

## 1.4.B.1 Individual Program Directives (IPD)

### I Policy Index:



**Date Signed:** 11/27/2017  
**Distribution:** Public  
**Replaces Policy:** 5. A.10  
**Supersedes Policy Dated:** 10/14/2016  
**Affected Units:** Adult Units  
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**Office of Primary Responsibility:** Classification and Transfer & DOC Administration

### II Policy:

The Individual Program Directive (IPD) establishes standards and criteria for an inmate's release to initial parole. Each inmate serving a new system sentence who has not reached his/her initial parole date will have an IPD developed that is consistent with his/her time to serve and individual classification and program needs.

### III Definitions:

#### Case Plan:

An instrument which identifies assessed needs and individual program directives for an inmate to address while under supervision of the DOC.

#### Individual Program Directive (IPD):

Individual Program Directive assigned to an inmate as a component of his/her case plan.

#### Initial Directive:

A case plan created in the Comprehensive Offender Management System (COMS) when an inmate enters the DOC serving a new system sentence or begins serving a new system sentence. The case plan includes individual program directives that indicate the standards that will be used as a basis for parole release at the time of the inmate's initial parole date. This shall be established within thirty (30) days of admission to the DOC.

#### Mixed Sentence:

Inmate sentences to the South Dakota prison system that are a result of a parole violation or a suspended sentence violation with an additional conviction and sentences to prison where at least one of the prison sentences is a new system offense. Inmates with mixed sentences may have multiple parole dates.

#### New System:

Inmate sentences to the South Dakota prison system as a result of a crime committed on or after July 1, 1996.

#### Old System:

Inmate sentences to the South Dakota prison system as a result of a crime committed prior to July 1, 1996.

**Programmed Release Date:**

The initial parole date for inmates compliant with their IPD.

**Revised Directive:**

Modification to a case plan when an inmate has a program change or change in assessed need. The revised directive indicates the standards that will be used as a basis for parole release at the time of the inmate's initial parole date.

**Suspended Execution of Sentence (SES):**

A sentence of probation, which as a condition, prescribes that the defendant be imprisoned for a specific period not exceeding one-hundred and eighty (180) days.

**Suspended Imposition of Sentence (SIS):**

A sentence of probation resulting from a conviction after which the Court withholds the entering of the judgment of guilty. The term of imprisonment may not exceed a period of one-hundred and eighty (180) days.

**Unit Team:**

One or more of the following institutional staff: Unit Manager, Case Manager or Unit Coordinator.

**IV Procedures:**

**1. New Commitments:**

A. New commitment inmates will be placed in an Admission and Orientation (A&O) unit. Male A&O units are located at the Jameson Annex and female A&O units are located at the South Dakota Women's Prison. A&O unit staff will document the following areas of assessment and information (See DOC policy 1.4.A.2 [Inmate Admission](#)):

1. Assessment of the inmate's overall physical and mental health and any related needs or accommodations;
2. Education;
3. Chemical dependency assessment;
4. Sexual behavior assessment;
5. Employment history and any vocational training;
6. Criminal history;
7. LSI-R assessment and psychopath review;
8. Custody classification;
9. Creation of an Individual Program Directive (See [Attachment 1](#));
10. Institutional accounts and existing financial obligations;
11. Orientation information;

12. Internal Classification: AIMS (male inmates only) and PREA Risk Screen;
  13. Release Planning; and
  14. Community Risk Assessment.
- B. Federal prisoners temporarily housed in a SD DOC facility may be scheduled to receive chemical dependency, Sex Offender Management Program (SOMP), LSI-R, community risk and education assessments as deemed appropriate and within available resources.
1. An inmate serving a Suspended Imposition of Sentence (SIS) or Suspended Execution of Sentence (SES) will have risk and needs assessments completed while in A&O.
- C. Within thirty (30) days of admission to the DOC, the unit team will establish an IPD for each inmate received at the facility. Inmates will be notified in writing of all required directives contained within their IPD and any modifications/revisions made to their IPD (See SDCL § [24-15A-34](#)).

