound of the inmate. For example, if an inmate begins to run from an outside work detail but is apprehended before the staff member supervising the work detail loses sight or sound of the inmate, then the incident should be considered an attempted escape and not counted for this indicator.
4. Do not include inmates housed in other states' correctional facilities.
5. Do include escapes by inmates held by agencies with whom the DOC has contracted to provide supervision or transportation.
6. Do not include escapes by inmates for whom custody has been transferred to another government agency. For example, if responsibility for transportation has been transferred to a law enforcement agency (e.g. sheriff's department) and the inmate escapes while en route to a court hearing, then the incident should not be counted.

Data element II.1.3 (denominator). Number of inmates held in that facility on the last day of the month.

Counting rules:

This tally should include all inmates in the custody of the facility with the exceptions of:

1. Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
2. Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator II.1.4 Unauthorized Absence from a Facility without a Secure Perimeter.** Number of inmates housed in a facility without a defined perimeter security system who exited without authorization or failed to return to within the designated time frame to that facility during a given month adjusted for the number of inmates held in that facility on the last day of a given month.

Data element II.1.4 (numerator). Number of inmates in custody who were housed in a facility without a defined perimeter security who exited without authorization or failed to return to within the designated time frame to that facility during a given month.

Counting rules:

1. A secure facility has a perimeter that is intended to prevent inmates from leaving. Perimeter security features may include a) barriers such as fences and walls that are intended to physically constrain inmates from departing the facility as well as b) surveillance methods such as guard towers, perimeter patrols and electronic monitoring devices that are intended to detect inmates who are attempting to depart the facility.
2. Include inmates who escaped, absconded, exited without authorization or failed to return to within the designated time frame from or to institutions, camps and community-based facilities that lack perimeter security as described above. Include inmates housed in non-

secure satellite camps and facilities attached to secure institutions that absconded or exited without authorization.

3. Do not include inmates housed in other states' correctional facilities.
4. Do not include inmates who have escaped from prison staff surveillance while outside the perimeter of the secure institution (during transportation, medical visits, or court appearances).

Data element II.1.4 (denominator). Number of inmates held in that facility on the last day of the month.

Counting rules:

This tally should include all inmates in the custody of the facility with the exceptions of:

1. Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
2. Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## 2. Returns to Prison

**Key Indicator II.2.1 Recidivism – CY New Convictions within 36 months:** Number of inmates released from the DOC during the calendar year (e.g., CY 2011) for which recidivism is calculated who returned to a DOC prison system for a new conviction within 36 months after release divided by the number of inmates released during the calendar year. This includes the number of inmates who were released during CY 2011, for example, who were returned to prison for a new conviction during 2011, 2012, 2013, or 2014, but within 36 months of release.

Data element II.2.1 (numerator). Number of inmates released from prison during a calendar year who have returned to a DOC prison system for a new conviction within 36 months of release.

Counting rules

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g. inmates furloughed). To be counted the inmate must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those inmates released to the community. Exclude from the count inmates who died, were transferred to another jurisdiction, escaped, absconded, or AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.
3. Count number of inmates released, not number of releases. An inmate may have been released multiple times in that same year but is only counted once per calendar year. Thus, subsequent releases in the same calendar year should not be counted.
4. All releases (inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence) by an agency per year constitute a release cohort. An inmate is only counted once per release cohort and thus can only fail once per cohort.
5. Do not include inmates incarcerated for a crime that occurred while in prison.
6. Inmates returned on a technical violation, but have a new conviction should be counted as a returned for a new conviction. An inmate returned to prison for a technical violation who is re-paroled or released at the parole hearing should be counted as returned for a technical violation.



Data element II.2.1 (denominator). Number of inmates released during the calendar year that the recidivist was released.

Counting rules:

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence.
2. Do not include temporary (e.g., inmates furloughed) or pre-trial releases.
3. To be counted the person must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
4. Include only those inmates released to the community. Exclude from the count inmates who died, who were transferred to another jurisdiction, or who escaped, absconded or were AWOL. Exclude all administrative (including inmates with detainees) and pre-trial release status releases.

**Key Indicator II.2.2 Recidivism – CY Technical Violations within 36 months:** Number of inmates released from the DOC during the calendar year (e.g., CY 2002) for which recidivism is calculated who returned to a DOC prison system for technical violation within 36 months after release divided by the number of inmates released during the calendar year. This includes the number of inmates who were released during CY 2002, for example, who were returned to prison for a technical violation during 2002, 2003, 2004, or 2005, but within 36 months of release.

Data element II.2.2 (numerator). Number of inmates released from prison during a calendar year who have returned to a DOC prison system for a technical violation within 36 months of after release.

Counting rules

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g. inmates furloughed). To be counted the inmate must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those inmates released to the community. Exclude from the count inmates who died, were transferred to another jurisdiction, escaped, absconded, or AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.
3. Count number of inmates released, not number of releases. An inmate may have been released multiple times in that same year but is only counted once per calendar year. Thus, subsequent releases in the same calendar year should not be counted.
4. All releases (inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence) by an agency per year constitute a release cohort. An inmate is only counted once per release cohort and thus can only fail once per cohort.
5. Do not include inmates incarcerated for a crime that occurred while in prison.
6. Inmates returned on a technical violation, but have a new conviction should be counted as a returned for a new conviction. **An inmate returned to prison for a technical violation who is re-paroled or released at the parole hearing should be counted as returned for a technical violation.**

Data element II.2.3 (denominator). Number of inmates released during the calendar year that the recidivist was released.



Counting rules:

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence.
2. Do not include temporary (e.g., inmates furloughed) or pre-trial releases.
3. To be counted the person must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
4. Include only those inmates released to the community. Exclude from the count inmates who died, who were transferred to another jurisdiction, or who escaped, absconded or were AWOL. Exclude all administrative (including inmates with detainees) and pre-trial release status releases.

**Key Indicator II.2.3 Recidivism – CY Overall Recidivism Rate within 36 months:** Number of inmates released from the DOC during the calendar year (e.g., CY 2002) for which recidivism is calculated who returned to a DOC prison system for new conviction or technical violation within 36 months after release divided by the number of inmates released during the calendar year. This includes the number of inmates who were released during CY 2002, for example, who were returned to prison for a new conviction or technical violation during 2002, 2003, 2004, or 2005, but within 36 months of release.

Data element II.2.3 (numerator). Number of inmates released from prison during a calendar year who have returned to a DOC prison system for a new conviction or technical violation within 36 months of after release.

Counting rules

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g. inmates furloughed). To be counted the inmate must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those inmates released to the community. Exclude from the count inmates who died, were transferred to another jurisdiction, escaped, absconded, or AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.
3. Count number of inmates released, not number of releases. An inmate may have been released multiple times in that same year but is only counted once per calendar year. Thus, subsequent releases in the same calendar year should not be counted.
4. All releases (inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence) by an agency per year constitute a release cohort. An inmate is only counted once per release cohort and thus can only fail once per cohort.
5. Do not include inmates incarcerated for a crime that occurred while in prison.
6. Inmates returned on a technical violation, but have a new conviction should be counted as a returned for a new conviction. **An inmate returned to prison for a technical violation who is re-paroled or released at the parole hearing should be counted as returned for a technical violation.**

Data element II.2.3 (denominator). Number of inmates released during the calendar year that the recidivist was released.

Counting rules:

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence.
2. Do not include temporary (e.g., inmates furloughed) or pre-trial releases.
3. To be counted the person must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
4. Include only those inmates released to the community. Exclude from the count inmates who died, who were transferred to another jurisdiction, or who escaped, absconded or were AWOL. Exclude all administrative (including inmates with detainees) and pre-trial release status releases.

**Key Indicator II.2.4 Recidivism – CY New Convictions within 24 months:** Number of inmates released from the DOC during the calendar year (e.g., CY 2003) for which recidivism is calculated who returned to a DOC prison system for a new conviction within 24 months after release divided by the number of inmates released during the calendar year. This includes inmates who were released during CY 2003, for example, who were returned to prison for a new conviction during 2003, 2004, or 2005, but within 24 months of release.

Data element II.2.4 (numerator). Number of inmates released from prison during a calendar year who have returned to a DOC prison system for a new conviction within 24 months of after release.

Counting rules

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g. inmates furloughed). To be counted the inmate must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those inmates released to the community. Exclude from the count inmates who died, were transferred to another jurisdiction, escaped, absconded, or AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.
3. Count number of inmates released, not number of releases. An inmate may have been released multiple times in that same year but is only counted once per calendar year. Thus, subsequent releases in the same calendar year should not be counted.
4. All releases (inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence) by an agency per year constitute a release cohort. An inmate is only counted once per release cohort and thus can only fail once per cohort.
5. Do not include inmates incarcerated for a crime that occurred while in prison.
6. Inmates returned on a technical violation, but have a new conviction should be counted as a returned for a new conviction. **An inmate returned to prison for a technical violation who is re-paroled or released at the parole hearing should be counted as returned for a technical violation.**

Data element II.2.4 (denominator). Number of inmates released during the calendar year that the recidivist was released.

Counting rules:

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence.
2. Do not include temporary (e.g., inmates furloughed) or pre-trial releases.
3. To be counted the person must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
4. Include only those inmates released to the community. Exclude from the count inmates who died, who were transferred to another jurisdiction, or who escaped, absconded or were AWOL. Exclude all administrative (including inmates with detainees) and pre-trial release status releases.

**Key Indicator II.2.5 Recidivism – CY Technical Violations within 24 months:** Number of inmates released from the DOC during the calendar year (e.g., CY 2003) for which recidivism is calculated who returned to a DOC prison system for technical violation within 24 months after release divided by the number of inmates released during the calendar year. This includes inmates who were released during CY 2003, for example, who were returned to prison for a technical violation during 2003, 2004, or 2005, but within 24 months of release.

Data element II.2.5 (numerator). Number of inmates released from prison during a calendar year who have returned to a DOC prison system for a technical violation within 24 months of after release.

Counting rules

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g. inmates furloughed). To be counted the inmate must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those inmates released to the community. Exclude from the count inmates who died, were transferred to another jurisdiction, escaped, absconded, or AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.
3. Count number of inmates released, not number of releases. An inmate may have been released multiple times in that same year but is only counted once per calendar year. Thus, subsequent releases in the same calendar year should not be counted.
4. All releases (inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence) by an agency per year constitute a release cohort. An inmate is only counted once per release cohort and thus can only fail once per cohort.
5. Do not include inmates incarcerated for a crime that occurred while in prison.
6. Inmates returned on a technical violation, but have a new conviction should be counted as a returned for a new conviction. **An inmate returned to prison for a technical violation who is re-paroled or released at the parole hearing should be counted as returned for a technical violation.**

Data element II.2.5 (denominator). Number of inmates released during the calendar year that the recidivist was released.

Counting rules:

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence.
2. Do not include temporary (e.g., inmates furloughed) or pre-trial releases.
3. To be counted the person must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
4. Include only those inmates released to the community. Exclude from the count inmates who died, who were transferred to another jurisdiction, or who escaped, absconded or were AWOL. Exclude all administrative (including inmates with detainees) and pre-trial release status releases.

**Key Indicator II.2.6 Recidivism – CY Overall Recidivism Rate within 24 months:** Number of inmates released from the DOC during the calendar year (e.g., CY 2003) for which recidivism is calculated who returned to a DOC prison system for new conviction or technical violation within 24 months after release divided by the number of inmates released during the calendar year. This includes inmates who were released during CY 2003, for example, who were returned to prison for a new conviction or technical violation during 2003, 2004, or 2005, but within 24 months of release.

Data element II.2.6 (numerator). Number of inmates released from prison during a calendar year who have returned to a DOC prison system for a new conviction or technical violation within 24 months of after release.

Counting rules

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g. inmates furloughed). To be counted the inmate must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those inmates released to the community. Exclude from the count inmates who died, were transferred to another jurisdiction, escaped, absconded, or AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.
3. Count number of inmates released, not number of releases. An inmate may have been released multiple times in that same year but is only counted once per calendar year. Thus, subsequent releases in the same calendar year should not be counted.
4. All releases (inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence) by an agency per year constitute a release cohort. An inmate is only counted once per release cohort and thus can only fail once per cohort.
5. Do not include inmates incarcerated for a crime that occurred while in prison.
6. Inmates returned on a technical violation, but have a new conviction should be counted as a returned for a new conviction. **An inmate returned to prison for a technical violation who is re-paroled or released at the parole hearing should be counted as returned for a technical violation.**

Data element II.2.6 (denominator). Number of inmates released during the calendar year that the recidivist was released.

Counting rules:

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence.
2. Do not include temporary (e.g., inmates furloughed) or pre-trial releases.
3. To be counted the person must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
4. Include only those inmates released to the community. Exclude from the count inmates who died, who were transferred to another jurisdiction, or who escaped, absconded or were AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.

**Key Indicator II.2.7 Recidivism – CY New Convictions within 12 months:** Number of inmates released from the DOC during the calendar year (e.g., CY 2004) for which recidivism is calculated who returned to a DOC prison system for a new conviction within 12 months after release divided by the number of inmates released during the calendar year. This includes inmates who were released during CY 2004, for example, who were returned to prison for a new conviction during 2004 or 2005, but within 12 months of release.

Data element II.2.7 (numerator). Number of inmates released from prison during a calendar year who have returned to a DOC prison system for a new conviction within 12 months of after release.

Counting rules

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g. inmates furloughed). To be counted the inmate must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those inmates released to the community. Exclude from the count inmates who died, were transferred to another jurisdiction, escaped, absconded, or AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.
3. Count number of inmates released, not number of releases. An inmate may have been released multiple times in that same year but is only counted once per calendar year. Thus, subsequent releases in the same calendar year should not be counted.
4. All releases (inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence) by an agency per year constitute a release cohort. An inmate is only counted once per release cohort and thus can only fail once per cohort.
5. Do not include inmates incarcerated for a crime that occurred while in prison.
6. Inmates returned on a technical violation, but have a new conviction should be counted as a returned for a new conviction. **An inmate returned to prison for a technical violation who is re-paroled or released at the parole hearing should be counted as returned for a technical violation.**

Data element II.2.7 (denominator). Number of inmates released during the calendar year that the recidivist was released.

Counting rules:

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence.
2. Do not include temporary (e.g., inmates furloughed) or pre-trial releases.
3. To be counted the person must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
4. Include only those inmates released to the community. Exclude from the count inmates who died, who were transferred to another jurisdiction, or who escaped, absconded or were AWOL. Exclude all administrative (including inmates with detainees) and pre-trial release status releases.

**Key Indicator II.2.8 Recidivism – CY Technical Violations within 12 months:** Number of inmates released from the DOC during the calendar year (e.g., CY 2004) for which recidivism is calculated who returned to a DOC prison system for technical violation within 12 months after release divided by the number of inmates released during the calendar year. This includes inmates who were released during CY 2004, for example, who were returned to prison for a technical violation during 2004 or 2005, but within 12 months of release.

Data element II.2.8 (numerator). Number of inmates released from prison during a calendar year who have returned to a DOC prison system for a technical violation within 12 months of after release.

Counting rules

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g. inmates furloughed). To be counted the inmate must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those inmates released to the community. Exclude from the count inmates who died, were transferred to another jurisdiction, escaped, absconded, or AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.
3. Count number of inmates released, not number of releases. An inmate may have been released multiple times in that same year but is only counted once per calendar year. Thus, subsequent releases in the same calendar year should not be counted.
4. All releases (inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence) by an agency per year constitute a release cohort. An inmate is only counted once per release cohort and thus can only fail once per cohort.
5. Do not include inmates incarcerated for a crime that occurred while in prison.
6. Inmates returned on a technical violation, but have a new conviction should be counted as a returned for a new conviction. **An inmate returned to prison for a technical violation who is re-paroled or released at the parole hearing should be counted as returned for a technical violation.**

Data element II.2.8 (denominator). Number of inmates released during the calendar year that the recidivist was released.

Counting rules:

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence.
2. Do not include temporary (e.g., inmates furloughed) or pre-trial releases.
3. To be counted the person must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
4. Include only those inmates released to the community. Exclude from the count inmates who died, who were transferred to another jurisdiction, or who escaped, absconded or were AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.

**Key Indicator II.2.9 Recidivism – CY Overall Recidivism Rate within 12 months:** Number of inmates released from the DOC during the calendar year (e.g., CY 2004) for which recidivism is calculated who returned to a DOC prison system for new conviction or technical violation within 12 months after release divided by the number of inmates released during the calendar year. This includes inmates who were released during CY 2004, for example, who were returned to prison for a new conviction or technical violation during 2004, or 2005, but within 12 months of release.

Data element II.2.9 (numerator). Number of inmates released from prison during a calendar year who have returned to a DOC prison system for a new conviction or technical violation within 12 months of after release.

Counting rules

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g. inmates furloughed). To be counted the inmate must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those inmates released to the community. Exclude from the count inmates who died, were transferred to another jurisdiction, escaped, absconded, or AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.
3. Count number of inmates released, not number of releases. An inmate may have been released multiple times in that same year but is only counted once per calendar year. Thus, subsequent releases in the same calendar year should not be counted.
4. All releases (inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence) by an agency per year constitute a release cohort. An inmate is only counted once per release cohort and thus can only fail once per cohort.
5. Do not include inmates incarcerated for a crime that occurred while in prison.
6. Inmates returned on a technical violation, but have a new conviction should be counted as a returned for a new conviction. **An inmate returned to prison for a technical violation who is re-paroled or released at the parole hearing should be counted as returned for a technical violation.**

Data element II.2.9 (denominator). Number of inmates released during the calendar year that the recidivist was released.



Counting rules:

1. Include only those inmates who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence.
2. Do not include temporary (e.g., inmates furloughed) or pre-trial releases.
3. To be counted the person must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
4. Include only those inmates released to the community. Exclude from the count inmates who died, who were transferred to another jurisdiction, or who escaped, absconded or were AWOL. Exclude all administrative (including inmates with a detainer(s)) and pre-trial release status releases.



### III. INSTITUTIONAL SAFETY STANDARD

#### 1. Inmate-on-inmate assaults

**Key Indicator III.1.1 Inmate-on-inmate assaults with serious injury:** Inmate-on-inmate attacks that involved serious injury during the month adjusted for the number of inmates held in that facility on the last day of the month.

Data element III.1.1 (numerator). Number of inmate-on-inmate attacks that involved serious injury during a given month at a given facility.

Counting rules:

1. A serious injury requires urgent and immediate medical treatment and restricts the inmate's usual activity. Medical treatment should be more extensive than mere first aid, such as the application of bandages to wounds; it might include stitches, **use of Dermabond or other topical skin adhesive**, setting of broken bones, treatment of concussion, loss of consciousness, etc.
2. Exclude assaults by throwing liquid, blood, waste, chemicals, and/or urine, unless the throwing assault resulted in serious injury.
3. In many incidents, the assailant is not known. For this reason, the fact that an assault has occurred does not have to be substantiated by the disciplinary process or a major disciplinary report; however, there must be sufficient evidence that the injury resulted from an attack and not from an accident. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.
4. To be counted, the victim must have been incarcerated at the time of the attack.
5. Do not include assaults involving inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
6. Count the number of assaults that involved serious injury in which the assailant was an inmate, not the number of inmates that were assailants. For example, three inmates seriously assault another inmate, count as one serious assault.

Data element III.1.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.1.2 Inmate-on-inmate victims with serious injury:** Number of victims of inmate-on-inmate attacks that involved serious injury during a given month adjusted for the number of inmates held in that facility on the last day of the month.

Data element III.1.2 (numerator) Number of victims of inmate-on-inmate attacks that involved serious injury during the month.

Counting rules:

1. An assault may have more than one victim; count the number of victims.

2. A serious injury requires urgent and immediate medical treatment and restricts the inmate's usual activity. Medical treatment should be more extensive than mere first aid such as the application of bandages to wounds. It might include stitches, **use of Dermabond or other topical skin adhesive**, setting of broken bones, treatment of concussion, loss of consciousness, etc.
3. In many incidents, the assailant is not known. For this reason, the fact that an assault has occurred does not have to be substantiated by the disciplinary process or a major disciplinary report; however, there must be sufficient evidence that the injury resulted from an attack and not from an accident. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.
4. To be counted, the victim must have been incarcerated at the time of the attack.
5. Do not include assaults involving inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
6. Count the number of victims of a serious assault, not the number of inmates that were assailants. For example, three inmates seriously assault another inmate, count as one serious assault victim. Or one inmate seriously assaults three other inmates; count as three serious assault victims.

Data element III.1.2 (denominator). Number of inmates held in that facility on the last day of the month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.1.3 Inmate-on-inmate assaults without serious injury:** Inmate-on-inmate attacks that did not involve serious injury during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.1.3 (numerator). Number of inmate-on-inmate assaults that did not result in serious injury during a given month.

Counting rules:

1. An assault event may have more than one assailant.
2. A serious injury requires urgent and immediate medical treatment and restricts the inmate's usual activity. Medical treatment should be more extensive than mere first aid, such as the application of bandages to wounds; it might include stitches, **use of Dermabond or other topical skin adhesive**, setting of broken bones, treatment of concussion, loss of consciousness, etc.
3. Exclude all verbal assaults and assaults by throwing liquid, waste, chemicals, and/or urine.
4. In many incidents, the assailant is not known. For this reason, the fact that an assault has occurred does not have to be substantiated by the disciplinary process or a major disciplinary report; however, there must be sufficient evidence that the injury resulted from an attack and not from an accident. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.
5. For an assault to be counted, the assailant(s) must be incarcerated at the time of the incident.

6. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
7. Count the number of assaults without serious injury in which the assailant was an inmate, not the number of inmates that were assailants. For example, three inmates assault another inmate, count as one assault.

Data element III.1.3 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.1.4 Inmate-on-inmate fights:** Inmate-on-inmate fights during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.1.4 (numerator). Number of inmate-on-inmate fights during a given month.

Counting rules:

1. A fight event may have more than one combatant.
2. Do not count serious assaults or assaults that do not involve serious injury as "fights." A fight may include a flare of tempers with physical contact (e.g., punch, hard shove, etc.), mutual combat, or minor physical contact between two or more inmates where there was no injury.
3. For a fight to be counted, the combatant(s) must have been convicted of a prison violation through the disciplinary process and/or a court of law.
4. For a fight to be counted, the combatant(s) must be incarcerated at the time of the incident.
5. Do not include fights among inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.

Data element III.1.4 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.1.5 Inmate-on-inmate assaults by throwing substances:** Inmate-on-inmate attacks that involved throwing substances during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.1.5 (numerator). Number of inmate-on-inmate assaults that involved assaults throwing substances during a given month at a given facility.

Counting rules:

1. An assault event may have more than one assailant.
2. Exclude assaults with serious injury counted for key indicator III.1.1.
3. Include assaults by throwing or spitting liquid, blood, waste, chemicals, urine, etc. that involved non-serious injury or no injury.
4. For an assault to be counted, the assailant(s) must have been convicted of a prison violation through the disciplinary process and/or a court of law.
5. For an assault to be counted, the assailant(s) must be incarcerated at the time of the incident.
6. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.

Data element III.1.5 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## 2. Inmate-on-Staff Assaults

**Key Indicator III.2.1 Inmate-on-staff assaults with serious injury:** Inmate-on-staff attacks that involved serious injury during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.2.1 (numerator). Number of inmate-on-staff assaults that result in serious injury during a given month.

Counting rules:

1. A staff member is defined as an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or agency representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time or contract basis.
  - DOC representatives are defined as official visitors to the facility, representatives of other state, local, or federal agencies.
2. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility and consultants/researchers who have been approved by the DOC to work, collect data/interviews, or provide services to or for a government agency.
3. An assault event may have more than one assailant.
4. A serious injury requires urgent and immediate medical treatment and restricts the staff's usual activity. Medical treatment should be more extensive than mere first aid, such as the application of bandages to wounds; it might include stitches, **use of Dermabond or other topical skin adhesive**, setting of broken bones, treatment of concussion, loss of consciousness, etc.

5. Exclude assaults by throwing liquid, blood, waste, chemicals, and/or urine, unless the throwing assault resulted in serious injury.
6. For an assault to be counted, the assailant(s) must have been convicted of an institutional violation through the disciplinary process and/or a court of law.
7. For an assault to be counted, the assailant(s) must be incarcerated at the time of the incident.
8. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.

Data element III.2.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of a given facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.2.2 Inmate-on-staff victims with serious injury:** Number of staff injured as a result of direct, willful and physical attack by inmate(s) that involved serious injury during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.2.2 (numerator). Number of staff seriously injured as a result of direct, willful and physical attacks that required treatment by a medical professional during a given month by inmate(s) in the custody of the facility.

Counting rules:

1. A staff member is defined as an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or agency representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time or contract basis.
  - DOC representatives are defined as official visitors to the facility, representatives of other state, local, or federal agencies.
2. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility and consultants/researchers who have been approved by the DOC to work, collect data/interviews, or provide services to or for a government agency.
3. A single incident may have more than one victim; count the number of victims.
4. A serious injury requires urgent and immediate medical treatment by a medical professional and restricts the staff's usual activity. Medical treatment should be more extensive than mere first aid, such as the application of bandages to wounds; it might include stitches, **use of Dermabond or other topical skin adhesive**, setting of broken bones, treatment of concussion, loss of consciousness, etc.
5. For an assault to be counted, the assailant(s) must have been convicted of an institutional violation through the disciplinary process and/or a court of law.
6. For an assault to be counted, the assailant must be incarcerated.
7. Do not include assaults involving inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.

8. Count the number of assaults that involved serious injury in which the assailant was an inmate, not the number of inmates that were assailants. For example, three inmates seriously assault a staff member, count as one serious assault.

Data element III.2.2 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules: See data element III.1.1 (denominator).

**Key Indicator III.2.3 Inmate-on-staff assaults that did not involve serious injury:** Inmate-on-staff attacks that did not involve serious injury during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.2.3 (numerator). Number of inmate-on-staff assaults that did not result in serious injury during a given month.

Counting rules:

1. A staff member is defined as an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or agency representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time or contract basis.
  - DOC representatives are defined as official visitors to the facility, representatives of other state, local, or federal agencies.
2. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility and consultants/researchers who have been approved by the DOC to work, collect data/interviews, or provide services to or for a government agency.
3. An assault event may have more than one assailant.
4. A serious injury requires urgent and immediate medical treatment and restricts the staff's usual activity. Medical treatment should be more extensive than mere first aid, such as the application of bandages to wounds; it might include stitches, use of Dermabond or other topical skin adhesive, or other topical skin adhesive, setting of broken bones, treatment of concussion, loss of consciousness, etc.
5. Exclude all verbal assaults and assaults by throwing liquid, waste, chemicals, and/or urine.
6. For an assault to be counted, the assailant(s) must have been convicted of a prison violation through the disciplinary process and/or a court of law.
7. For an assault to be counted, the assailant(s) must be incarcerated at the time of the incident.
8. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
9. Count the number of assaults that did not result in serious injury in which the assailant was an inmate, not the number of inmates that were assailants. For example, three inmates assault a staff member, count as one serious assault.

Data element III.2.3 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of a given facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.2.4 Inmate-on-staff assaults by throwing substances:** Inmate-on-staff attacks that involved throwing substances during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.2.4 (numerator). Number of inmate-on-staff assaults that involved assaults throwing substances during a given month at a given facility.

Counting rules:

1. An assault event may have more than one assailant.
2. Exclude assaults with serious injury counted for key indicator III.2.1.
3. Include assaults by throwing or spitting liquid, blood, waste, chemicals, urine, etc. that involved non-serious injury or no injury.
4. For an assault to be counted, the assailant(s) must have been convicted of a prison violation through the disciplinary process and/or a court of law.
5. For an assault to be counted, the assailant(s) must be incarcerated at the time of the incident.
6. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.

Data element III.2.4 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

### 3. Inmate-on-inmate sexual violence

**Key Indicator III.3.1 Inmate-on-inmate completed non-consensual sexual acts:** Number of completed incidents of inmate-on-inmate non-consensual sexual acts during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.3.1 (numerator). Number of completed incidents of inmate-on-inmate non-consensual sexual acts during a given month.



Counting rules:

1. To be counted, the victim must be incarcerated.
2. To be counted, the victim must be an inmate.
3. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
4. Do not include attempted, but not completed, non-consensual sexual acts. These should be counted as in III.3.2 "attempted non-consensual acts."
5. A non-consensual sexual act is defined as an incident in which the contact occurs without a person's consent or when the person attacked is unable to consent or refuse.
6. A sexual act includes one or more of the following behaviors:
  - Contact between the penis and the vagina or the penis and the anus involving penetration, however slight. It does not include kicking, grabbing or punching genitals when the intent is to harm or debilitate rather than to sexually exploit.
  - Contact between the mouth and the penis, vagina, or anus.
  - Penetration of the anal or genital opening of another person by a hand, finger, or other object.
7. An incident must be substantiated by a finding of guilt (conviction) through the disciplinary process, a court of law, or a formal investigation indicating there was sufficient evidence that the sexual misconduct occurred. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.
8. Count the number of **completed non-consensual sexual acts** in which the assailant was an inmate, not the number of inmates that were assailants. Examples include:
  - Three inmates sexually assault another inmate, count as one assault.
  - If several inmates sexually assault one offender in which one completes the sexual contact while the other three hold down the victim, this is one sexual assault. Do not as sexual assault and an assault with serious injury.
  - If several inmates participate as in a tag team, count as multiple sexual assaults.

Data element III.3.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates held in a given facility with the exceptions of:
  - Inmates held in facilities not operated by the DOC, and
  - Inmates assigned to the given facility that were released to the community (parole, furlough, electronic monitoring, etc.) as of the last day of a given month.

**Key Indicator III.3.2 Inmate-on-inmate attempted non-consensual sexual acts:** Number of incidents of attempted non-consensual sexual acts in which the victim is an inmate during a given month adjusted for the number of inmates in a given facility on the last day of the given month.

Data element III.3.2 (numerator). Number of incidents of attempted non-consensual sexual acts in which the victim is an inmate in a given facility during a given month.

Counting rules:

1. To be counted, the victim must be incarcerated.
2. To be counted, the victim must be an inmate.
3. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.



4. An attempted non-consensual sexual act is defined as an incident in which the attempted contact occurs without a person's consent or when the person attacked is unable to consent or refuse.
5. An attempted sexual act includes one or more of the following behaviors:
  - Attempted contact between the penis and the vagina or the penis and the anus involving penetration, however slight. It does not include kicking, grabbing or punching genitals when the intent is to harm or debilitate rather than to sexually exploit.
  - Attempted contact between the mouth and the penis, vagina, or anus.
  - Attempted penetration of the anal or genital opening of another person by a hand, finger, or other object.
6. An incident must be substantiated by conviction (guilty finding) through the disciplinary process, a court of law, or a formal investigation indicating there was sufficient evidence that sexual misconduct was attempted. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.
7. Count the number of **attempted non-consensual sexual acts** in which the assailant was an inmate, not the number of inmates that were assailants. For example, three inmates attempt to sexually assault another inmate, count as one attempted assault.

Data element III.3.2 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates held in a given facility with the exception of:
  - Inmates held in facilities not operated by the DOC, and
  - Inmates assigned to the given facility who were released to the community (parole, furlough, electronic monitoring, etc.) as of the last day of a given month.

**Key Indicator III.3.3 Allegations of inmate-on-inmate non-consensual sexual acts:** Number of allegations of incidents of non-consensual sexual acts in which the victim is an inmate that are substantiated, unsubstantiated, unfounded, or the investigation is pending during a given month adjusted for the number of inmates in a given facility on the last day of that month.

Data element III.3.3 (numerator). Number of allegations of incidents of non-consensual sexual acts in which the victim is an inmate that are substantiated, unsubstantiated, unfounded, or the investigation is pending among the inmates held in a given facility during a given month.

Counting rules:

1. To be counted, the victim must be incarcerated.
2. To be counted, the victim must be an inmate.
3. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
4. A non-consensual sexual act is defined as an incident in which the contact occurs without a person's consent or when the person attacked is unable to consent or refuse.
5. Sexual act includes one or more of the following behaviors:
  - Contact between the penis and the vagina or the penis and the anus involving penetration, however slight. It does not include kicking, grabbing or punching genitals when the intent is to harm or debilitate rather than to sexually exploit.
  - Contact between the mouth and the penis, vagina, or anus.
  - Penetration of the anal or genital opening of another person by a hand, finger, or other object.

6. Substantiated incident refers to an event that has been investigated and determined to have occurred.
7. Unsubstantiated incident refers to an event for which the evidence was insufficient to make a final determination that the event occurred as reported by the victim. If an offender is assaulted and alleges that it was a sexual assault, but it was determined to be a standard assault (for example, an offender is kicked in the genitals and alleges that it was a sexual assault) **count as an unsubstantiated alleged sexual assault**. It would also count as a standard assault. This should not be counted as an alleged sexual assault.
8. Unfounded refers to an event that was determined NOT to have occurred.
9. Investigation ongoing refers to an event for which a final determination has not yet been made as to whether the event occurred.
10. If allegations of inmate on inmate non-consensual sexual acts) has an investigation pending and it is successfully convicted in the following month, count convictions according to the date of the incident. Correct the data for the month of the incident by adding the conviction and correct the number of investigations pending.

Data element III.3.3 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates held in a given facility with the exception of:
  - Inmates held in facilities not operated by the DOC, and
  - Inmates assigned to the given facility who were released to the community (parole, furlough, electronic monitoring, etc.) as of the last day of a given month.

**Key Indicator III.3.4 Inmate-on-inmate abusive sexual contact:** Number of incidents of inmate-on-inmate abusive sexual contact in which the victim is an inmate during a given month, adjusted for the number of inmates in a given facility on the last day of that month.

Data element III.3.4 (numerator). Number of incidents of inmate-on-inmate abusive sexual contact in the facility during a given month.

Counting rules:

1. To be counted, the victim must be incarcerated.
2. To be counted, the victim must be an inmate.
3. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
4. Abusive sexual contact includes one or more of the following behaviors:
  - Contact without a person's consent or when a person was unable to consent or refuse.
  - Intentional touching, either directly or through the clothing of the genitalia, anus, groin, breast, inner thigh, or buttocks of the victim. It does not include kicking, grabbing or punching genitals when the intent is to harm or debilitate rather than to sexually exploit.
5. An incident must be substantiated by a conviction (guilty finding) through the disciplinary process, a court of law, or a formal investigation indicating there was sufficient evidence that the sexual misconduct occurred. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.

Data element III.3.4 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates held in a given facility with the exception of:
  - Inmates held in facilities not operated by the DOC, and
  - Inmates assigned to the given facility who were released to the community (parole, furlough, electronic monitoring, etc.) as of the last day of a given month.

**Key Indicator III.3.5 Allegations of inmate-on-inmate abusive sexual contact:** Number of allegations of incidents of abusive sexual contact in which the victim is an inmate that are substantiated, unsubstantiated, unfounded, or the investigation is pending during a given month adjusted for the number of inmates in a given facility on the last day of that month.

Data element III.3.5 (numerator). Number of allegations of incidents of abusive sexual contact in which the victim is an inmate that are substantiated, unsubstantiated, unfounded, or the investigation is pending during a given month.

Counting rules:

1. To be counted, the victim must be incarcerated.
2. To be counted, the victim must be an inmate.
3. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
4. Abusive sexual contact includes one or more of the following behaviors:
  - Contact without a person's consent or when a person was unable to consent or refuse.
  - Intentional touching, either directly or through the clothing of the genitalia, anus, groin, breast, inner thigh, or buttocks of the victim. It does not include kicking, grabbing or punching genitals when the intent is to harm or debilitate rather than to sexually exploit.
5. Substantiated incident refers to an event that has been investigated and determined to have occurred.
6. Unsubstantiated incident refers to an event for which the evidence was insufficient to make a final determination that the event occurred as reported by the victim.
7. Unfounded refers to an event that was determined NOT to have occurred.
8. Investigation ongoing refers to an event for which a final determination has not yet been made as to whether the event occurred.

Data element III.3.5 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates held in a given facility with the exception of:
  - Inmates held in facilities not operated by the DOC, and
  - Inmates assigned to the given facility who were released to the community (parole, furlough, electronic monitoring, etc.) as of the last day of a given month.

#### 4. Inmate-on-staff sexual violence

**Key Indicator III.4.1 Inmate-on-staff completed non-consensual sexual acts:** Number of completed incidents of inmate-on-staff non-consensual sexual acts during a given month in which the victim is a DOC staff member adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.4.1 (numerator). Number of completed incidents of non-consensual sexual acts perpetrated on staff by inmates during a given month.

Counting rules:

1. A staff member is defined as an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time or contract basis.
  - DOC representatives are defined as official visitors to the facility, representatives of other state, local, or federal agencies.
2. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have been approved by the DOC to work, collect data/interviews, or provide services to or for a government agency.
3. To be counted, the incident must involve an inmate who is incarcerated rather than placed in some type of community supervision.
4. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
5. A non-consensual sexual act is defined as an incident in which the contact occurs without a person's consent or when a person was unable to consent or refuse.
6. A non-consensual sexual act includes one or more of the following behaviors:
  - Contact between the penis and the vagina or the penis and the anus involving penetration, however slight. It does not include kicking, grabbing or punching genitals when the intent is to harm or debilitate rather than to sexually exploit.
  - Contact between the mouth and the penis, vagina, or anus.
  - Penetration of the anal or genital opening of another person by a hand, finger, or other object.
7. An incident must be substantiated by a conviction (guilty finding) through the disciplinary process, a court of law, or a formal investigation indicating there was sufficient evidence that the sexual misconduct occurred. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.

Data element III.4.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates held in a given facility with the exception of:
  - Inmates held in facilities not operated by the DOC, and
  - Inmates assigned to the given facility who were released to the community (parole, furlough, electronic monitoring, etc.) as of the last day of a given month.

**Key Indicator III.4.2 Inmate-on-staff attempted non-consensual sexual acts:** Number of attempted incidents of inmate-on-staff non-consensual sexual acts during a given month in which the victim is a DOC staff member adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.4.2 (numerator). Number of attempted incidents of non-consensual sexual acts perpetrated on DOC staff by inmates during a given month.

Counting rules:

1. A staff member is an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time or contract basis.
  - DOC representatives are defined as official visitors to the facility, representatives of other state, local, or federal agencies.
2. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility and consultants/researchers who have been approved by the DOC to work, collect data/interviews, or provide services to or for a government agency.
3. To be counted, the incident must involve an inmate who is incarcerated rather than placed in some type of community supervision.
4. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
5. An attempted non-consensual sexual act is defined as an incident in which the contact occurs without the victim's consent or he/she was unable to consent or refuse.
6. An attempted non-consensual sexual act includes one or more of the following behaviors:
  - Contact between the penis and the vagina or the penis and the anus involving penetration, however slight. It does not include kicking, grabbing or punching genitals when the intent is to harm or debilitate rather than to sexually exploit.
  - Contact between the mouth and the penis, vagina, or anus.
  - Penetration of the anal or genital opening of another person by a hand, finger, or other object.
7. An incident must be substantiated by a conviction (guilty finding) through the disciplinary process, a court of law, or a formal investigation indicating there was sufficient evidence that the sexual misconduct was attempted. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.

Data element III.4.2 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates held in a given facility with the exception of:
  - Inmates held in facilities not operated by the DOC, and
  - Inmates assigned to the given facility who were released to the community (parole, furlough, electronic monitoring, etc.) as of the last day of a given month.

**Key Indicator III.4.3 Inmate-on-staff abusive sexual contact:** Number of incidents of inmate-on-staff abusive sexual contact in which the victim is a DOC staff member that occurred during a given month adjusted for the number of inmates in a given facility on the last day of that month.

Data element III.4.3 (numerator). Number of incidents of inmate-on-staff abusive sexual contact in which the victim is a DOC staff member during a given month.

Counting rules:

1. A staff member is defined as an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time or contract basis.
  - DOC representatives are defined as official visitors to the facility, representatives of other state, local, or federal agencies.
2. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility and consultants/researchers who have been approved by the DOC to work, collect data/ interviews, or provide services to or for a government agency.
3. To be counted, the incident must involve an inmate who is incarcerated rather than placed in some type of community supervision.
4. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
5. Abusive sexual contact includes one or more of the following behaviors:
  - Contact without a person's consent or the person was unable to consent or refuse.
  - Intentional touching, either directly or through the clothing of the genitalia, anus, groin, breast, inner thigh, or buttocks of the victim. It does not include kicking, grabbing or punching genitals when the intent is to harm or debilitate rather than to sexually exploit.
6. An incident must be substantiated by a conviction (guilty finding) through the disciplinary process, a court of law, or a formal investigation indicating there was sufficient evidence that the sexual misconduct occurred. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.

Data element III.4.3 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates held in a given facility with the exception of:
  - Inmates held in facilities not operated by the DOC, and
  - Inmates assigned to the given facility that were released to the community (parole, furlough, electronic monitoring, etc.) as of the last day of a given month.

## 5. Staff-on-inmate Sexual Misconduct

**Key Indicator III.5.1. Staff-on-inmate sexual misconduct:** Number of incidents of sexual misconduct by DOC staff with an inmate during a given month adjusted for the number of FTE positions at a given facility on the last day of that month.

Data element III.5.1 (numerator). Number of incidents of sexual misconduct by DOC staff with an inmate during a given month.

Counting rules:

1. A staff member is defined as an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time or contract basis.
  - DOC representatives are defined as official visitors to the facility, representatives of other state, local, or federal agencies.
2. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility and consultants/researchers who have been approved by the DOC to work, collect data, conduct interviews, or provide services to or for a government agency.
3. To be counted, the incident must involve an inmate who was incarcerated rather than placed in some type of community supervision.
4. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
5. Sexual misconduct includes one or more of the following behaviors:
  - Any behavior of a sexual nature directed toward an inmate by a DOC staff member.
  - Intentional touching of the genitalia, anus, groin, breast, inner thigh, or buttocks with the intent to abuse, arouse, or gratify sexual desire. It does not include kicking, grabbing or punching genitals when the intent is to harm or debilitate rather than to sexually exploit.
  - All completed, attempted, threatened, or requested sexual acts between DOC staff and the inmate.
  - Incidents of indecent exposure or invasion of privacy for sexual gratification.
6. The act must be substantiated by a conviction (guilty finding) through the disciplinary process, a court of law, or a formal investigation indicating there was sufficient evidence that the sexual misconduct occurred. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.

Data element III.5.1 (denominator). Number of DOC staff working in a given facility on the last day of a given month.

