

	State of Alaska Department of Corrections Policies and Procedures	Index #: 702.01	Page 1 of 2	
		Effective: 5/21/2012	Reviewed:	
		Distribution: Public	Due for Rev:	5/2016
Chapter:	Classification			
Subject:	Monitoring & Audits of Classification Procedures			

- I. Authority
In accordance with 22 AAC 05.155, the Department will maintain a manual comprised of policies and procedures established by the Commissioner to interpret and implement relevant sections of the Alaska Statutes and 22 AAC.

 - II. References
Alaska Statutes
AS 44.28.030

 - III. Purpose
To establish procedures for the periodic monitoring and audit of the prisoner classification process.

 - IV. Application
To all employees.

 - V. Definitions
As used in this document, the following definitions shall apply:
 - A. Audit
A regularly scheduled visit to an institution for the purpose of monitoring and reporting on the prisoner classification process, procedures and documentation.
 - B. Monitoring
The process of assessing the operational procedures of the prisoner classification system.

 - VI. Policy
This Department will conduct in prisoner classification research and program evaluations. The Alaska prisoner classification system will be periodically assessed as to its effectiveness and efficiency in carrying out established goals and objectives.

 - VII. Procedures
 - A. Central Office Role
The Director of Institutions oversees and supervises prisoner classification and the operations of Central Classification. The functional supervision of prisoner classification is the responsibility of Central Classification and the Chief Classification Officer. The Director and the Chief Classification Officer shall audit the classification procedures at least once every twelve months in conjunction with the semi-annual inspection of each institution in accordance with 803.04, Institutional Inspections. The Chief Classification Officer shall monitor classification procedures through day-to-day assessment of prisoner classification.
 - B. Auditing Procedures
 1. Each classification audit will begin with a review of the last Audit Report as set out in C. below to ensure that the Superintendent has addressed any deficiencies identified in the last audit; and
 2. The prisoner classification system audit will include assessment of the following classification procedures:
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- a. Initial classification and reclassification process;
- b. Classification hearing agenda and procedures;
- c. Data collected and methods of documentation;
- d. Prisoner participation in classification;
- e. Program assignments resulting from classification;
- f. Matrix and override utilization for prisoner custody levels by probation staff;
- g. Appeal process for prisoners;
- h. Staff levels of expertise in the classification process and procedures required; and
- i. Use of Management over-rides.
- j. The assessment process including the Offender Management Plan and the Individual Re-entry Plan.

C. Audit Report

Upon completion of the scheduled Inspection audit of the classification procedures per A. and B. above, the auditor or audit team shall meet with the Superintendent and Probation Officer III and provide a verbal report of findings. A written report on the results of the classification audit must be completed and sent to the Superintendent within 30 days after the audit. This report will be signed by the Director or Chief Classification Officer and will include recommendations and suggestions for adjusting and improving the classification process, as indicated by the audit. Recommendations must be followed by the Superintendent, and suggestions may be followed at his or her discretion. The written report on the classification audit may be in the form of a Director's Inspection-Corrective Action Request (form 20-803.04A).

D. Superintendent's Follow-up Report:

When a classification audit report indicates the need for corrective action, the Superintendent shall submit a written report of corrective action to the Director, with a copy to the Chief Classification Officer, regarding actions taken as a result of the audit. This corrective action report must be prepared and forwarded within 30 days after receipt of the written Audit Report from the auditor per C. above.

VIII. Implementation

This policy and procedure is effective 14 days following the date signed by the Commissioner. Each Manager shall incorporate the directions outlined in this document into local policy and procedure. All local policies and procedures must conform to these directions; any deviation must be approved in writing by the Division Director.



5/21/2012

Date

Joseph D. Schmidt, Commissioner
Department of Corrections