Counting rules:

1. A staff member is defined as an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time, or contract basis.

**Key Indicator III.5.2 Staff-on-inmate sexual harassment:** Number of incidents of sexual harassment by DOC staff with an inmate during a given month adjusted for the number of DOC staff in a given facility on the last day of that month.

Data element III.5.2 (numerator). Number of incidents of sexual harassment by DOC staff with an inmate during a given month.



Counting rules:

1. A staff member is defined as an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time or contract basis.
  - DOC representatives are defined as official visitors to the facility, representatives of other state, local, or federal agencies.
2. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have been approved by the DOC to work, collect data, conduct interviews, or provide services to or for a government agency.
3. To be counted, the incident must involve an inmate who was incarcerated rather than placed in some type of community supervision.
4. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
5. Sexual harassment includes one or more of the following behaviors:
  - Repeated verbal statements or comments of a sexual nature to an inmate by a DOC staff member.
  - Incidents involving demeaning references to gender or derogatory comments about body or clothing.
  - Profane or obscene language or gestures.
6. The act must be substantiated by a conviction (guilty finding) through the through the disciplinary process, a court of law, or a formal investigation indicating there was sufficient evidence that the sexual harassment occurred. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.

Data element III.5.2 (denominator). Number of DOC staff working in a given facility on the last day of a given month.

Counting rules:

1. A staff member is defined as an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time or contract basis.

**Key Indicator III.5.3 Civilian-on-inmate sexual misconduct:** Number of incidents of sexual misconduct by a civilian with an inmate during a given month. (This key indicator is not computed as a rate.)

Data element III.5.3 (numerator). Number of incidents of sexual misconduct by a civilian with an inmate during a given month.

Counting rules:

1. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility and consultants/researchers who have been approved by the DOC to work, collect data/interviews, or provide services to or for a government agency.

2. To be counted, the incident must involve an inmate who was incarcerated rather than placed in some type of community supervision.
3. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
4. Sexual misconduct includes one or more of the following behaviors:
  - Any behavior of a sexual nature directed toward an inmate by a civilian.
  - Intentional touching of the genitalia, anus, groin, breast, inner thigh, or buttocks with the intent to abuse, arouse, or gratify sexual desire. It does not include kicking, grabbing or punching genitals when the intent is to harm or debilitate rather than to sexually exploit.
  - All completed, attempted, threatened, or requested sexual acts between civilian and the inmate.
  - Incidents of indecent exposure or invasion of privacy for sexual gratification.
5. The act must be substantiated by a conviction (guilty finding) through the disciplinary process, a court of law, or a formal investigation indicating there was sufficient evidence that the sexual misconduct occurred. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.

**Key Indicator III.5.4 Civilian-on-inmate sexual harassment:** Number of incidents of sexual harassment by a civilian with an inmate during a given month. (This key indicator is not computed as a rate.)

Data element III.5.4 (numerator). Number of incidents of sexual harassment by civilian with an inmate during a given month.

Counting rules:

1. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility and consultants/researchers who have been approved by the DOC to work, collect data, conduct interviews, or provide services to or for a government agency.
2. To be counted, the incident must involve an inmate who was incarcerated rather than placed in some type of community supervision.
3. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.
4. Sexual harassment includes one or more of the following behaviors:
  - Repeated verbal statements or comments of a sexual nature to an inmate by a civilian.
  - Incidents involving demeaning references to gender or derogatory comments about body or clothing.
  - Profane or obscene language or gestures.
5. The act must be substantiated by a conviction (guilty finding) through the disciplinary process, a court of law, or a formal investigation indicating there was sufficient evidence that the sexual harassment occurred. When the incident is identified by self-report, there must be evidence beyond the victim's statement to substantiate the event.

## 6. Inmate-on-inmate homicides

**Key Indicator III.6.1 Inmate-on-inmate homicides:** Number of inmate victims of homicides committed by other inmates during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.6.1 (numerator). Number of inmate victims of homicides committed by other inmates during a given month.

Counting rules:

1. A single incident could have more than one victim; count the number of victims.
2. In some incidents the assailant is not known. For this reason, the fact that a homicide has taken place does not have to be substantiated by the disciplinary process; however, there must be sufficient evidence that the death resulted from an attack and not an accident.
3. To be counted, the victim must be incarcerated.
4. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.

Data element III.6.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## 7. Inmate-on-staff homicides

**Key Indicator III.7.1 Inmate-on-staff homicides:** Number of staff victims of homicides committed by inmates during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.7.1 (numerator). Number of staff victims of homicide committed by inmates during a given month.

Counting rules:

1. A staff member is defined as an individual who is employed by the DOC or facility on a full-time, part-time, or contractual basis. DOC staff or representatives include:
  - A DOC staff member is an individual who is employed by the DOC or facility on a full-time, part-time or contract basis.
  - DOC representatives are defined as official visitors to the facility, representatives of other state, local, or federal agencies.
2. Civilians are individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility and consultants/researchers who have been approved by the DOC to work, collect data, conduct interviews, or provide services to or for a government agency.
3. A single incident could have more than one victim; count the number of victims.
4. In some incidents the assailant is not known. For this reason, the fact that a homicide has taken place does not have to be substantiated by the disciplinary process; however, there must be sufficient evidence that the death resulted from an attack and not an accident.

5. To be counted, the incident must have taken place in a facility or while inmates are under supervision and custody of prison staff.
6. Do not include homicides committed by inmates held in other states' correctional facilities or in facilities not operated by the DOC.

Data element III.7.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## 8. Inmate suicides

**Key Indicator III.8.1 Inmate suicides:** Number of inmates who commit suicide during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.8.1 (numerator). Number of inmates who committed suicide during a given month that were in the custody a given facility at the time of their death.

Counting rules:

1. To be counted, the suicide victim must have been an inmate.
2. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.

Data element III.8.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.8.2 Inmate attempted suicides:** Number of inmates who attempted to commit suicide (as determined by a mental health professional) during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.8.2 (numerator). Number of inmates who attempted to commit suicide while being held in a given facility during a given month.

Counting rules:

1. To be counted, the attempted suicide victim must have been an inmate.

2. An attempted suicide includes any self-injury behavior determined by a medical or mental health professional as an attempt to kill oneself and results in the inmate being placed on suicide watch.
3. Exclude suicidal gestures.
4. Do not include inmates housed in other states' correctional facilities or held in facilities not operated by the DOC.

Data element III.8.2 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## 9. Positive drug tests

**Key Indicator III.9.1 Positive drug tests:** Number of positive drug tests from random drug screenings that were positive for cocaine, opiates, marijuana, amphetamines and/or meth-amphetamines during a given month adjusted for the number of random drug screenings conducted during that month.

Data element III.9.1 (numerator). Number of positive drug tests from random drug screenings that were positive for cocaine, opiates, marijuana, amphetamines and/or meth-amphetamines during a given month.

Counting rules:

1. The "at-risk" population is those inmates housed in facilities operated by the DOC. Do not include inmates supervised in the community including furloughs, electronic surveillance, and halfway houses. Do not include inmates held in other states' correctional facilities or in facilities not operated by the DOC.
2. Random drug screenings are systematic assessments in which all at-risk persons have an equal probability or chance of being selected. Random sampling is designed to include the entire stock population without an emphasis on any particular group, individual, or custody level. Once a group/individual is targeted, the testing is no longer random. If a test is conducted to verify suspicion about an inmate, it is a targeted test/search and does not count as a random drug screening.
3. Exclude screenings that are mandated or targeted for an inmate or group of inmates. Include only tests for inmates who have been housed in facilities operated by the DOC for 30 days or more. If custody of the inmate is transferred to another agency, e.g., the inmate is transferred to local jail, police, sheriff, etc., wait 30 days before counting any positive drug tests.
4. The thresholds for positive indications of drug use were drawn from the standards set by the National Institute on Drug Abuse (NIDA). They are as follows:
  - Cocaine immunoassay test: 300 ng/mL;
  - Opiates immunoassay test: 300 ng/mL;
  - Marijuana immunoassay test: 50 ng/mL;
  - Amphetamines test: 1000 ng/ml; and
  - Methamphetamines test: 1000 ng/ml.

5. Count positive hits, not individuals. For example, if an inmate is randomly selected for testing more than once during a given month, and he or she tests positive for one or more of the specified drugs in subsequent tests, count each positive drug-testing event.
6. Count a refusal to provide a sample as a positive drug test.

Data element III.9.1 (denominator). Number of random drug screenings conducted in a given facility during a given month.

Counting rules:

1. The “at-risk” population is those inmates housed in facilities operated by the DOC. Do not include inmates supervised in the community including furloughs, electronic surveillance, and halfway houses. Do not include inmates held in other states’ correctional facilities or in facilities not operated by the DOC.
2. Random drug screenings are systematic assessments in which all at-risk persons have an equal probability or chance of being selected. Random sampling is designed to include the entire stock population without an emphasis on any particular group or individual. Once a group/individual is targeted, the testing is no longer random.
3. Exclude screenings that are mandated, targeted, or for cause.
4. Include only inmates who have been incarcerated 30 days or more.
5. Count tests, not individuals. If an inmate is randomly selected for testing more than once during a given month, count all tests performed.

## 10. Disturbances

**Key Indicator III.10.1 Disruptive Event:** The number of incidents brought about by inmate action that resulted in loss of control of the facility or a portion of the facility and required extraordinary measures to regain control during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.10.1 (numerator). An incident brought about by inmate action that resulted in loss of control of the facility or a portion of the facility and required extraordinary measures to regain control during a given month.

Counting rules:

1. Count only incidents that occur in facilities operated by the DOC. Exclude incidents that occur in other states’ correctional facilities or in facilities not operated by the DOC.
2. Loss of control of the facility or a portion of it is defined as a situation in which inmates are acting in concert to disrupt facility operation and refuse to comply with lock down orders. They may have taken hostages or appear to be prepared for physical conflict. Hostile intent is apparent and threats are noted.
3. Extraordinary measures are required to regain control of the facility, e.g., sending in a significant number of staff or the tactical response team, firing of shots, use of gas, etc.

Data element III.10.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states’ correctional facilities or held by facilities not operated by the DOC, and

- Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## 11. Cell Searches

**Key Indicator III.11.1 Random Cell Searches:** The number of random cell searches in the facility during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.11.1. (numerator). Number of random searches by DOC staff of inmate cells or property lockers/chests during a given month.

### Counting rules:

1. Count only searches that occur in facilities operated by the DOC. Exclude searches that occur in other states' correctional facilities or in facilities not operated by the DOC.
2. Random cell searches are systematic examinations of inmates' property and/or living spaces in which the cell/property chosen for the search is selected in such a way that the entire population has an equal chance of being selected for a search. There is no emphasis on any particular housing unit or individual. Once a housing unit/individual is targeted, the search is no longer random.
3. Exclude searches that are mandated or targeted for an inmate or group of inmates.
4. Count searches not individuals. For example, if an inmate's cell/property is randomly selected for search more than once during a given month, count each search.
5. A random search does not have to uncover or find any contraband, etc. in order to be counted.
6. Count the number of searches. If the search is conducted in a two or multi-person cell or dormitory, count the number of cells/inmates that are searched. If the housing unit is a dormitory and the entire dormitory is not searched but rather the locker/living space of randomly selected inmates, include in the count the number of lockers/living spaces searched.

Data element III.11.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

### Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.11.2 Targeted Cell Searches:** The number of targeted cell searches in the facility during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.11.2 (numerator). Number of targeted searches by DOC staff of inmate cells or property lockers/chests during a given month.



Counting rules:

1. Count only searches that occur in facilities operated by the DOC. Exclude searches that occur in other states' correctional facilities or in facilities not operated by the DOC.
2. Targeted cell searches are systematic examinations of inmates' property and/or living spaces in which the inmate/cell selected for the search is selected for cause or as mandated by DOC policy that requires search of a particular housing unit or individuals.
3. Include routine searches that are mandated for a group of inmates and those for cause based on an investigation, etc. This would include periodic searches of the property lockers/chest of inmates assigned to work release, outside work detail, and/or other specific housing unit as mandated by DOC policy or due to information that the individual or group has used or has access to prohibited substances or contra.
4. Count searches, not individuals. For example, if an inmate's cell/property is searched more than once during a given month, count each search.
5. A search does not have to uncover or find any contraband in order to be counted.
6. Count the number of searches. If the search is conducted in a two or multi-person cell or dormitory, include in the count the number of lockers/living spaces searched.
7. Count a search of a dorm (i.e., a large living unit with multiple bunks rather than individual cells), using as one targeted search.
8. A search of specific cell by staff and/or use of a dog because there is information that there is contraband, regardless of whether or not contraband is found, count as ONE targeted search.

Data element III.11.2 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## 12. Major Contraband Finds

**Key Indicator III.12.1 Major Contraband Finds of an Illicit Substance:** The number of incidents in which an illicit substance was found in the facility during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.12.1 (numerator). Major Contraband Finds of an Illicit Substance. The number of incidents in which an illicit substance(s) was found in the facility during a given month.

Counting rules:

1. Count only findings of contraband that occur in facilities operated by the DOC. Exclude incidents of contraband that occur in other states' correctional facilities, in facilities not operated by the DOC, and contraband found in the possession of staff, visitors, or civilians.
2. Include findings of illicit substances, e.g., marijuana, cocaine, amphetamines, barbiturates, narcotic, inhalant, alcoholic beverages, "homemade" brews, or any medication not prescribed by facility personnel for that inmate.
3. Do not include tobacco or tobacco-related products.

4. Any medication that an inmate possesses that was not prescribed for him/her by facility personnel should be counted as contraband.
5. Include incidents of drugs found during random or targeted searches.
6. Count the number of incidents in which drugs was found, not number of inmates charged with possession of major contraband (drugs). For example, if drugs were found during a search of a 4-person cell and all four inmates were written up for possession of contraband, count as 1 incidence of illicit contraband.
7. A finding of contraband does not require that the "owner" be identified or sanctioned by the disciplinary process or court of law.

Data element III.12.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.12.2 Major Contraband Finds of Weapons:** The number of weapons found in the facility during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.12.2 (numerator). Major Contraband Finds of a Weapon(s). The number of weapons found in the facility during a given month.

Counting rules:

1. Count only findings of contraband that occur in facilities operated by the DOC. Exclude weapons found in other states' correctional facilities, in facilities not operated by the DOC, and contraband found in the possession of staff, visitors, or civilians.
2. Include findings of a weapon, e.g., gun, sharp object (used to inflict cutting type injury), pointed object (used to inflict stabbing type injury), solid/blunt object (thrown or used to hit), toxic or flammable fluids or substances.
3. Include all weapons found during random or targeted searches.
4. Count the number of weapons found, not number of inmates charged with possession of a weapon. For example, if the weapon(s) was found during a search of a 4-person cell and all four inmates were written up for possession of a weapon, count as 1 weapon.
5. A finding of contraband does not require that the "owner" be identified or sanctioned by the disciplinary process or court of law.

Data element III.12.2 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.12.3 Major Contraband Finds of a Cell Phone(s):** The number of unapproved cell phones found in the facility during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.12.3 (numerator). Major Contraband Finds of a Cell Phone(s). The number of cell phones found in the facility during a given month.

Counting rules:

1. Count only findings of cell phones that occurred in facilities operated by the DOC. Exclude incidents of contraband that occur in other states' correctional facilities, in facilities not operated by the DOC, and contraband found in the possession of staff, visitors, or civilians.
2. Include all cell phones found during random or targeted searches.
3. Count the number of unapproved cell phones found, not number of inmates charged with possession of a cell phone. For example, if the cell phone was found during a search of a 4-person cell and all four inmates were written up for possession of a cell phone, count as 1 cell phone.
4. A finding of contraband does not require that the "owner" be identified or sanctioned by the disciplinary process or court of law.

Data element III.12.3 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

### 13. Use of Force

**Key Indicator III.13.1 Immediate Use of Force:** The number of incidents of use of force during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.13.1 (numerator). **Immediate Use of Force.** The number of incidents during a given month when staff responded to an inmate using force according to agency policy and procedure that did not require planning and consultation with supervisory staff.

Counting rules:

1. Immediate use of force includes:
  - Use of force by correctional staff in direct response to misbehavior by inmate(s) when consultation and approval by a correctional supervisor is not required prior to the action(s), in accordance with the agency's use of force policy and procedures.
  - Incidents during which staff has policy authority to instantaneously use prescribed equipment/substance assigned to him/her for immediate response to

- a situation. Examples may include oleoresin capicum (pepper spray) or EBIM (non-lethal electric body immobilizer device).
2. Exclude incidents of use of force when there is no clear and present danger requiring immediate response (such as a cell extraction) and declared emergencies (such as disturbances or hostage takings) for which planned tactical operations must be conducted.
  3. Count the number of incidents of immediate use of force, not the number of inmate(s) on whom force was used.

Data element III.13.1 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator III.13.2 Planned Use of Force:** The number of incidents of planned use of force during a given month adjusted for the number of inmates held in a given facility on the last day of that month.

Data element III.13.2 (numerator). **Planned Use of Force.** The number of incidents that required strategic planning and implementation of use of force during a given month.

Counting rules:

1. Planned use of force includes action(s) by correctional staff to gain control of inmate(s) in incidents which require time to develop a strategic plan of action involving one or more staff roles; consideration of possible use of equipment and/or substances to exert force and or gain compliance; and approval(s) from supervisory staff to implement the plan.
2. Planned use of force is developed according to agency policy and procedures.
3. Include incidents of inmate disorder whereby emergency is declared and tactical operations.
4. Count the number of incidents of planned use of force, not the number of inmate(s) extracted from the cell or area of the facility.
5. The use of force must have been approved by the facility's designated authority for such incidents prior to the commencement of the actions by correctional staff.

Data element III.13.2 (denominator). Number of inmates held in a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## IV. SUBSTANCE ABUSE STANDARD

### 1. Substance Abuse Assessment

**Key Indicator IV.1.1 Assessment of Substance Abuse Disorders:** Number of inmates identified via a substance abuse screening as having a potential substance abuse problem who received a substance abuse assessment to diagnose the problem and develop a plan for appropriate clinical management while incarcerated.

Data element IV.1.1 (numerator). Among the inmates released during a given month, the number of inmates who received a substance abuse assessment during their incarceration by a substance abuse professional.

#### Counting rules:

1. A substance abuse assessment is an interview with the inmate regarding his/her alcohol and other drug use and a review of historical information by a substance abuse professional from which a diagnosis of substance abuse or dependence is derived and recommendations for treatment services are then developed.
2. Substance abuse professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in the areas of development, administration, prevention, education, treatment, evaluation, assessment and training aimed at intervening with individuals with substance use disorders. Various professionals may emerge from this specialization within existing professions (e.g., counselors, physicians, nurses, psychologist, social workers, primary care physicians, credentialed addictions counselors, etc), as well as para-professionals who have received on-the-job-training in substance abuse counseling.
3. Substance abuse or dependence diagnosis requires that the inmate simultaneously exhibit at least three of the following seven criteria during a 12-month period: 1. Tolerance, as defined by either a need for markedly increased amounts of the substance to achieve intoxication or the desired effect or markedly diminished effect with continued use of the same substance; 2. Withdrawal, as manifested by either the characteristic withdrawal syndrome for the substance or the same substance is taken to relieve or avoid withdrawal symptoms; 3. Substance is taken in larger amounts or over a longer period than was intended; 4. Persistent desire or unsuccessful efforts to cut down or control substance abuse; 5. A great deal of time is spent in activities necessary to obtain or use the substance and/or recover from its effects; 6. Important social, occupational or recreational activities are given up or reduced because of substance use; and 7. Use of the substance is continued despite knowledge that it is likely to have caused or exacerbated a persistent or recurrent physical or psychological problem.
4. Substance abuse referral is formal recommendation for a substance abuse assessment based on a substance abuse screening that indicates that the inmate has a history of substance abuse by a DOC staff or contract employee. Do not include referrals by a court prior to incarceration.
5. Exclude inmates housed in other states' correctional facilities.
6. Exclude inmates housed in facilities not operated by the DOC.

Data element IV.1.1 (denominator). Number of inmates released by the agency during a given month who had been referred for a substance abuse assessment during their incarceration by a DOC staff or contract employee. Do not include referrals by a court prior to incarceration.

Counting rules:

1. Include only those individuals who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g., individuals furloughed). To be counted the individual must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those individuals released to the community. Exclude from the count inmates who died; were transferred to another jurisdiction; or escaped, absconded or were AWOL. Exclude all administrative releases (including inmates with detainers and pre-trial offenders).

## 2. Substance Abuse Intervention

**Key Indicator IV.2.1 Substance Abuse Enrollment in Treatment:** Number of inmates released during a given month who were enrolled in recommended treatment services while incarcerated.

Data element IV.2.1 (numerator). Number of inmates released from the agency during a given month that were enrolled in a substance abuse intervention while incarcerated.

Counting rules:

1. Substance abuse intervention includes services to support and encourage the inmate's abstinence from use of substances, e.g., Alcoholics Anonymous, Narcotics Anonymous, or drug and alcohol education.
2. Substance abuse outpatient treatment services include individual therapy, group therapy, or outpatient substance abuse programming by a substance abuse professional.
3. Substance abuse inpatient treatment includes a structured curriculum in which the inmates live in a housing unit(s) separate from the general population and participate in educational classes and therapeutic activities to address their substance abuse problems and to reduce the risk of recidivism. The activities are directed by a substance abuse professional and may include group counseling, journaling, individual counseling, reality therapy, etc.
4. Inmates who participate in multiple substance treatment interventions/services should be counted in only the highest level of treatment category of treatment. For example, if the inmate participated in AA and outpatient group therapy, count as "outpatient treatment services."
5. Substance abuse treatment plan is a written summary from the substance abuse assessment that incorporates the diagnosis, extent of impairment in areas of functioning (e.g., social, familial); types of services needed; and triage of services or sequence of services (e.g., treatment services precede support services).
6. Substance abuse or dependence diagnosis requires that the inmate simultaneously exhibit at least three of the following seven criteria during a 12-month period: 1. Tolerance, as defined by either a need for markedly increased amounts of the substance to achieve intoxication or the desired effect or markedly diminished effect with continued use of the same substance; 2. Withdrawal, as manifested by either the characteristic withdrawal syndrome for the substance or the same substance is taken to relieve or avoid withdrawal symptoms; 3. Substance is taken in larger amounts or over a longer period than was intended; 4. Persistent desire or unsuccessful efforts to cut down or control substance abuse; 5. A great deal of time is spent in activities necessary to obtain or use the substance and/or recover from its effects; 6. Important social, occupational or recreational activities are given up or reduced because of substance use; and 7. Use of the substance is continued despite knowledge that it is likely to have caused or exacerbated a persistent or recurrent physical or psychological problem.

7. Exclude inmates housed in other states' correctional facilities.
8. Exclude inmates housed in facilities not operated by the DOC.
9. Inmates who were enrolled in recommended treatment services represents a subset of those recommended for treatment services.

Data element IV.2.1 (denominator). Number of inmates diagnosed with substance abuse or dependence while incarcerated and assessed as needing substance abuse intervention that were released by the agency during a given month.

Counting rules:

1. Include only those individuals who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g., individuals furloughed). To be counted the individual must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those individuals released to the community. Exclude from the count inmates who died; were transferred to another jurisdiction; or escaped, absconded or were AWOL. Exclude all administrative releases (including inmates with detainees).

**Key Indicator IV.2.2 Enrollment In Substance Abuse Outpatient Treatment:** Number of inmates released during a given month who were enrolled in substance abuse outpatient treatment provided by a substance abuse professional while incarcerated.

Data element IV.2.2 (numerator). Number of inmates released from the agency during a given month who were enrolled in substance abuse outpatient treatment provided by a substance abuse professional while incarcerated.

Counting rules:

1. Substance abuse intervention includes services to support and encourage the inmate's abstinence from use of substances, e.g., Alcoholics Anonymous, Narcotics Anonymous, or drug and alcohol education.
2. Substance abuse outpatient treatment services include individual therapy, group therapy, or outpatient substance abuse programming by a substance abuse professional.
3. Substance abuse inpatient treatment includes a structured curriculum in which the inmates live in a housing unit(s) separate from the general population and participate in educational classes and therapeutic activities to address their substance abuse problems and to reduce the risk of recidivism. The activities are directed by a substance abuse professional and may include group counseling, journaling, individual counseling, reality therapy, etc.
4. Inmates who participate in multiple substance treatment interventions/services should be counted in only the highest level of treatment category of treatment. For example, if the inmate participated in AA and outpatient group therapy, count as "outpatient treatment services."
5. Substance abuse treatment plan is a written summary from the substance abuse assessment that incorporates the diagnosis, extent of impairment in areas of functioning (e.g., social, familial); types of services needed; and triage of services or sequence of services (e.g., treatment services precede support services).
6. Substance abuse or dependence diagnosis requires that the inmate simultaneously exhibit at least three of the following seven criteria during a 12-month period: 1. Tolerance, as defined by either a need for markedly increased amounts of the substance to achieve intoxication or the desired effect or markedly diminished effect with continued use of the same substance; 2. Withdrawal, as manifested by either the characteristic



withdrawal syndrome for the substance or the same substance is taken to relieve or avoid withdrawal symptoms; 3. Substance is taken in larger amounts or over a longer period than was intended; 4. Persistent desire or unsuccessful efforts to cut down or control substance abuse; 5. A great deal of time is spent in activities necessary to obtain or use the substance and/or recover from its effects; 6. Important social, occupational or recreational activities are given up or reduced because of substance use; and 7. Use of the substance is continued despite knowledge that it is likely to have caused or exacerbated a persistent or recurrent physical or psychological problem.

7. Exclude inmates housed in other states' correctional facilities.
8. Exclude inmates housed in facilities not operated by the DOC.
9. Enrolled includes inmates that are currently participating in treatment, not those scheduled for treatment some date in the future.

Data element IV.2.2 (denominator). Number of inmates released from the agency during a given month for whom outpatient substance abuse treatment was recommended.

Counting rules:

1. Include only those individuals who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g., individuals furloughed). To be counted the individual must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those individuals released to the community. Exclude from the count inmates who died; were transferred to another jurisdiction; or escaped, absconded or were AWOL. Exclude all administrative releases (including inmates with detainers).
3. Include the number of inmates who were recommended to participate in either in-patient or out-patient substance abuse treatment. It is not all inmates that received a SA assessment; the assumption is that not all inmates who are assessed are recommended to participate in SA treatment.

**Key Indicator IV.2.3 Enrollment In Substance Abuse Inpatient Treatment:** Number of inmates released during a given month who were enrolled in substance abuse inpatient treatment provided by a substance abuse professional while incarcerated.

Data element IV.2.3 (numerator). Number of inmates released from the agency during a given month that were enrolled in substance abuse inpatient treatment provided by a substance abuse professional while incarcerated.

Counting rules:

1. Substance abuse intervention includes services to support and encourage the inmate's abstinence from use of substances, e.g., Alcoholics Anonymous, Narcotics Anonymous, or drug and alcohol education.
2. Substance abuse outpatient treatment services include individual therapy, group therapy, or outpatient substance abuse programming by a substance abuse professional.
3. Substance abuse inpatient treatment includes a structured curriculum in which the inmates live in a housing unit(s) separate from the general population and participate in educational classes and therapeutic activities to address their substance abuse problems and to reduce the risk of recidivism. The activities are directed by a substance abuse professional and may include group counseling, journaling, individual counseling, reality therapy, etc.
4. Inmates who participate in multiple substance treatment interventions/services should be counted in only the highest level of treatment category of treatment. For example, if the

inmate participated in AA and outpatient group therapy, count as “outpatient treatment services.”

5. Substance abuse treatment plan is a written summary from the substance abuse assessment that incorporates the diagnosis, extent of impairment in areas of functioning (e.g., social, familial); types of services needed; and triage of services or sequence of services (e.g., treatment services precede support services).
6. Substance abuse or dependence diagnosis requires that the inmate simultaneously exhibit at least three of the following seven criteria during a 12-month period: 1. Tolerance, as defined by either a need for markedly increased amounts of the substance to achieve intoxication or the desired effect or markedly diminished effect with continued use of the same substance; 2. Withdrawal, as manifested by either the characteristic withdrawal syndrome for the substance or the same substance is taken to relieve or avoid withdrawal symptoms; 3. Substance is taken in larger amounts or over a longer period than was intended; 4. Persistent desire or unsuccessful efforts to cut down or control substance abuse; 5. A great deal of time is spent in activities necessary to obtain or use the substance and/or recover from its effects; 6. Important social, occupational or recreational activities are given up or reduced because of substance use; and 7. Use of the substance is continued despite knowledge that it is likely to have caused or exacerbated a persistent or recurrent physical or psychological problem.
7. Exclude inmates housed in other states’ correctional facilities.
8. Exclude inmates housed in facilities not operated by the DOC.
9. Enrolled includes inmates that are currently participating in treatment, not those scheduled for treatment some date in the future.

Data element IV.2.3 (denominator). Number of inmates released from the agency during a given month for whom inpatient substance abuse treatment was recommended.

Counting rules:

1. Include only those individuals who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g., individuals furloughed). To be counted the individual must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those individuals released to the community. Exclude from the count inmates who died; were transferred to another jurisdiction; or escaped, absconded or were AWOL. Exclude all administrative releases (including inmates with detainees).

**Key Indicator IV.2.4 Substance Abuse Outpatient Treatment Completions:** Number of inmates released by the agency who achieved their treatment goals through participation in outpatient services and were formally discharged from treatment by a substance abuse treatment professional.

Data element IV.2.4 (numerator). Number of inmates released from the agency during a given month that completed substance abuse outpatient treatment provided by substance abuse professional while incarcerated.

Counting rules:

1. Completion of treatment requires that the inmate achieve the treatment goals as described in the treatment plan through participation in recommended services and was formally discharged from treatment. Exceptions: if the inmate has completed the services recommended in the treatment plan and continues to participate in on-going relapse

- prevention activities within the institution, support services, and/or is serving as a mentor or peer counselor, count as a program completion.
2. Substance abuse outpatient treatment services include individual therapy, group therapy, or outpatient substance abuse programming by a substance abuse professional.
  3. Substance abuse professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in the areas of development, administration, prevention, education, treatment, evaluation, assessment and training aimed at intervening with individuals with substance use disorders. Various professionals may emerge from this specialization within existing professions (e.g., counselors, physicians, nurses, psychologist, social workers, primary care physicians, credentialed addictions counselors, etc.), as well as para-professionals who have received on-the-job-training in substance abuse counseling.
  4. Substance abuse inpatient treatment includes a structured curriculum in which the inmates live in a housing unit(s) separate from the general population and participate in educational classes and therapeutic activities to address the their substance abuse problems and to reduce the risk of recidivism. The activities are directed by a substance abuse professional and may include group counseling, journaling, individual counseling, reality therapy, etc.
  5. Inmates who participate in multiple substance treatment interventions/ services should be counted in only the highest level of treatment category of treatment. For example, the inmate participated in AA and outpatient group therapy, count as “outpatient treatment services.”
  6. Substance abuse treatment plan is a written summary from the substance abuse assessment that incorporates the diagnosis, extent of impairment in areas of functioning (e.g., social, familial); types of services needed; and triage of services or sequence of services (e.g., treatment services precede support services).
  7. Exclude inmates housed in other states’ correctional facilities.
  8. Exclude inmates housed in facilities not operated by the DOC.
  9. Enrolled includes inmates that are currently participating in treatment, not those scheduled for treatment some date in the future.

Data element IV.2.4 (denominator). Number of inmates released from the agency during a given month that were enrolled in substance abuse outpatient treatment with a substance abuse or dependence problem while incarcerated.

Counting rules:

1. Include only those individuals who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g., individuals furloughed). To be counted the individual must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those individuals released to the community. Exclude from the count inmates who died; were transferred to another jurisdiction; or escaped, absconded or were AWOL. Exclude all administrative releases (including inmates with detainees).

**Key Indicator IV.2.5 Substance Abuse Inpatient Treatment Completions:** Number of inmates released from the agency during a given month that completed substance abuse inpatient treatment provided by a substance abuse professional while incarcerated.

Data element IV.2.5 (numerator). Number of inmates released from the agency during a given month that completed substance abuse inpatient treatment provided by a substance abuse professional while incarcerated.

Counting rules:

1. Completion of treatment requires that the inmate achieve the treatment goals as described in the treatment plan through participation in recommended services and was formally discharged from treatment. Exceptions: if the inmate has completed the services recommended in the treatment plan and continues to participate in on-going relapse prevention activities within the institution, support services, and/or is serving as a mentor or peer counselor, count as a program completion.
2. Substance abuse outpatient treatment services include individual therapy, group therapy, or outpatient substance abuse programming by a substance abuse professional.
3. Substance abuse professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in the areas of development, administration, prevention, education, treatment, evaluation, assessment and training aimed at intervening with individuals with substance use disorders. Various professionals may emerge from this specialization within existing professions (e.g., counselors, physicians, nurses, psychologist, social workers, primary care physicians, credentialed addictions counselors, etc.), as well as para-professionals who have received on-the-job-training in substance abuse counseling.
4. Substance abuse inpatient treatment includes a structured curriculum in which the inmates live in a housing unit(s) separate from the general population and participate in educational classes and therapeutic activities to address their substance abuse problems and to reduce the risk of recidivism. The activities are directed by a substance abuse professional and may include group counseling, journaling, individual counseling, reality therapy, etc.
5. Inmates who participate in multiple substance treatment interventions/ services should be counted in only the highest level of treatment category of treatment. For example, the inmate participated in AA and outpatient group therapy, count as "outpatient treatment services."
6. Substance abuse treatment plan is a written summary from the substance abuse assessment that incorporates the diagnosis, extent of impairment in areas of functioning (e.g., social, familial); types of services needed; and triage of services or sequence of services (e.g., treatment services precede support services).
7. Exclude inmates housed in other states' correctional facilities.
8. Exclude inmates housed in facilities not operated by the DOC.
9. Enrolled includes inmates that are currently participating in treatment, not those scheduled for treatment some date in the future.

Data element IV.2.5 (denominator). Number of inmates released from the agency during a given month that were enrolled in substance abuse inpatient treatment with a substance abuse or dependence problem while incarcerated.

Counting rules:

1. Include only those individuals who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g., individuals furloughed). To be counted the individual must no longer be considered an inmate or in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those individuals released to the community. Exclude from the count inmates who died; were transferred to another jurisdiction; or escaped, absconded or were AWOL. Exclude all administrative releases (including inmates with detainers).

## V. MENTAL HEALTH SERVICES STANDARD

### 1. Mental Health Assessments

**Key Indicator V.1.1 Mental Health Assessment:** Number of inmates assessed for mental health needs by a mental health professional during a given month by the agency.

Data element V.1.1 (numerator). Number of inmates assessed for mental health needs by a mental health professional during a given month by the agency.

Counting rules:

1. A mental health assessment includes an evaluation of the individual's need for mental health treatment (i.e., placement in a therapeutic or treatment unit, hospitalization, therapy, medication, and/or discharge services). An assessment may be provided to an inmate as part of the intake/reception process and/or at any point during his/her incarceration as behavior(s) or symptoms that may need clinical management are observed/ reported.
2. Mental health professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in either development, research, administration, assessment, prevention, treatment, education or training aimed at effecting the onset, occurrence, and maintenance of mental, behavioral and in some cases physical health disorders. Various professionals may emerge from specialization within a core profession (e.g. psychiatric nursing), and across academic degree level programs within existing mental health professions (e.g., the MA, MS, PhD. and PsyD., are now offered in clinical psychology). In some cases new fields of professional mental health practice are emerging (e.g. addictions counselor).
3. Exclude assessments that occur while the inmate is housed in another state's correctional facility.
4. Exclude assessments that occurred while the inmate is housed in a facility not operated by the DOC.

Data element V.1.1 (denominator). Number of individuals in custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator V.1.2 Mental Health Diagnosis Among Number Assessed:** Among the inmates whose mental health needs were assessed by a mental health professional during a given month the number with a mental health diagnosis.

Data element V.1.2. (numerator). Among the inmates whose mental health needs were assessed during month, number of inmates with a mental health diagnosis.

Counting rules:

1. Mental health diagnosis includes a mental disorder as defined in **the current version of the Diagnostic and Statistical Manual of Mental Disorders (DSM)**, except for a diagnosis of substance abuse dependency.
2. Mental health professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in either development, research, administration, assessment, prevention, treatment, education or training aimed at effecting the onset, occurrence, and maintenance of mental, behavioral and in some cases physical health disorders. Various professionals may emerge from specialization within a core profession (e.g. psychiatric nursing), and across academic degree level programs within existing mental health professions (e.g., the MA, MS, PhD. and PsyD., are now offered in clinical psychology). In some cases new fields of professional mental health practice are emerging (e.g. addictions counselor).
3. Exclude inmates housed in other states' correctional facilities.
4. Exclude inmates housed in facilities not operated by the DOC.
5. Count number of inmates with a mental health diagnosis, not number of diagnoses. An inmate may have been diagnosed multiple times in the same month but is only counted once per given month. Thus, subsequent diagnoses in the same month should not be counted.

Data element V.1.2 (denominator). Number of inmates assessed for mental health needs by a mental health professional during a given month by the agency.

Counting rules:

1. A mental health assessment includes an evaluation of the individual's need for mental health treatment (i.e., placement in a therapeutic or treatment unit, hospitalization, therapy, medication, and/or discharge services). An assessment may be provided to an inmate as part of the intake/reception process and/or at any point during his/her incarceration as behavior(s) or symptoms that may need clinical management are observed/ reported.
2. This tally should include all inmates in the custody of the agency whose mental health needs were assessed by a mental health professional with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)
3. Mental health professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in either development, research, administration, assessment, prevention, treatment, education or training aimed at effecting the onset, occurrence, and maintenance of mental, behavioral and in some cases physical health disorders. Various professionals may emerge from specialization within a core profession (e.g. psychiatric nursing), and across academic degree level programs within existing mental health professions (e.g., the MA, MS, PhD. and PsyD., are now offered in clinical psychology). In some cases new fields of professional mental health practice are emerging (e.g. addictions counselor).
4. Exclude assessments that occur while the inmate is housed in another state's correctional facility.
5. Exclude assessments that occurred while the inmate is housed in a facility not operated by the DOC.
6. Count number of inmates assessed, not number of assessments. An inmate may have been assessed multiple times in the same month but is only counted once per given month. Thus, subsequent assessments in the same month should not be counted.



**Key Indicator V.1.3 Mental Health Diagnosis – Prevalence Among DOC Population:** Number of inmates with a mental health diagnosis in the custody of the agency as of the last day of a given month.

Data element V.1.3 (numerator). Number of inmates with a mental health diagnosis in the custody of the agency.

Counting rules:

1. Mental health diagnosis includes a mental disorder as defined in the current version of the Diagnostic and Statistical Manual of Mental Disorders (DSM), except for a diagnosis of substance abuse dependency.
2. Mental health professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in either development, research, administration, assessment, prevention, treatment, education or training aimed at effecting the onset, occurrence, and maintenance of mental, behavioral and in some cases physical health disorders. Various professionals may emerge from specialization within a core profession (e.g. psychiatric nursing), and across academic degree level programs within existing mental health professions (e.g., the MA, MS, PhD. and PsyD., are now offered in clinical psychology). In some cases new fields of professional mental health practice are emerging (e.g. addictions counselor).
3. Exclude inmates housed in other states' correctional facilities.
4. Exclude inmates housed in facilities not operated by the DOC.

Data element V.1.3 (denominator). Number of individuals in custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator V.1.4 Axis I Mental Health Diagnosis -- Prevalence among assessments:** Among the inmates whose mental health needs were assessed by a mental health professional during a given month, the number who were diagnosed with a mental health clinical disorder (i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders).

Data element V.1.4 (numerator). Among the inmates in the custody of the agency whose mental health needs were assessed during a given month, the number of inmates diagnosed with a mental health clinical disorder (i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders. (Include all diagnosis listed as Axis I disorders in the DSM-IV, except substance abuse dependency).



Counting rules:

1. Mental health diagnosis includes a mental disorder as defined in the current DSM as a mental health clinical disorder, i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders. (Include all diagnosis listed as Axis I disorders in the DSM-IV, except substance abuse dependency).
2. Exclude inmates whose only clinical disorder (Axis I diagnosis) was a diagnosis of substance abuse dependency.
3. Mental health professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in either development, research, administration, assessment, prevention, treatment, education or training aimed at effecting the onset, occurrence, and maintenance of mental, behavioral and in some cases physical health disorders. Various professionals may emerge from specialization within a core profession (e.g. psychiatric nursing), and across academic degree level programs within existing mental health professions (e.g., the MA, MS, PhD. and PsyD., are now offered in clinical psychology). In some cases new fields of professional mental health practice are emerging (e.g. addictions counselor).
4. Exclude inmates housed in other states' correctional facilities.
5. Exclude inmates housed in facilities not operated by the DOC.

Data element V.1.4 (denominator). The number of the inmates whose mental health needs were assessed during a given month.

Counting rules:

1. A mental health assessment includes a review of the individual's need for mental health treatment (i.e., placement in a therapeutic or treatment unit, hospitalization, therapy, medication, and/or discharge services). An assessment may be provided to an inmate as part of the intake/reception process and/or at any point during his/her incarceration as behavior(s) or symptoms that may need clinical management are observed/ reported.
2. This tally should include all inmates in the custody of the agency whose mental health needs were assessed by a mental health professional with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator V.1.5 Axis I Mental Health Diagnosis -- Prevalence among DOC Population:**

Number of inmates diagnosed with a mental health clinical disorder (i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders in the custody of the agency as of the last day of a given month.

Data element V.1.5 (numerator). Number of inmates diagnosed with a mental health clinical disorder (i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders in the custody of the agency. (Include all diagnosis listed as Axis I disorders in the DSM-IV, except substance abuse dependency).

Counting rules:

1. Mental health diagnosis includes a mental disorder as defined in the DSM V as a mental health clinical disorder, i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders. (Any mental health disorder listed as Axis I in the DSM-IV, except substance abuse dependency.)
2. Exclude inmates whose only clinical disorder (Axis I diagnosis) was a diagnosis of substance abuse dependency.
3. Mental health professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in either development, research, administration, assessment, prevention, treatment, education or training aimed at effecting the onset, occurrence, and maintenance of mental, behavioral and in some cases physical health disorders. Various professionals may emerge from specialization within a core profession (e.g. psychiatric nursing), and across academic degree level programs within existing mental health professions (e.g., the MA, MS, PhD. and PsyD., are now offered in clinical psychology). In some cases new fields of professional mental health practice are emerging (e.g. addictions counselor).
4. Exclude inmates housed in other states' correctional facilities.
5. Exclude inmates housed in facilities not operated by the DOC.

Data element V.1.5 (denominator). Number of individuals in custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## 2. Mental Health Treatment

**Key Indicator V.2.1 Mental Health Treatment for Axis I Mental Health Disorder – Prevalence among Assessed:** Among the inmates diagnosed with a mental health clinical disorder (i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders), number receiving treatment (medication-maintenance or medication-maintenance plus) by a mental health professional during a given month.

Data element V.2.1 (numerator). Among the inmates whose mental health needs were assessed during a given month, the number of inmates diagnosed with a mental health clinical disorder (i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders), who are receiving treatment (medication maintenance or medication maintenance plus).

Counting rules:

1. Mental health diagnosis includes a mental disorder as defined in the DSM V as a clinical disorder, i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders.

- (Any mental health disorder listed as Axis I in the DSM-IV, except substance abuse dependency.)
2. Exclude inmates whose only clinical disorder (Axis I diagnosis) was a diagnosis of substance abuse dependency.
  3. Mental health professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in either development, research, administration, assessment, prevention, treatment, education or training aimed at effecting the onset, occurrence, and maintenance of mental, behavioral and in some cases physical health disorders. Various professionals may emerge from specialization within a core profession (e.g. psychiatric nursing), and across academic degree level programs within existing mental health professions (e.g., the MA, MS, PhD. and PsyD., are now offered in clinical psychology). In some cases new fields of professional mental health practice are emerging (e.g. addictions counselor).
  4. Medication maintenance is the use of any psychotropic agents to treat and/or ameliorate the episodic, recurrent or persistent features of said mental health problem.
  5. Medication maintenance plus is the use of any psychotropic agents and adjunct non-medical interventions (to include: individual, group, couples, and/or family psychotherapies, counseling or psycho education, clinical case management, or residential living accommodations) to treat and/or ameliorate the episodic, recurrent or persistent features of said mental health problem.
  6. Exclude inmates housed in other states' correctional facilities.
  7. Exclude inmates housed in facilities not operated by the DOC.

Data element V.2.1 (denominator). The number of the inmates in the custody of the agency whose mental health needs were assessed and diagnosed with a mental health clinical disorder, i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders, during a given month. (Any mental health disorder listed as Axis I in the DSM-IV, except substance abuse dependency.)

Counting rules:

1. A mental health assessment includes a review of the individual's need for mental health treatment (i.e., placement in a therapeutic or treatment unit, hospitalization, therapy, medication, and/or discharge services). An assessment may be provided to an inmate as part of the intake/reception process and/or at any point during his/her incarceration as behavior(s) or symptoms that may need clinical management are observed/ reported.
2. The tally for inmates in the custody of the agency should include:
  - Inmates whose mental health needs were assessed during a given month by a mental health professional and diagnosed with a DSM V mental health clinical disorder, i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders. (Any mental health disorder listed as Axis I in the DSM-IV, except substance abuse dependency.)
  - With the exceptions of:
    - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
    - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator V.2.2 Mental Health Treatment for Axis I Mental Health Disorder – Prevalence among DOC Population:** Among the inmates diagnosed with a mental health clinical disorder, i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia

nervosa, bulimia nervosa, schizophrenia, and psychotic disorders, the number of inmates who are receiving treatment (medication-maintenance or medication-maintenance plus).

Data element V.2.2 (numerator). Among the inmates in the custody of the agency that have been diagnosed with mental health diagnosis as defined in the DSM V as a mental health clinical disorder, i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders, the number of inmates who are receiving treatment (medication-maintenance or medication-maintenance plus). (Include any mental health disorder listed as Axis I in the DSM-IV, except substance abuse dependency.).

Counting rules:

1. Mental health diagnosis includes a mental disorder as defined in the DSM V as a mental health clinical disorder, i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders. (Any mental health disorder listed as Axis I in the DSM-IV, except substance abuse dependency.)
2. Exclude inmates whose only mental health clinical disorder (Axis I diagnosis) was a diagnosis of substance abuse dependency.
3. Mental health professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in either development, research, administration, assessment, prevention, treatment, education or training aimed at effecting the onset, occurrence, and maintenance of mental, behavioral and in some cases physical health disorders. Various professionals may emerge from specialization within a core profession (e.g. psychiatric nursing), and across academic degree level programs within existing mental health professions (e.g., the MA, MS, PhD. and PsyD., are now offered in clinical psychology). In some cases new fields of professional mental health practice are emerging (e.g. addictions counselor).
4. Medication maintenance is the use of any psychotropic agents to treat and/or ameliorate the episodic, recurrent or persistent features of said mental health problem.
5. Medication maintenance plus is the use of any psychotropic agents and adjunct non-medical interventions (to include: individual, group, couples, and/or family psychotherapies, counseling or psycho education, clinical case management, or residential living accommodations) to treat and/or ameliorate the episodic, recurrent or persistent features of said mental health problem.
6. Exclude inmates housed in other states' correctional facilities.
7. Exclude inmates housed in facilities not operated by the DOC.

Data element V.2.2 (denominator). Number of inmates in custody of the agency who were assessed and diagnosed with a mental health clinical disorder, i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders, as of the last day of a given month. (Include any mental health disorder listed as Axis I in the DSM-IV, except substance abuse dependency.)

Counting rules:

1. The tally for inmates in the custody of the agency should include:
  - Inmates whose mental health needs were assessed by a mental health professional and diagnosed with a DSM V mental health clinical disorder, i.e., depression, anxiety disorders, bipolar disorder, ADHD, autism spectrum disorders, anorexia nervosa, bulimia nervosa, schizophrenia, and psychotic disorders. (Any mental health disorder listed as Axis I in the DSM-IV, except substance abuse dependency.)
  - With the exceptions of:

- Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
- Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

### 3. Mental Health Facilities

**Key Indicator V.3.1 Number of Mental Health Beds:** Number of mental health beds adjusted for the number of inmates in custody of the agency on the last day of a given month.

Data element V.3.1 (numerator). Number of mental health beds on the last day of a given month.

Counting rules:

1. Count only those beds that are dedicated to mental health patients.

Data element V.3.1 (denominator). Number of inmates in the custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator V.3.2 Mental Health Placements in non-DOC Facilities:** Number of mental health placements of inmates in non-DOC facilities adjusted for the number of inmates held by the agency on the last day of a given month.

Data element V.3.2 (numerator). Number of mental health placements of inmates in non-DOC facilities on the last day of a given month.

Counting rules:

1. Count all mental health patients who are transferred for their mental health care and treatment to a public facility or a facility not operated by the DOC.

Data element V.3.2 (denominator). Number of inmates held by the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## VI. JUSTICE STANDARD

### 1. Notification

**Key Indicator VI.1.1 Notification:** Number of inmates provided written documentation that explains his/her legal rights, DOC rules and regulations, and procedures for mail, medical services, visitation, and grievances during the intake process during a given month.

Data element VI.1.1 (numerator). Number of inmates provided written documentation regulating inmate life during the intake process during a given month.

Counting rules:

1. A written documentation of inmate life may include legal rights, DOC rules and regulations, disciplinary procedures, grievance mechanism and procedures, inmate mail procedures, access to services, access to programs, visitation procedures, and other inmate activities.
2. Include inmates under interstate compact agreements.
3. Exclude parole violators (PV) returning for a new crime or technical violation. Most systems do an abbreviated intake process. In some states, if a PV has been out longer than one year, for example, the inmate must go through the full intake process. If this is true, do not have to remove the PVs who go through the full intake process.

Data element VI.1.1 (denominator). Number of inmates received into the custody of the agency at a DOC facility during a given month.

Counting rules:

1. Include all inmates who were admitted to the DOC for a new conviction, detainer/hold, as a safe keeper, evaluation, etc.
2. Exclude parole violators (PV) returning for a new crime or technical violation admitted through an abbreviated intake process. Include parole violators admitted through the full intake process.
3. Include inmates received under interstate compact agreements or were transferred from another jurisdiction.
4. Do not count inmates who sentences "rolled" from one sentence to another.
5. Do not count inmates returning from temporary releases, e.g. furlough, medical services, court, etc.

### 2. Grievances

**Key Indicator VI.2.1 Grievances Filed:** Number of formal grievances filed during a given month in a given facility.

Data element VI.2.1 (numerator). Number of written grievances filed by the inmates in a given facility during a given month.

Counting rules:

1. A formal written grievance is a request for explanation or resolution of a problem filed by an inmate in accordance with the agency's grievance policy.
2. A grievance maybe resolved favorably or unfavorably relative to the inmate's request or inquiry.

3. Responses must be written and provided to the inmate within the timeframes outlined in the agency's grievance policy.
4. Include grievances filed by inmates under interstate compact agreements.
5. Do not include informal resolutions that are in the process of being appealed by the inmate.

Data element VI.2.1 (denominator). Number of inmates in custody of a given facility as of the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of a given facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VI.2.2 Grievances Resolved Informally:** Number of formal grievances resolved informally during a given month in a given facility.

Data element VI.2.2 (numerator). Number of formal grievances resolved informally during a given month in a given facility.

Counting rules:

1. A formal written grievance is a request for explanation or resolution of a problem filed by an inmate in accordance with the agency's grievance policy.
2. A grievance may be resolved favorably or unfavorably relative to the inmate's request or inquiry.
3. Responses must be provided to the inmate according to the timeframes and documentation requirements outlined in the agency's grievance policy.
4. An informal resolution may include a meeting or conversation with the inmate during which his/her complaints are heard and he/she agrees to the explanation or resolution. (If the agency does not have a informal process for resolving written grievances, there will be nothing to count for this key indicator.)
5. Include grievances filed by inmates under interstate compact agreements.
6. Do not include informal resolutions that are in the process of being appealed by the inmate.

Data element VI.2.2 (denominator). Number of written grievances filed by the inmates in a given facility during a given month.

Counting rules:

1. A formal written grievance is a request for explanation or resolution of a problem filed by an inmate in accordance with the agency's grievance policy.
2. A grievance may be resolved favorably or unfavorably relative to the inmate's request or inquiry.
3. Response must be provided to the inmate within in the timeframes outlined in the agency's grievance policy.
4. Include grievances filed by inmates under interstate compact agreements.
5. Do not include informal resolutions that are in the process of being appealed by the inmate.



**Key Indicator VI.2.3 Grievances Resolved Formally:** Number of formal grievances resolved via the formal grievance process during a given month in a given facility.

Data element VI.2.3 (numerator). Number of formal grievances resolved via the formal grievance process.

Counting rules:

1. A formal written grievance is a request for explanation or resolution of a problem filed by an inmate in accordance with the agency's grievance policy.
2. A grievance may be resolved favorably or unfavorably relative to the inmate's request or inquiry.
3. Responses must be written and provided to the inmate within in the timeframes outlined in the agency's grievance policy.
4. Include grievances filed by inmates under interstate compact agreements.
5. Do not include informal resolutions that are appealed by the inmate.

Data element VI.2.3 (denominator). Number of written grievances filed by inmates during a given month.

Counting rules:

1. A formal written grievance is a request for explanation or resolution of a problem filed by an inmate in accordance with the agency's grievance policy.
2. A grievance may be resolved favorably or unfavorably relative to the inmate's request or inquiry.
3. Response must be provided to the inmate within in the timeframes outlined in the agency's grievance policy.
4. Include grievances filed by inmates under interstate compact agreements.
5. Do not include informal resolutions that are in the process of being appealed by the inmate.

### 3. Lawsuits and Class Action Cases

**Key Indicator VI.3.1 Lawsuits Filed:** Number of lawsuits filed for or by an inmate against the DOC during a given month.

Data element VI.3.1 (numerator). Number of lawsuits filed against the agency for or by an inmate during a given month.

Counting rules:

1. A lawsuit with multiple plaintiffs should be counted as one lawsuit.
2. Include all lawsuits filed in a local, state, or federal court, regardless of whether resolved in favor of the DOC.
3. Includes all lawsuits filed, regardless of whether they are still pending.
4. Exclude claims or grievances filed with local, state, or federal commissions or boards.
5. Exclude all lawsuits filed by staff or civilian not on behalf of an inmate.
6. Exclude all habeas corpus actions.

Data element VI.3.1 (denominator). Number of inmates in custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.).

**Key Indicator VI.3.2 Lawsuits Resolved:** Number of lawsuits against the agency resolved in favor of the agency during a given month.

Data element VI.3.2 (numerator). The number of lawsuits against the agency resolved in favor of the agency during a given month.

Counting rules:

1. A lawsuit with multiple plaintiffs should be counted as one lawsuit.
2. Include lawsuits filed in a local, state, or federal court.
3. Resolved includes lawsuits on which a first ruling/decision as to the responsibility of the agency has been issued by a court or a settlement/decision was reached prior to a trial or formal court hearing even if the ruling/decision has been appealed (either by the plaintiff or the agency).
4. In favor of the agency is a finding that the agency was not at-fault or validates the agency's position. The agency does not have pay any settlement, fine, punitive costs, court costs, or the lawyer fees for the plaintiff.
5. Exclude all lawsuits filed by staff or civilian not on behalf of an inmate.
6. Exclude claims or grievances filed with local, state, or federal commissions or boards.
7. Exclude all habeas corpus actions.

Data element VI.3.2 (denominator). Number of lawsuits filed against the agency during the last 12 months.

Counting rules:

1. A lawsuit with multiple plaintiffs should be counted as one lawsuit.
2. Resolved includes lawsuits on which a first ruling/decision as to the responsibility of the agency has been issued by a court or a settlement/decision was reached prior to a trial or formal court hearing even if the ruling/decision has been appealed (either by the plaintiff or the agency).
3. Include all lawsuits filed in a local, state, or federal court, regardless of whether resolved in favor of the DOC.
4. In favor of the agency is a finding that the agency was not at-fault or validates the agency's position. The agency does not have pay any settlement, fine, punitive costs, court costs, or the lawyer fees for the plaintiff.
5. Include all lawsuits filed, regardless of whether they are still pending.
6. Exclude all lawsuits filed by staff or civilian not on behalf of an inmate.
7. Exclude all habeas corpus actions.

**Key Indicator VI.3.3 Class Action Cases Filed:** Number of class action cases filed for or by an inmate against the DOC during a given month.

Data element VI.3.3 (numerator). Number of class action cases filed against the agency for or by an inmate during a given month.

Counting rules:

1. A class action case with multiple plaintiffs should be counted as one case.
2. Include all cases, regardless of whether resolved in favor of the DOC.
3. Resolved includes cases on which a first ruling/decision as to the responsibility of the agency has been issued by a court or a settlement/decision was reached prior to a trial or formal court hearing even if the ruling/decision has been appealed (either by the plaintiff or the agency).
4. Includes all class action cases filed, regardless of whether the case is still pending.
5. Exclude all cases filed by staff or civilian not on behalf of an inmate.
6. Exclude all habeas corpus actions.

Data element VI.3.3 (denominator). Number of inmates in custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.).

**Key Indicator VI.3.4 Class Action Cases Resolved:** Number of class action cases against the agency resolved in favor of the agency during a given month.

Data element VI.3.4 (numerator). The number of class action cases against the agency resolved in favor of the agency during a given month.

Counting rules:

1. A class action with multiple plaintiffs should be counted as case.
2. Resolved includes cases on which a first ruling/decision as to the responsibility of the agency has been issued by a court or a settlement/decision was reached prior to a trial or formal court hearing even if the ruling/decision has been appealed (either by the plaintiff or the agency).
3. In favor of the agency is a finding that the agency was not at-fault or validates the agency's position. The agency does not have pay any settlement, fine, punitive costs, court costs, or the lawyer fees for the plaintiffs.
4. Exclude all cases filed by staff or civilian not on behalf of an inmate.
5. Exclude all habeas corpus actions.

Data element VI.3.4 (denominator). Number of class action cases filed against the agency during the last 12 months.

Counting rules:

1. A class action case with multiple plaintiffs should be counted as one case.
8. Resolved includes cases on which a first ruling/decision as to the responsibility of the agency has been issued by a court or a settlement/decision was reached prior to a trial or

formal court hearing even if the ruling/decision has been appealed (either by the plaintiff or the agency).

2. In favor of the agency is a finding that the agency was not at-fault or validates the agency's position. The agency does not have pay any settlement, fine, punitive costs, court costs, or the lawyer fees for the plaintiffs.
3. Includes all class action cases filed, regardless of whether they are still pending.
4. Exclude all cases filed by staff or civilian not on behalf of an inmate.
5. Exclude all habeas corpus actions.

#### 4. Disciplinary Reports

**Key Indicator VI.4.1 Disciplinary Reports for Major Infractions:** Number of disciplinary reports for major institutional infractions of which the inmates were found guilty during a given month in a given facility.

Data element VI.4.1 (numerator) Number of disciplinary reports for major institutional infractions of which the inmates were found guilty during a given month.

##### Counting rules:

1. Major institutional infractions, for example include: assault, homicide, sodomy, aggravated sodomy, aggravated sex act, threaten or intimidation any person, incitement to riot, possession dangerous contraband (a weapon or object crafted for use as a weapon is involved), etc. Count the number of major versus minor infractions according to the agency's internal policy as to what is major or minor.
2. Count the number of disciplinary reports. If there are multiple infractions/violations within the same report, count as one report.
3. Count the number of disciplinary reports according to the facility at which the infraction occurred. If the inmate was transferred to another facility and the disciplinary hearing occurs at the receiving facility, count the report according to where the infraction occurred.

Data element VI.4.1 (denominator). Number of inmates held by a given facility as of the last day of a given month.

##### Counting rules:

1. This tally should include all inmates in the custody of that facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VI.4.2 Disciplinary Reports for Minor Infractions:** Number of disciplinary reports for minor institutional infractions of which the inmates were found guilty during a given month.

Data element VI.4.2 (numerator) Number of disciplinary reports for minor institutional infractions of which inmates was found guilty during the last month.

##### Counting rules:

1. Minor disciplinary infractions, for example, include: gambling/bookmaking, disrespect/insubordination of officer/staff, lewd acts, lying, misuse of telephone or mail, misuse/destruction of state property, obscenity/vulgar language, body markings and tattoos, smoking violations, theft, and work performance, etc. Count the number of major versus minor infractions according to the agency's internal policy as to what is major or minor.
2. Inmate was found guilty in a formal disciplinary hearing process or plea agreement.
3. Count the number of disciplinary reports. If there are multiple infractions/violations within the same report, count as one report. If there are both minor and major infractions within the same report, count as major report.
4. Count the number of disciplinary reports according to the facility at which the infraction occurred. If the inmate was transferred to another facility and the disciplinary hearing occurs at the receiving facility, count the report according to where the infraction occurred.

Data element VI.4.2 (denominator). Number of inmates held by a given facility as of the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of that facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VI.4.3 Disciplinary Reports – Findings of Guilt:** Number of disciplinary reports of which the inmates were found guilty during a given month.

Data element VI.4.3 (numerator) Number of disciplinary reports related to major or minor institutional infractions of which the inmates in a given facility was found guilty during a given month.

Counting rules:

1. Count disciplinary reports for major or minor institutional infractions of which the inmate was found guilty.
2. Count the number of disciplinary reports. If there are multiple infractions/violations within the same report, count as one report.
3. Count the number of disciplinary reports according to the facility at which the infraction occurred. If the inmate was transferred to another facility and the disciplinary hearing occurs at the receiving facility, count the report according to where the infraction occurred.

Data element VI.4.3 (denominator). Number of disciplinary reports reviewed by a disciplinary board for a given facility during a given month.

Counting rules:

1. A disciplinary hearing is a formal administrative process during which the inmate's guilt of an institutional infraction and sanction, if applicable, are determined.
2. Count the number of disciplinary reports. If there are multiple reports reviewed by the disciplinary hearing board at one session, count each report as a disciplinary report.

**Key Indicator VI.4.4 Disciplinary Hearing Decisions Appealed:** Number of disciplinary hearing decisions appealed by the inmate during the last month at a given facility.

Data element VI.4.4 (numerator) Number of disciplinary hearing decisions appealed by the inmate during the last month at a given facility.

Counting rules:

1. Count appeals of the disciplinary hearing decisions for which the inmate submitted a formal request for a review of the disciplinary hearing decision as required by the DOC/institutional rules.

Data element VI.4.4 (denominator). Number of disciplinary reports reviewed by a disciplinary board for a given facility during a given month.

Counting rules:

3. A disciplinary hearing is a formal administrative process during which the inmate's guilt of an institutional infraction and sanction, if applicable, are determined.
4. Count the number of disciplinary reports. If there are multiple reports reviewed by the disciplinary hearing board at one session, count each report as a disciplinary report.

## 5. Administrative Segregation/Restrictive Housing

**Key Indicator VI.5.1 Administrative Segregation:** Average daily population of inmates in administrative segregation during a given month at a given facility.

Data element VI.5.1 (numerator). Average daily population of inmates placed in administrative segregation during a given month at a given facility.

Counting rules:

1. Compute the average daily population of inmates in administrative segregation by summing the number of inmates in administrative segregation each day of a given month and then dividing by the number of days in a given month.
2. Administrative segregation includes temporary or short-term placement of an inmate in a special status/holding area because the inmate is a clear and present danger to the security of the institution. This includes those whose continued presence in the general population poses a threat to life, property, self, staff, other inmates, the security or orderly running of the institution, and/or who are the subject of an investigation.
3. Exclude inmates placed in special status/holding area for mental health, protective custody, and pending transfer to another facility.

Data element VI.5.1 (denominator). Number of inmates held by a given facility as of the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of that facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and

- Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VI.5.2 Restrictive Housing Assessment:** Number of the inmates assessed for placement in restrictive housing during a given month by the agency.

Data element VI.5.2 (numerator). Number of inmates assessed for placement in restrictive housing during a given month by the agency.

Counting rules:

1. Restrictive housing assessment includes an evaluation of the inmate's need for placement in a locked cell for 22 or more hours per day.
2. Exclude assessments that occurred while the inmate was housed in another state's correctional facility.
3. Exclude assessments that occurred while the inmate was housed in a facility not operated by the DOC.
4. Inmate population assessed for placement in restrictive housing on the last day of a given month includes inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

Data element VI.5.2 (denominator). Number of inmates in custody of the agency placed in restrictive housing status during a given month by the agency.

Counting rules:

1. Tally of inmates placed in restrictive housing status includes all inmates locked in a cell for 22 or more hours per day.
2. Tally of inmates placed restrictive housing status during a given month should exclude:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.

**Key Indicator VI.5.3 Restrictive Housing Status Reviews:** Number of inmates in the custody of the agency on restrictive housing status for at least **90 days** who have had at least one review of their restrictive housing status in the last **90 days**.

Data element VI.5.3 (numerator). Number of the inmates in the custody of the agency on restrictive housing status for at least **90 days** who have had at least one review of their restrictive housing status in the last **90 days**.

Counting rules:

1. Count restrictive housing status reviews completed according to the agency's policy and procedures to determine continued housing of the inmate in a **locked cell for 22 or more hours per day**.
2. Include inmates for whom a review of their restrictive housing status was completed during the last **90 days**.



3. Tally of the inmate in the custody of the agency on restrictive housing status for at least 90 days should include inmates in facilities operated by the DOC who have been on restrictive housing status for 90 days or longer.
4. Organization inmate population on the last day of a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.

Data element VI.5.3 (denominator). Number of inmates in the custody of the agency who have been on restrictive housing status for 90 or more days as of a given month.

Counting rules:

1. Restrictive housing placement includes placement of the inmate in a locked cell for 22 or more hours per day.
2. Tally of the inmates in the custody of the agency on restrictive housing status for at least 90 days should include inmates locked in a cell for 22 or more hours per day computed as the date the inmate was placed on restrictive housing minus the last day of the given month.
3. Tally of inmates on restrictive housing status for at least 90 days as of the last day of a given month should exclude:
  - Inmates on restrictive housing status less than 90 days.
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.

**Key Indicator VI.5.4 Restrictive Housing Mental Health Assessment:** Number of inmates placed on restrictive housing status during a given month for whom a mental health assessment was completed within 72 hours of the inmate's placement in restrictive housing.

Data element VI.5.4 (numerator). Number of inmates placed on restrictive housing status during a given month for whom a mental health assessment was completed within 72 hours of his/her placement in restrictive housing.

Counting rules:

1. Restrictive housing status designates that the inmate is locked in a cell for 22 or more hours per day.
2. Include inmates for whom a mental health assessment was completed within 72 hours of their placement in restrictive housing.
3. A mental health assessment includes an evaluation of the individual's need for mental health treatment (i.e., placement in a therapeutic or treatment unit, hospitalization, therapy, medication, and/or discharge services).
4. Mental health professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in either development, research, administration, assessment, prevention, treatment, education or training aimed at effecting the onset, occurrence, and maintenance of mental, behavioral and in some cases physical health disorders. Various professionals may emerge from specialization within a core profession (e.g. psychiatric nursing), and across academic degree level programs within existing mental health professions (e.g., the MA, MS, PhD. and PsyD., are now offered in clinical psychology). In some cases, new fields of professional mental health practice are emerging (e.g. addictions counselor).
5. Tally of inmates placed in restrictive housing status includes inmates locked in a cell for 22 or more hours per day.
6. Tally of inmates in placed restrictive housing status during a given month should exclude:

- Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.

Data element VI.5.4 (denominator). Number of the inmates in the custody of the agency placed in restrictive housing during a given month.

Counting rules:

1. Restrictive housing status designates that the inmate is locked in a cell for 22 or more hours per day.
2. Tally of inmates placed in restrictive housing status includes inmates locked in a cell for 22 or more hours per day.
3. Tally of inmates in placed restrictive housing status during a given month should exclude:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.

**Key Indicator VI.5.5 Mental Health Treatment for Mental Health Diagnosis – Prevalence among Restrictive Housing Population:** Among the inmates in the custody of the agency on restrictive housing status with a mental health clinical diagnosis (i.e., a mental disorder as defined in the current version of the Diagnostic and Statistical Manual of Mental Disorders (DSM), except for a diagnosis of substance abuse dependency), the number of inmates who received treatment during a given month.

Data element VI.5.5 (numerator). Among the inmates in the custody of the agency on restrictive housing status that have been diagnosed with a mental health diagnosis, (i.e., a mental disorder as defined in the current version of the Diagnostic and Statistical Manual of Mental Disorders (DSM), except for a diagnosis of substance abuse dependency), the number of inmates who received treatment during a given month.

Counting rules:

1. Mental health diagnosis includes a mental disorder as defined in the current version of the Diagnostic and Statistical Manual of Mental Disorders (DSM), except for a diagnosis of substance abuse dependency.
2. Mental health professional is an individual with a unique set of knowledge, skills and abilities that make him/her competent in either development, research, administration, assessment, prevention, treatment, education or training aimed at effecting the onset, occurrence, and maintenance of mental, behavioral and in some cases physical health disorders. Various professionals may emerge from specialization within a core profession (e.g. psychiatric nursing), and across academic degree level programs within existing mental health professions (e.g., the MA, MS, PhD. and PsyD., are now offered in clinical psychology). In some cases new fields of professional mental health practice are emerging (e.g. addictions counselor).
3. Mental Health Treatment may include:
  - Medication maintenance is the use of any psychotropic agents to treat and/or ameliorate the episodic, recurrent or persistent features of said mental health problem.
  - Non-medical interventions include: individual, group, couples, and/or family psychotherapies, counseling or psychological education, clinical case management, or residential living accommodations) to treat and/or ameliorate the episodic, recurrent or persistent features of said mental health problem.
4. **Mental Health Treatment excludes:**
  - Routine rounds, observation, and/or conversations at the door of the cell.

5. Tally of inmates placed in restrictive housing status includes inmates locked in a cell **for 22 or more hours per day**.
6. Tally of the inmates in the custody of the agency on restrictive housing status during a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.

Data element VI.5.5 (denominator). Number of the inmates in the custody of the agency on restrictive housing status who have been diagnosed with a clinical mental health diagnosis.

Counting rules:

1. Mental health diagnosis includes a mental disorder as defined in the current version of the Diagnostic and Statistical Manual of Mental Disorders (DSM), except for a diagnosis of substance abuse dependency.
2. Tally of inmates on restrictive housing includes inmates locked in a cell **for 22 or more hours per day**.
3. Tally of the inmates in the custody of the agency on restrictive housing status during a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.

**Key Indicator VI.5.6 Transition Programming among Restrictive Housing Population:** Among the inmates in the custody of the agency on restrictive housing status, the number enrolled in transition programming received during a given month.

Data element VI.5.6 (numerator). Among the inmates in the custody of the agency on restrictive housing status, the number of inmates enrolled in transition programming during a given month.

Counting rules:

1. Tally of inmates on restrictive housing status includes inmates locked in a cell **for 22 or more hours per day**.
2. Tally of the inmates in the custody of the agency on restrictive housing status during a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.
3. Transition Programming consists of classes, sessions, interviews, or community jobs provided in a self-paced, group, or individual setting intended to prepare the inmate(s) for re-integration into the general inmate population and/or community. Transitional programming may include, but not limited to: mental health services, academic education, cognitive therapy, anger management, and/or behavior modification. Pre-release programming includes any of an array of programming such as planning for housing, family therapy, developing credentials for gaining employment (drivers license, food stamps etc.), Interviewing classes/rehearsals, job development, etc. Exclude out-of-cell exercise, medical encounters, visits, and religious services.
4. Enrollment includes attending or engaging in transition programming as part of the current program plan or work assignment during a given month. Being on a waiting list or signed up to attend transition programming at some future date is not enrollment.

Data element VI.5.6 (denominator). Number of inmates in the custody of the agency on restrictive housing status during a given month.

Counting rules:

1. Tally of inmates in the custody of the agency on restrictive housing status includes inmates locked in a cell for 22 or more hours per day.
2. Tally of inmates on restrictive housing status the during a given month excludes:
  - Inmates under the inter-state compact agreement; these inmates should be counted by the receiving state.

## 6. Protective Custody

**Key Indicator VI.6.1 Protective Custody:** Average daily population of inmates in protective custody during a given month at a given facility.

Data element VI.6.1 (numerator). Average daily population of inmates in protective custody during a given month at a given facility.

Counting rules:

1. Compute the average daily population of inmates in protective custody by summing the number of inmates in protective custody each day of a given month and then dividing by the number of days in a given month.
2. Protective custody includes placement in special housing unit in order to ensure the safety of the inmate or that of another inmate.
3. Placement in protective custody may be voluntary, i.e., requested by the inmate or involuntary, in which the inmate is housed separate from the general population in order to ensure his/her safety.
4. Protective custody does not include segregation of an inmate from general population for medical or mental health concerns.

Data element VI.6.1 (denominator). Number of inmates held by a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of that facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## VII. ACADEMIC EDUCATION STANDARD

### 1. Education Needs

**Key Indicator VII.1.1 Assessment of Academic Education Needs:** Number of inmates whose education level was assessed via a standardized educational test or verification of a diploma or degree.

Data element VII.1.1. (numerator). Number of inmates whose academic education level was assessed during a given month.

Counting rules:

1. An assessment of educational level may include a standardized education test (for example, the WRAT (Wide Range Achievement Test), TABE (Test of Adult Basic Education), CASAS (Comprehensive Adult Student Assessment System), ABLE (Adult Basic Learning Examination), AMES (Adult Measure of Essential Skills), BEST (Basic English Skills Test), ESOLA (English as a Second Language Oral Assessment) or GED (General Educational Development Test)) and/or a review of historical information and/or educational records to determine the highest level of education the inmate has completed.
2. An academic educational professional is an individual with specialized set of knowledge, skills and abilities that make him/her competent in either teaching, educational testing, or review of academic records. Various professionals may emerge from specialization within a core profession (teachers), and across academic degree level programs within education-related professions (e.g., BA/BS, MA, MS, PhD, EdD, and/or Ed-Psy). Many tutors or teaching assistants are trained to administer, score, and/or interpret education tests and records.

Data element VII.1.1. (denominator). Number of inmates in the custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VII.1.2 Academic Education Needs Among Number Assessed:** Among the inmates whose academic education level was assessed, the number with a need for academic education services as part of their incarceration programming identified during a given month.

Data element VII.1.2. (numerator). Among the inmates whose academic education level was assessed during a given month, the number of inmates identified as needing academic educational services.

Counting rules:

1. An assessment of educational level may include the administration of a standardized education test (for example, the WRAT (Wide Range Achievement Test), TABE (Test of

Adult Basic Education), CASAS (Comprehensive Adult Student Assessment System), ABLE (Adult Basic Learning Examination), AMES (Adult Measure of Essential Skills), BEST (Basic English Skills Test), ESOLA (English as a Second Language Oral Assessment) or GED (General Educational Development Test)) and/or a review of historical information such as educational records to determine the highest level of education the inmate completed.

2. Inmates in need of education services during incarceration include those who have not completed high school nor obtained a GED (General Education Diploma) or an education professional has indicated that he/she needs additional academic educational services and whose educational tests or evaluation has determined that the inmate's mental health and/or intellectual development is such that he/she is capable of participating in academic programming.
3. An educational professional is an individual with a specialized set of knowledge, skills and abilities that make him/her competent in either teaching, educational testing, or review of academic records. Various professionals may emerge from specialization within a core profession (teachers), and across academic degree level programs within education-related professions (e.g., BA/BS, MA, MS, PhD, EdD, and/or Ed-Psy). Many tutors or teaching assistants are trained to administer, score, and/or interpret education tests and records.

Data element VII.1.2. (denominator). Number of inmates whose academic education level was assessed during a given month.

Counting rules:

1. An assessment of educational level may include the administration of a standardized education test, (for example, the WRAT (Wide Range Achievement Test), TABE (Test of Adult Basic Education), CASAS (Comprehensive Adult Student Assessment System), ABLE (Adult Basic Learning Examination), AMES (Adult Measure of Essential Skills), BEST (Basic English Skills Test), ESOLA (English as a Second Language Oral Assessment) or GED (General Educational Development Test)) and/or a review of historical information such as educational records to determine the highest level of education the inmate has completed.
2. The tally should include all inmates in the custody of the agency whose academic education level was assessed, with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, etc.)

**Key Indicator VII.1.3 Academic Education Needs – Prevalence Among DOC Population:**  
Number of inmates needing academic education services in the custody of the agency during a given month.

Data element VII.1.3 (numerator). Number of inmates needing academic educational services in the custody of the agency on the last day a given month.

Counting rules:

1. Inmates in need of education services during incarceration include those who do not have a high school, GED (General Education Diploma), or state/commonwealth secondary diploma or an education professional has indicated that he/she needs additional educational services and whose educational tests or evaluation has

- determined that the inmate's mental health and/or intellectual development is such that he/she is capable of participating in academic programming.
2. An educational professional is an individual with a specialized set of knowledge, skills and abilities that make him/her competent in either teaching, educational testing, or review of academic records. Various professionals may emerge from specialization within a core profession (teachers), and across academic degree level programs within education-related professions (e.g., BA/BS, MA, MS, PhD, EdD, and/or Ed-Psy). Many tutors or teaching assistants are trained to administer, score, and/or interpret education tests and records.

Data element VII.1.3 (denominator). Number of inmates in the custody of the agency on the last day of given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VII.1.4 Secondary Education Needs – Prevalence Among DOC Population:**  
 Number of inmates needing secondary education services in the custody of the agency on the last day of a given month.

Data element VII.1.4 (numerator). Number of inmates identified as needing secondary education services in the custody of the agency on the last day of a given month.

Counting rules:

1. Inmates in need of secondary education services during incarceration include those who have attained at least 9.0 years of schooling but have not obtained a high school, GED (General Education Diploma), or a state/commonwealth secondary diploma and their educational test(s) or professional education evaluation(s) determined that their mental health and/or intellectual development is such that they are capable of participating in academic programming.
2. An educational professional is an individual with a specialized set of knowledge, skills and abilities that make him/her competent in either teaching, educational testing, or review of academic records. Various professionals may emerge from specialization within a core profession (teachers), and across academic degree level programs within education-related professions (e.g., BA/BS, MA, MS, PhD, EdD, and/or Ed-Psy). Many tutors or teaching assistants are trained to administer, score, and/or interpret education tests and records.

Data element VII.1.4 (denominator). Number of inmates in the custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and



- Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VII.1.5 Middle School Education Needs – Prevalence Among DOC Population:** Number of inmates needing middle school education services in the custody of the agency during a given month.

Data element VII.1.5 (numerator). Number of inmates identified as needing middle school education services in the custody of the agency on the last day of a given month.

Counting rules:

1. Inmates in need of middle school education services during incarceration include those who have attained 5.0 to 8.99 years of education and their educational test(s) or professional education evaluation(s) determined that their mental health and/or intellectual development is such that they are capable of participating in academic programming. (They do not have a high school, GED (General Education Diploma), or a state/commonwealth secondary diploma.)
2. An educational professional is an individual with a specialized set of knowledge, skills and abilities that make him/her competent in either teaching, educational testing, or review of academic records. Various professionals may emerge from specialization within a core profession (teachers), and across academic degree level programs within education-related professions (e.g., BA/BS, MA, MS, PhD, EdD, and/or Ed-Psy). Many tutors or teaching assistants are trained to administer, score, and/or interpret education tests and records.

Data element VII.1.5 (denominator). Number of inmates in the custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VII.1.6 Primary School Education Needs – Prevalence Among DOC Population:** Number of inmates needing primary school education in the custody of the agency during a given month.

Data element VII.1.6 (numerator). Number of inmates identified as needing primary school education services in the custody of the agency on the last day of a given month.

Counting rules:

1. Inmates in need of primary school education services during incarceration include those who have attained less than 5.0 years of schooling (0 – 4.99 years) and have not obtained a high school, GED (General Education Diploma), or a state/commonwealth secondary diploma and their educational test(s) or professional education evaluation(s) determined that their mental health and/or intellectual development is such that they are capable of participating in academic programming.

2. An educational professional is an individual with a specialized set of knowledge, skills and abilities that make him/her competent in either teaching, educational testing, or review of academic records. Various professionals may emerge from specialization within a core profession (teachers), and across academic degree level programs within education-related professions (e.g., BA/BS, MA, MS, PhD, EdD, and/or Ed-Psy). Many tutors or teaching assistants are trained to administer, score, and/or interpret education tests and records.

Data element VII.1.6 (denominator). Number of inmates in the custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

## 2. Education Enrollment

**Key Indicator VII.2.1 Enrollment in Academic Education Services – Prevalence among Assessed:** Among the inmates assessed as needing academic education services, the number enrolled in academic programming during a given month.

Data element VII.2.1 (numerator). Among the inmates assessed as needing academic educational services, the number of inmates who are participating in academic programming.

Counting rules:

1. An assessment of educational level may include the administration of a standardized education test, (for example, the WRAT (Wide Range Achievement Test), TABE (Test of Adult Basic Education), CASAS (Comprehensive Adult Student Assessment System), ABLE (Adult Basic Learning Examination), AMES (Adult Measure of Essential Skills), BEST (Basic English Skills Test), ESOLA (English as a Second Language Oral Assessment) or GED (General Educational Development Test)) and/or a review of historical information such as educational records to determine the highest level of education the inmate has completed.
2. Inmates in need of education services during incarceration include those who have not completed high school nor obtained a GED (General Education Diploma) or state/commonwealth secondary diploma or an education professional has indicated that the inmate needs additional academic educational services and whose test(s) or evaluation has determined that the inmate's mental health and/or intellectual development is such that he/she is capable of participating in academic programming.
3. Academic programming includes classes or computerized program(s) intended to build the inmate's reading, mathematic, and/or language skills. The goal of the classes may or may not be attainment of a high school diploma, GED, or state/commonwealth secondary diploma.
4. Enrollment includes attending or engaging in academic programming as part of the current program plan or work assignment. Being on a waiting list or signed up to attend educational programming at some future date is not enrollment.

Data element VII.2.1 (denominator). The number of inmates in the custody of the agency who were assessed as needing education services.

Counting rules:

1. An assessment of educational level may include the administration of a standardized education test, (for example, the WRAT (Wide Range Achievement Test), TABE (Test of Adult Basic Education), CASAS (Comprehensive Adult Student Assessment System), ABLE (Adult Basic Learning Examination), AMES (Adult Measure of Essential Skills), BEST (Basic English Skills Test), ESOLA (English as a Second Language Oral Assessment) or GED (General Educational Development Test)) and/or a review of historical information such as educational records to determine the highest level of education the inmate has completed.
2. This tally should include all inmates in the custody of the agency whose academic education needs were assessed by an education professional, with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, etc.)

**Key Indicator VII.2.2 Enrollment in Post Secondary Academic Educational Services – Prevalence among DOC Population:** Number of inmates enrolled in post secondary academic educational services during a given month.

Data element VII.2.2 (numerator). Number of inmates enrolled in post secondary educational services on the last day of a given month.

Counting rules:

1. Post secondary academic educational services include classes or computerized program(s) intended to build the inmate's knowledge of literature, languages, mathematics, science, history, etc. The goal of the classes is not attainment of a high school diploma or GED, but rather credits that may be applied toward an associate's degree, bachelor of arts or sciences, master's degree, and the like.
2. Academic educational services do not include vocational training programs such as cosmetology, welding, electrical engineering, carpentry, word processing, printing, etc.
3. Enrollment includes those inmates who actually attend or engage in academic programming as part of their current program plans or work assignments. Being on a waiting list or being signed up to attend educational programming at some future date is not enrollment.

Data element VII.2.2 (denominator). Number of inmates in custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, etc.)

**Key Indicator VII.2.3 Completion of Academic Education Degree:** Among the inmates released during a given month who were identified as needing academic education services, the number that completed their high school diploma, received a GED, or received a state/commonwealth secondary diploma while incarcerated.

Data element VII.2.3. (numerator). Number of inmates released from the agency during a given month identified as needing academic education services that received a high school diploma, received a GED, or received a state/commonwealth secondary diploma while incarcerated.

Counting rules:

1. An assessment of educational level may include the administration of a standardized education test, (for example, the WRAT (Wide Range Achievement Test), TABE (Test of Adult Basic Education), CASAS (Comprehensive Adult Student Assessment System), ABLE (Adult Basic Learning Examination), AMES (Adult Measure of Essential Skills), BEST (Basic English Skills Test), ESOLA (English as a Second Language Oral Assessment) or GED (General Educational Development Test)) and/or a review of historical information such as educational records to determine the highest level of education the inmate has completed.
2. Inmates in need of academic education services during incarceration include those who have not completed high school nor obtained a GED (General Education Diploma) or state/commonwealth secondary diploma or an education professional has indicated that the inmate needs additional educational services and whose educational tests or evaluation has determined that the inmate's mental health and/or intellectual development is such that he/she is capable of participating in academic programming.
3. Completion of a high school diploma, GED, or state/commonwealth secondary diploma requires that the inmate complete all courses or pass all examinations required for the degree.
4. Exclude inmates released to another jurisdiction.

Data element VII.2.3. (denominator). Number of inmates released from the agency during a given month that were identified as being in need of educational services.

Counting rules:

1. Include only those individuals who have completed their sentences, were released on parole, have received a conditional release, or were released on a split prison-probation sentence. Do not include temporary releases (e.g., individuals furloughed). To be counted, the individual must no longer be considered an inmate or a person in a total confinement status, except for those released from prison on a split prison-probation sentence.
2. Include only those individuals released to the community. Exclude from the count inmates who died; who were transferred to another jurisdiction; or who escaped, absconded or were AWOL.
3. Exclude all administrative releases (including inmates with detainers and pre-trial offenders).
4. Inmates in need of academic education services during incarceration include those who have not completed high school nor obtained a GED (General Education Diploma) or state/commonwealth secondary diploma or an education professional has indicated that the inmate needs additional education services and whose educational tests or evaluation has determined that the inmate's mental health and/or intellectual development is such that he/she is capable of participating in academic programming.

### 3. Education Slots

**Key Indicator VII.3.1 Number of Academic Education Slots:** Number of academic education slots adjusted for the number of inmates in custody of the agency on the last day of a given month.

Data element VII.3.1 (numerator). Number of academic education slots within the agency on last day of a given month.

Counting rules:

1. The number of academic education class slots is equal to the maximum number of participants that all academic education classes can accommodate.
2. Academic programming includes classes or computerized program(s) intended to build an inmate's reading, mathematic, and/or language skills. The goal of the classes may or may not be attainment of a high school diploma, GED, or state/commonwealth secondary diploma.
3. Exclude educational programming slots available to inmates housed in other states' correctional facilities.
4. Exclude educational programming slots available to inmates housed in facilities not operated by the DOC.

Data element VII.3.1 (denominator). Number of inmates in the custody of the agency on last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, etc.).

## VIII. HEALTH CARE STANDARD

### 1. Medical Services Provided

**Key Indicator VIII.1.1 Health Care Encounters by Health Care Professionals:** Number of documented health care encounters by qualified health care professionals adjusted for the number of inmates held by a given facility during a given month.

Data element VIII.1.1 (numerator) Number of health care encounters by qualified health care professionals during a given month.

Counting rules:

1. Documented health care encounters include written, video, and electronic notations or entries in an inmate's medical record and/or medical logs of services rendered, contact, referral, etc.
2. Qualified health care professionals include staff that performs clinical duties, e.g., nurses, social workers, and emergency medical technicians in accordance with each health care professional's scope of training and applicable licensing, certification, and regulatory requirements.
3. Exclude encounters by health care practitioners, i.e., clinicians who are trained to diagnose and treat patients, e.g., physicians, dentists, psychologists, podiatrists, optometrists, nurse practitioners, and physician assistants.

Data element VIII.1.1 (denominator). Number of inmates held by a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of that facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC; and
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, etc.)

**Key Indicator VIII.1.2 Health Care Visits by Health Care Practitioners:** Number of documented health care visits by health care practitioners adjusted for the number of inmates held by a given facility.

Data element VIII.1.2 (numerator) Number of health care encounters by health care practitioners during a given month.

Counting rules:

1. Documented health care visits include written, video, and electronic notations or entries in an inmate's medical record and/or medical logs of services rendered, diagnosis, contact, referral, etc.
2. Exclude encounters by health care professionals, i.e., staff that performs clinical duties, nurses, social workers, and emergency medical technicians in accordance with each health care professional's scope of training and applicable licensing, certification, and regulatory requirements.

3. Include visits by health care practitioners, i.e., clinicians who are trained to diagnose and treat patients, e.g., physicians, dentists, psychologists, podiatrists, optometrists, nurse practitioners, and physician assistants.

Data element VIII.1.2 (denominator). Number of inmates held by a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of that facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC; and
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, etc.)

## 2. Medical Problems

**Key Indicator VIII.2.1 Inmates Diagnosed with Active Tuberculosis:** Number of inmates who have been diagnosed with active tuberculosis by a qualified health care practitioner during a given month.

Data element VIII.2.1 (numerator). Number of inmates who have been diagnosed with active tuberculosis by a qualified health care practitioner.

Counting rules:

1. Active tuberculosis includes cases diagnosed by a medical professional as requiring treatment for TBD (tuberculosis disease).
2. Exclude inmates diagnosed and/or treated for LTBI (Latent Tuberculosis Infection).
3. Health care practitioners, i.e., clinicians who are trained to diagnose and treat patients, e.g., physicians, nurse practitioners, and physician assistants.
4. Exclude inmates housed in other states' correctional facilities.
5. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.2.1 (denominator). The number of the inmates in custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of that facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC; and
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, etc.)

**Key Indicator VIII.2.2 Inmates who are new converters on a TB test that indicates a newly acquired TB infection:** Number of inmates with a positive screening test for tuberculosis infection identified as part of periodic or clinically-indicated testing rather than intake screening during a given month.

Data element VIII.2.2 (numerator). Number of new inmates with a positive screening test for tuberculosis infection identified as part of periodic or clinically-indicated testing in the custody of the agency.



Counting rules:

1. Screening test for tuberculosis includes skin test, x-ray, and/or tissue analysis for the tuberculin bacteria.
2. Positive test for tuberculosis includes positive tests for LTBI (Latent Tuberculosis Infection) or TBD (tuberculosis disease).
3. Include offenders with a new positive tuberculosis skin test (TST) while incarcerated in the facility, not an intake-screening test. These offenders will have previously documented negative TSTs but now have a TST that has increased by 10 millimeters. They are considered new converters.
4. Exclude offenders who have a new TST that is greater than or equal to 10 millimeters, but if the increase from the previous test was less than 10 millimeters (e.g., TST increases from 7 mm to 12 mm), consider these offenders as previous infected, therefore they are not new converters. (They should still be considered candidates for LTBI treatment.)
5. Exclude all offenders with a past positive screening test for TB infection.
6. Exclude inmates housed in other states' correctional facilities.
7. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.2.2 (denominator). The number of the inmates administered a periodic or clinically-indicated test for TB infection in custody of the agency during a given month.

Counting rules:

1. This tally should include all inmates administered a periodic or clinically-indicated test for TB infection in the custody of the agency.
2. Exclude inmates housed in other states' correctional facilities.
3. Exclude inmates housed in facilities not operated by the DOC.

**Key Indicator VIII.2.3.a Number of Inmates diagnosed with chronic HCV infection:** Number of inmates with chronic HCV infection held by an agency during a given month.

Data element VIII.2.3.a (numerator). Number of inmates with HCV (Hepatitis C Virus) infection among agencies that test all inmates for HCV during a given month.

Counting rules:

1. Chronic HCV infection includes a diagnosis by a health care practitioner that an acute infection of HCV infections has lasted longer than six months.
2. Exclude inmates housed in other states' correctional facilities.
3. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.2.3.a (denominator). The number of the inmates in custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VIII.2.3.b Number of Inmates with diagnoses of chronic HCV infection:** Number of inmates with chronic HCV infection held by an agency during a given month.

Data element VIII.2.3.b (numerator). Number of inmates with HCV (Hepatitis C Virus) infection among agencies that test inmates for HCV based on referral or self-report protocols during a given month.

Counting rules:

1. Chronic HCV infection includes a diagnosis by a health care practitioner that an acute infection of HCV infections has lasted longer than six months.
2. Exclude inmates housed in other states' correctional facilities.
3. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.2.3.b (denominator). The number of the inmates in custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VIII.2.4 Number of Inmates with HIV virus:** Number of HIV positive inmates in the custody of the agency during a given month.

Data element VIII.2.4 (numerator). Number of HIV positive inmates in the custody of the agency on the last day of a given month.

Counting rules:

1. HIV positive includes the presence of human immunodeficiency virus.
2. Exclude inmates housed in other states' correctional facilities.
3. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.2.4 (denominator). Number of inmates in the custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VIII.2.5 Number of inmates diagnosed with Methicillin-Resistant *Staphylococcus Aureus* (MRSA) infection:** Number of inmates in the custody of the facility diagnosed as having a MRSA infection during a given month.

Data element VIII.2.5 (numerator). Number of inmates in the custody of the facility diagnosed during a given month as having a MRSA infection.

Counting rules:

1. Include inmates diagnosed by a medical professional as having a *Methicillin-Resistant Staphylococcus Aureus* (MRSA) infection during a given month. Diagnosed refers to a clinical decision that the inmate has a MRSA infection. Include inmates in the custody of the facility diagnosed with MRSA in the given month.
2. MRSA are *staph* bacteria that have become resistant to beta-lactam antibiotics, including: penicillin, ampicillin, amoxicillin, augmentin, methicillin, oxacillin, dicloxacillin, cephalosporins, carbapenems (e.g., imipenem), and the monobactams (e.g., aztreonam).
3. Exclude inmates housed in other states' correctional facilities.
4. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.2.5 (denominator). Number of inmates in the custody of the facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

### 3. Medical Treatment

**Key Indicator VIII.3.1 Inmates Treated for TB Disease (Latent Tuberculosis Infection or TBD):** Number of inmates who completed treatment for latent tuberculosis infection or TBD (tuberculosis disease) in the custody of the agency in a given month.

Data element VIII.3.1 (numerator). Inmates Treated for TB Disease. Number of inmates with Latent Tuberculosis Infection or TBD who completed treatment who were in the custody of the agency during a given month.

Counting rules:

1. Count all inmates with LTBI or TBD who completed treatment by a qualified health care professional or practitioner.
2. TB disease includes cases diagnosed by a medical professional as requiring treatment for TBD (tuberculosis disease) or LTBI (latent tuberculosis disease infection).
3. Exclude inmates housed in other states' correctional facilities.
4. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.3.1 (denominator). Number of inmates diagnosed as having TB disease or Latent Tuberculosis Infection (LTBI) who were in the custody of the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates with TB disease or Latent Tuberculosis Infection (LTBI) who were in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VIII.3.2 HIV Positive Inmates Who Received Treatment:** Number of HIV positive inmates treated with highly active antiretroviral treatments that were in the custody of the agency during a given month.

Data element VIII.3.2 (numerator). HIV Positive Inmates Who Received Treatment. Number of inmates positive for the presence of human immunodeficiency virus (HIV) that received HIV treatment who were in the custody of the agency during a given month.

Counting rules:

1. Count all HIV positive inmates who received high active antiretroviral treatment. Highly Active Antiretroviral Therapy consists of a combination of three or more drugs. The most common combination given to those beginning treatment consists of two NRTIs (Nucleoside/Nucleotide Reverse Transcriptase Inhibitors) combined with either an NNRTI (Non-Nucleoside Reverse Transcriptase Inhibitors) or a "boosted" protease inhibitor.
2. HIV positive includes the presence of human immunodeficiency virus.
3. Exclude inmates housed in other states' correctional facilities.
4. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.3.2 (denominator). Number of inmates positive for the HIV virus who were in the custody of the agency during a given month.

Counting rules:

1. This tally should include all inmates positive for human immunodeficiency virus who were in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VIII.3.3 Inmates with AIDS who received treatment:** Number of inmates with AIDS in the custody of the agency who received antiretroviral treatment during a given month.

Data Element VIII.3.3 (numerator) Inmates with AIDS who received treatment. Number of inmates with AIDS in the custody of the agency who received antiretroviral treatment during a given month.

Counting rules:

1. Count all inmates with AIDS who received antiretroviral treatment.
2. Exclude inmates housed in other states' correctional facilities.
3. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.3.3 (denominator). Number of inmates with AIDS in the custody of the agency during a given month.

Counting rules:

1. This tally should include all inmates with AIDS in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities or held by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator VIII.3.4 Inmates with HCV who received treatment:** Number of inmates with HCV for whom treatment was deemed appropriate that received antiviral therapy during a given month in the custody of the agency.

Data Element VIII.3.4 (numerator) Inmates with HCV who received treatment. Number of inmates with HCV for whom treatment was deemed appropriate in the custody of the agency that received antiviral therapy during a given month.

Counting rules:

1. Among the HCV inmates for whom treatment was recommended by a health care practitioner, count the number of inmates who received treatment.
2. Exclude inmates housed in other states' correctional facilities.
3. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.3.4 (denominator). Number of the HCV inmates for whom treatment was recommended by a health care practitioner that were in custody of the agency on the last day of a given month.

Counting rules:

1. Count all inmates with HCV for whom treatment for HCV was recommended by a health care practitioner in the custody of the agency.
2. Exclude inmates housed in other states' correctional facilities.
3. Exclude inmates housed in facilities not operated by the DOC.

**Key Indicator VIII.3.5 Inmates diagnosed with a Methicillin-Resistant *Staphylococcus Aureus* (MRSA) infection that received treatment:** Number of inmates with diagnosed with a MRSA infection that received treatment during a given month held in a given facility.

Data Element VIII.3.5 (numerator) Inmates with MRSA who received treatment. Number of inmates diagnosed with a MRSA infection held by a given facility who received antibiotics during a given month.

Counting rules:

1. Count all inmates diagnosed with a MRSA infection that received treatment. (If the agency does not culture all or some infections, but rather routinely treats all infections, do not count these cases, unless, there is a specific diagnosis for MRSA. The count should include only those indicated in key indicator VIII.2.5 as having been diagnosed with a MRSA infection that received treatment for a MRSA.
2. Exclude inmates housed in other states' correctional facilities.
3. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.3.5 (denominator). Number of the inmates diagnosed with a MRSA infection that were held by a given facility on the last day of a given month.

Counting rules:

1. Include inmates diagnosed by a medical professional as having a *Methicillin-Resistant Staphylococcus Aureus* (MRSA) infection. Diagnosed refers to a clinical decision that the inmate has a MRSA infection. Include all inmates in the custody of the agency diagnosed with MRSA, not just the new cases identified in the given month.
2. MRSA are *staph* bacteria that have become resistant to beta-lactam antibiotics, including: penicillin, ampicillin, amoxicillin, augmentin, methicillin, oxacillin, dicloxacillin, cephalosporins, carbapenems (e.g., imipenem), and the monobactams (e.g., aztreonam).
3. Exclude inmates housed in other states' correctional facilities.
4. Exclude inmates housed in facilities not operated by the DOC.

**Key Indicator VIII.3.6 Medical Deaths:** Number of medical deaths of inmates during a given month among inmates in the custody of the agency.

Data element VIII.3.6 (numerator). Number of medical deaths of inmates during a given month.

Counting rules:

1. Do not include inmates who committed suicide, were executed, or who died as a result of drug overdose, or injuries sustained from an assault by an inmate(s) or DOC-staff member or an accident (e.g., transport or job-related accident, etc.)
2. Medical deaths include deaths due to a diagnosed medical condition that were anticipated as a progression of the disease or medical condition.
3. Exclude inmates housed in other states' correctional facilities.
4. Exclude inmates housed in facilities not operated by the DOC.

Data element VIII.3.6 (denominator). Number of inmates held by the agency on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities, and
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, etc.)

#### 4. Medical Facilities

**Key Indicator VIII.4.1 Inmates Admitted to a Hospital.** Number of inmates admitted to a hospital for a medical condition from a given facility during a given month.

Data element VIII.4.1 (numerator). Number of inmates admitted to a hospital for a medical condition from a given facility during a given month.

Counting rules:

1. Count all inmates admitted to a public/private hospital within the community for a medical condition.
2. Exclude inmates housed in other states' correctional facilities.
3. Exclude inmates housed in correctional facilities not operated by the DOC.

Data element VIII.4.1 (denominator). Number of inmates held by a given facility on the last day of a given month.

Counting rules:

1. This tally should include all inmates in the custody of that facility with the exceptions of:
  - Inmates housed in other states' correctional facilities, and
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, etc.)

**Key Indicator VIII.4.2 Inmates Treated for an Emergency Health Condition.** Number of times inmates are treated for an emergency health condition from a given facility during a given month.

Data element VIII.4.2 (numerator). Number of times inmates are treated for an emergency health condition(s) from a given facility during a given month.

Counting rules:

1. Emergency health condition is an acute illness or unexpected health care need that cannot be deferred until the next scheduled sick call. Emergency care includes treatment provided by medical director, physician, local ambulance service and/or outside hospital emergency department.
2. Count number of times inmates from the facility are treated for an emergency condition, for example:
  - One inmate is taken to a hospital for emergency treatment twice within a given month, count as 2;
  - One emergency van/ambulance takes two inmates to the hospital for emergency treatment, count as 2.
3. Exclude inmates housed in other states' correctional facilities.
4. Exclude inmates housed in correctional facilities not operated by the DOC.

Data element VIII.4.2 (denominator). Number of inmates held by a given facility on the last day of a given month.



Counting rules:

1. This tally should include all inmates in the custody of that facility with the exceptions of:
  - Inmates housed in other states' correctional facilities, and
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, etc.)

**Key Indicator VIII.4.3 Specialty Consults Completed.** Number of specialty consults completed for inmates in a given facility during a given month.

Data element VIII.4.3 (numerator). Number of specialty consults (on-site, off-site, or via electronic tele-medicine) completed for inmates in a given facility during the month.

Counting rules:

1. A special consult includes an approved referral to a medical specialist (e.g., surgeon, dermatologist, nephrologists, pulmonary specialist, orthopedic specialist, cardiologist, obstetrician, or gynecologist).
2. Count all on-site, off-site, or electronic tele-medicine specialty consults approved by utilization review process and/or the health care authority for medical conditions ordered by a primary care provider (MD, NP, or PA). Do not include subsequent pre- or post-procedure follow-ups ordered by the specialists.
3. The consult may occur off- or on-site or via a tele-medicine process, as the medical specialist may make periodic rounds to the facility so the consult may occur in the facility.
4. Exclude specialty consults completed for inmates housed in other states' correctional facilities.
5. Exclude specialty consults completed for inmates housed in facilities not operated by the DOC.

Data element VIII.4.3 (denominator). Number of specialty consults ordered for inmates in a given facility during the month.

Counting rules:

1. This tally should include all on-site and off-site approved specialty consults for medical conditions ordered by a primary care provider (MD, NP, or PA) for inmates in the custody of that facility with the exceptions of:
  - Inmates housed in other states' correctional facilities, and
  - Inmates in the custody of the facility who were released to the community (furlough, electronic monitoring, etc.)

## IX. FISCAL STANDARD

### 1. Adult Correctional Agency Expenditures

**Key Indicator IX.1.1 Adult Correctional Agency Capital Expenditures:** Funds expended by the agency during a given fiscal year for capital-related costs adjusted for the number of inmates housed by the agency on the last day of a given fiscal year.

Data element IX.1.1 (numerator). Funds expended by the agency during a given fiscal year for adult correctional capital-related costs.

Counting rules:

1. Include funds expended by the DOC or a central agency on behalf of the correctional agency such as Government Services Agency (GSA) or DGS (Department of Government Services) for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
2. Exclude funds expended for staff, food, clothing, supplies, services, programs, utilities, maintenance, etc.
3. Exclude all expenditures for juvenile, probation, parole, and community-based corrections divisions/departments of your agency.
4. Exclude all expenditures for moveable equipment such as computers, radios, vehicles, etc.

Data element IX.1.1 (denominator). Number of inmates housed by the agency on the last day of a given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities, **contract, or local facilities**.
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, **community corrections/residential re-entry centers, home confinement**, etc.).

**Key Indicator IX.1.2 Adult Correctional Agency Operational Expenditures:** Funds expended by the agency during a given fiscal year for operations-related costs adjusted for the number of inmates housed the agency on the last day of a given fiscal year.

Data element IX.1.2 (numerator). Funds expended by the agency during a given fiscal year for adult correctional operational expenditures costs.

Counting rules:

1. Exclude funds accounted for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
2. Include funds expended for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, etc.
3. Exclude operational funds expended for the juvenile, probation, parole, and community corrections divisions/departments of your agency.
4. Exclude funds expended for **contractual beds** for Inmates housed in other states' correctional facilities, **contract facilities, or local facilities**.

Data element IX.1.2 (denominator). Number of inmates housed by the agency on the last day of a given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities, **contract, or local facilities**.
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, **community corrections/residential re-entry centers, home confinement**, etc.).

## 2. Adult Correctional Agency Appropriations

**Key Indicator IX.2.1 Adult Correctional Agency Total Capital Appropriations:** Funds appropriated for capital-related costs as of the last day of a given fiscal year adjusted for the total appropriations for adult corrections for the fiscal.

Data element IX.2.1 (numerator). Funds appropriated for adult correctional capital-related costs as of the last day of a given fiscal year.

Counting rules:

1. Include funds appropriated by the DOC or a central agency on behalf of the correctional agency such as GSA or DGS for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
2. Exclude funds appropriated by the DOC or a central agency on behalf of the correctional agency such as GSA or DGS for operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, etc.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.2.1 (denominator). Total fiscal year appropriations for adult corrections as of the last day of fiscal year.

Counting rules:

1. Include funds appropriated for capital costs, including design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
2. Include all operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, etc.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

**Key Indicator IX.2.2 Adult Correctional Agency Total Operational Appropriations:** Funds appropriated for operations-related costs as of the last day of a given fiscal year adjusted for the total appropriations for adult corrections for a given fiscal year.

Data element IX.2.2 (numerator). Funds appropriated for adult correctional operations-related costs as of the last day of a given fiscal year.

Counting rules:

1. Exclude funds appropriated by the DOC or a central agency on behalf of the correctional agency such as GSA or DGS for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
2. Include funds appropriated by the DOC or a central agency on behalf of the correctional agency such as GSA or DGS for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, etc.
3. Exclude all funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.2.2 (denominator). Total fiscal year appropriations for adult corrections as of the last day of fiscal year.

Counting rules:

1. Include funds appropriated for capital costs, including design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
2. Include all operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, etc.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

**Key Indicator IX.2.3 Adult Correctional Agency Operational Funds Appropriated for Food:**  
Operational funds appropriated for food as of the last day of a given fiscal year adjusted for the number of inmates housed by the agency on the last day of a given fiscal year.

Data element IX.2.3 (numerator). Operational funds appropriated for food as of the last day of a given fiscal year.

Counting rules:

1. Include funds appropriated for food and food products to be served to inmates and staff.
2. Exclude all capital funds appropriated for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
3. Exclude capital appropriations for purchase, repair, and replacement of food service equipment.
4. Exclude labor costs appropriated for support culinary staff, inmate-kitchen workers, supervisors, and managers.
5. Exclude correctional staffing costs for security staff assigned to kitchen/dining halls.
6. Exclude maintenance costs for kitchen, dining rooms, freezers, and food storage areas.
7. Exclude utility costs.
8. Exclude all funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.2.3 (denominator). Number of inmates housed by the agency on the last day of a given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities, **contract, or local facilities**.
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, **community corrections/residential re-entry centers, home confinement**, etc.).

**Key Indicator IX.2.4 Adult Correctional Agency Operational Funds Appropriated for Medical Services:** Operational funds appropriated for medical services as of the last day of a given fiscal year adjusted for the number of inmates housed by the agency on the last day of a given fiscal year.

Data element IX.2.4 (numerator). Operational funds appropriated for medical services as of the last day of a given fiscal year.

Counting rules:

1. Include funds appropriated for inmate medical services including DOC, private and/or contracted medical staff, medications, medical supplies, specialty consults, emergency health conditions, hospitalizations, dental services, optometric services, and health care encounters by health care professionals and practitioners.
2. Include operational costs budgeted for medical services, testing, and procedures even if reimbursed through insurance or other sources.
3. Exclude correctional staffing costs for security staff assigned to medical services.
4. Exclude costs for medical services provided by other agencies and in-kind services that are not in the DOC budget.
5. Exclude capital funds appropriated for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
6. Exclude all funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.2.4 (denominator). Number of inmates housed by the agency on the last day of a given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities, **contract, or local facilities**.
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, **community corrections/residential re-entry centers, home confinement**, etc.).

**Key Indicator IX.2.5 Adult Correctional Agency Operational Funds Appropriated for Mental Health Services:** Operational funds appropriated for mental health services appropriated as of the last day of a given fiscal year adjusted for the number of inmates housed by the agency on the last day of a given fiscal year.

Data element IX.2.5 (numerator). Operational funds appropriated for mental health services appropriated as of the last day of a given fiscal year.

Counting rules:

1. Include funds appropriated for inmate mental health services including DOC, private, and contracted mental health staff, all medications, mental health supplies, specialty consults, emergency mental health conditions, hospitalizations, and mental health encounters by mental health professionals or practitioners.
2. Include operational costs budgeted for mental health services, testing, and procedures even if reimbursed through insurance or other sources.
3. Exclude correctional staffing costs for security staff assigned to mental health units or hospitals.
4. Exclude costs for mental health services provided by other agencies and in-kind services that are not in the DOC budget.
5. Exclude capital funds appropriated for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
6. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.2.5 (denominator). Number of inmates housed by the agency on the last day of given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities, **contract, or local facilities**.
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, **community corrections/residential re-entry centers, home confinement**, etc.).

**Key Indicator IX.2.6 Adult Correctional Agency Operational Funds Appropriated for Inmate Programs:** Operational funds appropriated for inmate programs appropriated as of the last day of a given fiscal year adjusted for the number of inmates housed by the agency on the last day of a given fiscal year.

Data element IX.2.6 (numerator). Operational funds appropriated for treatment and self-help programs for inmates appropriated as of the last day of a given fiscal year.

Counting rules:

1. Include funds appropriated for inmate programs that the primary purpose is for treatment of substance abuse, sex offender, cognitive/criminal thinking, anger management, parenting, financial/ budgeting, life skills, re-entry services, compulsive behaviors, self-help, etc.
2. Exclude operational costs budgeted for vocational training, academic education, mental health services, religious services, and institutional work assignments.
3. Exclude correctional staffing costs for security staff assigned to program units/ services.
4. Exclude costs for programs provided by other agencies and in-kind services that are not in the DOC budget.
5. Exclude capital funds appropriated for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
6. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.2.6 (denominator). Number of inmates housed by the agency on the last day of given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities, **contract, or local facilities.**
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, **community corrections/residential re-entry centers, home confinement**, etc.).

**Key Indicator IX.2.7 Adult Correctional Agency Operational Funds Appropriated for Inmate Academic Education Services:** Operational funds appropriated for inmate academic education services appropriated as of the last day of a given fiscal year adjusted for the number of inmates housed by the agency on the last day of a given fiscal year.

Data element IX.2.7 (numerator). Operational funds appropriated for academic education services for inmates appropriated as of the last day of a given fiscal year.

Counting rules:

1. Include funds appropriated for inmate academic education services including educational assessment, adult basic education, general education development (GED) preparation and testing, English as a second language courses, and any advanced education degree programs/courses.
2. Exclude operational costs budgeted for vocational training, mental health services, religious services, and institutional work assignments.
3. Exclude operational costs budgeted for program services counted for by key indicator IX.2.6 "adult correctional agency operational funds appropriated for inmate programs."
4. Exclude correctional staffing costs for security staff assigned to academic educational units/services.
5. Exclude costs for academic education provided by other agencies and in-kind services that are not in the DOC budget.
6. Exclude capital funds appropriated for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
7. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.2.7 (denominator). Number of inmates housed by the agency on the last day of given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities, **contract, or local facilities.**
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, **community corrections/residential re-entry centers, home confinement**, etc.).



### 3. Adult Correctional Agency Funding Sources

**Key Indicator IX.3.1 Adult Correctional Agency State Revenue Capital Budget:** State revenue funds appropriated for capital-related expenditures as of the last day of a given fiscal year adjusted for the total funds appropriated for capital-related costs for a given fiscal year.

Data element IX.3.1 (numerator). State revenue funds appropriated for capital-related expenditures as of the last day of a given fiscal year.

Counting rules:

1. Include funds appropriated for the department of corrections or by a central agency on behalf of the correctional agency such as GSA or GDS for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure appropriated from state revenue.
2. Exclude operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, etc.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.
4. Exclude all appropriations for moveable equipment such as computers, radios, vehicles, and the like.

Data element IX.3.1 (denominator). **Adult Correctional Agency Total Capital Budget.** Funds appropriated for capital-related costs for a given fiscal year.

Counting rules:

1. Include all funds appropriated for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
2. Exclude operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, etc.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.
4. Exclude all appropriations for moveable equipment such as computers, radios, vehicles, and the like.

**Key Indicator IX.3.2 Adult Correctional Agency Federal Capital Budget.** Federal funds appropriated for capital-related costs for a given fiscal year adjusted for the total funds appropriated for capital-related costs for a given fiscal year.

Data element IX.3.2 (numerator). Federal funds appropriated for capital-related costs for a given fiscal year.

Counting rules:

1. Include funds appropriated design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure appropriated from the federal government.
2. Exclude operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, etc.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

4. Exclude all appropriations for moveable equipment such as computers, radios, vehicles, and the like.

Data element IX.3.2 (denominator). **Adult Correctional Agency Total Capital Budget.** Funds appropriated for capital-related costs for a given fiscal year.

Counting rules:

1. Include all funds appropriated for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
2. Exclude operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, etc.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.
4. Exclude all appropriations for moveable equipment such as computers, radios, vehicles, and the like.

**Key Indicator IX.3.3 Adult Correctional Agency State Revenue Operational Appropriation.** State revenue funds appropriated for operational costs for a given fiscal year adjusted for total funds appropriated for operational costs for a given fiscal year.

Data element IX.3.3 (numerator). State revenue funds appropriated for operational costs for a given fiscal year.

Counting rules:

1. Include operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, and the like appropriated from state revenue funds.
2. Exclude all capital funds appropriated for a given fiscal year for the state correctional agency.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.3.3 (denominator). **Adult Correctional Agency Total Operational Budget.** Total funds appropriated for operational costs for a given fiscal year.

Counting rules:

1. Include all adult correctional agency operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, etc. appropriated for a given fiscal year.
2. Exclude all capital funds appropriated for a given fiscal year.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

**Key Indicator IX.3.4 Adult Correctional Agency Federal Operational Budget.** Federal funds appropriated for operational costs for a given fiscal year adjusted for the total funds appropriated for operational costs for a given fiscal year.

Data element IX.3.4 (numerator). Federal funds appropriated for operational costs for a given fiscal year.

Counting rules:

1. Include operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, and the like appropriated from federal funds.
2. Exclude all capital funds appropriated for a given fiscal year the state correctional agency.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.3.4 (denominator). **Adult Correctional Agency Total Operational Budget.** Total funds appropriated for operational costs for a given fiscal year.

Counting rules:

1. Include all adult correctional agency operational funds appropriated for staff, food, clothing, supplies, services, programs, utilities, maintenance, moveable equipment, and the like appropriated for a given fiscal year.
2. Exclude all capital funds appropriated for a given fiscal year.
3. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

#### **4. Adult Correctional Agency Contractual Service Expenditures**

**Key Indicator IX.4.1 Adult Correctional Agency Expenditures for Contractual Mental Health Services.** Operational funds expended for mental health services from private or non-DOC public mental health services as of the last day of a given fiscal year adjusted for number of inmates housed by the agency as of the last day of a given fiscal year.

Data element IX.4.1 (numerator). Operational funds expended for mental health services from private or non-DOC public mental health services as of the last day of a given fiscal year.

Counting rules:

1. Include expenditures for mental health services for inmates including mental health staff, medications, mental health supplies, and mental health units/hospitals by private or public non-DOC mental health providers.
2. Exclude expenditures for mental health services for including mental health staff, medications, mental health supplies, specialty consults, emergency health conditions, hospitalizations, and health care encounters by health care professionals and practitioners by DOC mental health professionals and practitioners.
3. Exclude funds appropriated for security staff for any mental health units or hospitals.
4. Exclude capital funds appropriated for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
5. Exclude all capital and operational funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.4.1 (denominator). Number of inmates housed by the agency on the last day of a given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities, **contract, or local facilities**.
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, **community corrections/residential re-entry centers, home confinement**, etc.).

**Key Indicator IX.4.2 Adult Correctional Agency Expenditures for Contractual Medical Services.** Operational funds expended for medical services from private or non-DOC public medical services as of the last day of a given fiscal year adjusted for the number of inmates housed by the agency on the last day of a given fiscal year.

Data element IX.4.2 (numerator). Operational funds expended for medical services from private or non-DOC public medical services as of the last day of a given fiscal year.

Counting rules:

1. Include expenditures for medical services for including medical staff, medications, medical supplies, specialty consults, emergency health conditions, hospitalizations, and health care encounters by health care professionals and practitioners by private or public non-DOC medical providers.
2. Exclude expenditures for medical services for including medical staff, medications, medical supplies, specialty consults, emergency health conditions, hospitalizations, and health care encounters by health care professionals and practitioners by DOC medical professionals and practitioners.
3. Exclude funds appropriated for security staff for any medical units or hospitals.
4. Exclude capital funds appropriated for design/engineering services, new construction, renovations and additions to existing structures, as well as for furnishing/fixtures and equipment that are to be part of the structure.
5. Exclude all funds appropriated for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.4.2 (denominator). Number of inmates housed by the agency on the last day of given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the agency with the exceptions of:
  - Inmates housed in other states' correctional facilities, **contract, or local facilities**.
  - Inmates in the custody of the DOC who were released to the community (furlough, electronic monitoring, **community corrections/residential re-entry centers, home confinement**, etc.).

**Key Indicator IX.4.3 Adult Correctional Agency Expenditures for Contractual Beds:** Total funds expended for institutional beds for inmates from private, federal, another state, county, and/or regional facilities as of the last day of a given fiscal year adjusted for number of bed-days for inmates outsourced during a given fiscal year.

Data element IX.4.3 (numerator). Total funds expended for institutional beds from private, federal, another state, county, and/or regional facilities as of the last day of a given fiscal year.

Counting rules:

1. Include expenditures for institutional beds occupied by an inmate serving the prison portion of his/her sentence from private, federal, another state, county, and/or regional facilities.
2. Exclude expenditures for community-based beds from private, federal, state, county, and/or regional facilities, e.g., half-way house, pre-release centers, re-entry, etc.
3. Exclude all expenditures for beds for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

Data element IX.4.3 (denominator). Number of bed-days inmates were housed in a private, federal, another state, county, and/or regional facility during a given fiscal year.

Counting rules:

1. Compute bed-days as the sum of the number of days that each inmate that was housed in a private, federal, state, county, and/or regional facility, for example, 5 inmates were housed in a private facility for 30 days = 150 bed days.
2. Exclude inmates housed in a private, federal, another state, county, and/or regional facility under an inter-agency compact agreement.
3. Exclude all expenditures for beds for the juvenile, probation, parole, and community-based corrections divisions/departments of your agency.

## X. PERSONNEL STANDARD

### 1. Correctional Staffing

**Key Indicator X.1.1 Adult Correctional Male Correctional Security Staff:** Total number of male correctional security employees in FTE positions as of the last day of a given fiscal year adjusted for the number of filled FTE correctional security positions assigned to the agency on the last day of a given fiscal year.

Data element X.1.1 (numerator). Total number of male correctional security staff in FTE positions assigned to the agency as of the end of a given fiscal year.

Counting rules:

1. Correctional security staff is defined as an individual who is employed by the DOC on a full-time or contractual basis assigned as a major, captain, lieutenant, sergeant, cadet, correctional officer, or equivalent.
2. Exclude Correctional Case Management Staff, i.e., non-uniformed staff, such as a counselor, unit manager, case manager, or social worker responsible for a specific inmate case load for the purposes of program planning, assessing, classifying, re-entry/transition planning, advocating, communicating, and/or counseling.
3. Exclude civilians, i.e., individuals who are not paid directly by the DOC; they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility.
4. Exclude inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

Data element X.1.1 (denominator). Number of filled FTE agency correctional security positions on the last day of a given fiscal year.

Counting rules:

1. Correctional security staff is defined as an individual who is employed by the DOC assigned as a major, captain, lieutenant, sergeant, cadet, correctional officer, or equivalent.
2. Exclude case management staff, i.e., non-uniformed staff, such as a counselor, unit manager, case manager, or social worker responsible for specific inmate case load for the purposes of program planning, assessing, classifying, re-entry/transition planning, advocating, communicating, and/or counseling.
3. Exclude civilians, i.e., individuals who are not paid directly by the DOC; they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility.
4. Exclude inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

**Key Indicator X.1.2 Adult Correctional Agency Female Correctional Security Staff:** Total number of female correctional security employees in FTE positions as of the last day of a given fiscal year adjusted for the number of filled FTE correctional security positions assigned to the agency on the last day of a given fiscal year.

Data element X.1.2 (numerator). Total number of female correctional security staff in FTE positions assigned to the agency as of the last day of a given fiscal year.

Counting rules:

1. Correctional security staff is defined as an individual who is employed by the DOC and assigned as a major, captain, lieutenant, sergeant, cadet, correctional officer, or equivalent.
2. Exclude case management staff, i.e., non-uniformed staff, such as a counselor, unit manager, case manager, or social worker responsible for specific inmate case load for the purposes of program planning, assessing, classifying, re-entry/transition planning, advocating, communicating, and/or counseling.
3. Exclude civilians, i.e., individuals who are not paid directly by the DOC; they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility.
4. Exclude inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

Data element X.1.2 (denominator). Number of filled FTE correctional security positions assigned to the agency on the last day of a given fiscal year.

Counting rules:

1. Correctional security staff is defined as an individual who is employed by the DOC assigned as a major, captain, lieutenant, sergeant, cadet, correctional officer, or equivalent.
2. Exclude case management staff, i.e., non-uniformed staff, such as a counselor, unit manager, case manager, or social worker responsible for specific inmate case load for the purposes of program planning, assessing, classifying, re-entry/transition planning, advocating, communicating, and/or counseling.
3. Exclude civilians, i.e., individuals who are not paid directly by the DOC; they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility.
4. Exclude inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

**Key Indicator X.1.3 Adult Correctional Agency Central and Regional Office Personnel:** Total number of adult agency active employees within FTE positions assigned to the agency's central or regional office(s) as of the last day of a given fiscal year adjusted for the number of filled FTE positions within the DOC on the last day of a given fiscal year.

Data element X.1.3 (numerator). Total number of adult agency central and regional office staff members within FTE positions of the agency as of the last day of a given fiscal year.

Counting rules:

1. A staff member is defined as an individual who is employed by the DOC on a full-time or contractual basis.
2. Exclude civilians, i.e., individuals who are not paid directly by the DOC; they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility.
3. Exclude all FTEs for juvenile, probation, parole, and community-based corrections divisions/departments of the agency.



4. Exclude inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

Data element X.1.3 (denominator). Number of filled FTE positions within the DOC on the last day of a given fiscal year.

Counting rules:

1. A DOC staff member is defined as an individual who is employed by the DOC on a full-time or contractual basis.
2. Exclude civilians, i.e., individuals who are not paid directly by the DOC; they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility.
3. Exclude inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.

**Key Indicator X.1.4 Correctional Security Staff Ratio to Inmates:** Total number of security staff assigned to the facility on the last day of a given fiscal year adjusted for the number of inmates housed in a given facility on the last day of that fiscal year.

Data element X.1.4 (numerator). Total number of security staff members within filled FTE positions assigned to the facility as of the last day of a given fiscal year.

Counting rules:

1. Security staff includes uniformed staff, such as majors, captains, lieutenants, sergeants, cadet, correctional officer, or equivalent assigned to the facility.
2. Do not include inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.
3. Exclude civilians, i.e., individuals who are not paid directly by the DOC; they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility.

Data element X.1.4 (denominator). Number of inmates housed in a given facility on the last day of a given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or housed by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.)

**Key Indicator X.1.5 Correctional Case Management Staff Ratio to Inmates:** Total number of case management staff assigned to the facility on the last day of a given fiscal year adjusted for the number of inmates housed in a given facility on the last day of that fiscal year.

Data element X.1.5 (numerator). Total number of case management staff within filled FTE positions of the facility as of the end of a given fiscal year.

Counting rules:

1. Case management staff includes non-uniformed staff, such as a counselor, unit manager, case manager, or social worker responsible for specific inmate case load for the purposes of program planning, assessing, classifying, re-entry/transition planning, advocating, communicating, and/or counseling.
2. Do not include inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.
3. Exclude civilians, i.e., individuals who are not paid directly by the DOC; they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility.

Data element X.1.5 (denominator). Number of inmates housed in a given facility on the last day of a given fiscal year.

Counting rules:

1. This tally should include all inmates in the custody of the facility with the exceptions of:
  - Inmates housed in other states' correctional facilities or housed by facilities not operated by the DOC, and
  - Inmates in the custody of the DOC who were released to the community (parole, furlough, electronic monitoring, etc.).

**Key Indicator X.1.6 Security Staff Turnover Rate:** Total number of security staff that left the facility for any reason during the fiscal year adjusted for the number of security staff assigned to the facility as of the last day of that fiscal year.

Data element X.1.6 (numerator). Total number of security staff that left the facility for any reason during a given fiscal year.

Counting rules:

1. Security staff includes uniformed staff, such as majors, captains, lieutenants, sergeants, cadet, correctional officer, or equivalent assigned to the facility.
2. Do not include inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.
3. Exclude civilians, i.e., individuals who are not paid directly by the DOC; they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility.
4. Include staff who left the facility due to retired, resigned, fired, demoted, staff initiated transfer to a different facility, death, medical disability, injury, etc.
5. Exclude transfers to a different the facility due to the staff member's promotion, agency initiated transfer to another position within the agency, or expiration of contract.

Data element X.1.6 (denominator). Total number of security staff members within authorized FTE positions assigned to the facility as of the last day of a given fiscal year.

Counting rules:

1. Security staff includes uniformed staff, such as majors, captains, lieutenants, sergeants, cadets and correctional officers assigned to the facility.
2. Do not include inactive staff, i.e., any staff member who is projected to be out of work for 12 or more weeks on paid or unpaid leave.
3. Exclude civilians, i.e., individuals who are not paid directly by the DOC, they may include visitors, volunteers, interns, truck drivers, service personnel repairing equipment in the facility, construction workers employed by contractors who have projects within the facility.