## **2. Reviewing/Modifying an Inmate's IPD:**

- A. When an inmate transfers to another unit, unit staff of the receiving unit will review the inmate's IPD and make any required revisions to the directives.
- B. An inmate's IPD may be revised by a unit team member when there are changes in program or work needs, risk level (classification), housing status or medical or mental health status/needs and/or resource availability. Inmates will be notified in writing of any revision to their IPD (See SDCL § [24-15A-34](#)).
1. Aside from emergency actions, revisions to an inmate's IPD require approval and action by a member of the inmate's unit team.
  2. An inmate's IPD will not be revised when an element/directive is completed, when an inmate refuses a directive or when an inmate is terminated from a program.
- C. The program director/program supervisor has authority to exempt an inmate from participating in a program under their authority. Exemption may be based in part on an inmate's ability to participate in the program or safety and security concerns. Exemption is not the same as termination.
1. The director/supervisor will communicate the exemption to the inmate's unit staff.
  2. Unit staff will revise the inmate's IPD based upon the program exemption.

## **3. New System Sentence:**

- A. An inmate serving a new system sentence, who has not reached his/her initial parole date, will be informed of the standards of compliance and each expectation/directive included in their IPD (See SDCL § [24-15A-34](#)).
- B. These directives will be in writing and communicated to the inmate by his/her unit staff (See [Attachment 5](#)) or the program director/supervisor.

#### 4. Work and Program Evaluation:

- A. Work and program evaluation forms ([Attachments 3](#) and [6](#)) will be completed when:
  - 1. An inmate is terminated from a program or work assignment.
  - 2. When staff complete weekly payroll sheets for an inmate housed at a minimum facility.
- B. When an inmate is terminated from a work or program assignment for disciplinary reasons, staff will enter the disciplinary report into the OIC module in COMS (See DOC policy 1.3.C.2 [Inmate Discipline System](#)).
  - 1. The inmate's disciplinary record may be considered by DOC staff and the Parole Board when determining the inmate's compliance with their IPD at the time of the inmate's initial parole date and by the Parole Board when considering discretionary parole releases (See SDCL § [24-15A-5](#)).

#### 5. Parole Board IPD Compliance Report Format:

- A. An *IPD Progress Review Summary/Compliance Report* (See [Attachment 2](#)) will be submitted to the Board of Pardons and Paroles (Board) office thirty (30) days prior to a new system inmate's initial parole date (See SDCL § [24-15A-35](#)).
- B. The report submitted to the Board shall include, but is not limited to, the following information (See SDCL § [24-15A-17](#)):
  - 1. A record of the inmate's disciplinary history;
  - 2. Report of substantive compliance or non-compliance with their IPD and/or subsequent progress and conduct; and
  - 3. Any conduct by the inmate evincing intent to reoffend.
- C. The report to the Parole Board for inmates serving a new system sentence at the time of their initial parole date is generated through the use of the COMS Case Management Module IPD.
- D. The inmate will be notified in writing of the report of substantive compliance, non-compliance or undetermined compliance (See SDCL § [24-15A-35](#)).

#### 6. Progress Reviews:

- A. An inmate serving a new system sentence or mixed sentence (See DOC policy 1.1.E.2 [Date Computation](#)), who has not reached his/her initial parole date, will have a *IPD Progress Review Summary/Compliance Report* (See [Attachment 2](#)) completed annually when within five (5) years or every six (6) months, when within two (2) years of their initial release date to determine compliance with the directives of his/her IPD.
- B. An old system inmate or a new system inmate whose most recent admission to incarceration was as a parole or suspended sentence violator without a new sentence, or a new system inmate who has been found to be in non-compliance with his/her IPD by the Parole Board, does not require progress reviews.

## **7. New System Compliance:**

- A. An inmate serving a new system sentence who has not reached his/her initial parole date is responsible for compliance with the rules of the institution where they are housed (element #1 of the IPD). Compliance shall begin the date the inmate is received the institution or the date the inmate receives a new system sentence, whichever is later.
- B. An inmate serving a new system sentence, who has not reached his/her initial parole date, is responsible for compliance with elements 2 – 7 from the date the initial IPD was signed following his/her incarceration as a new admission or the date he/she signed the IPD following his/her receipt of a South Dakota sentence under the new system.
- C. Each new system inmate shall be released from incarceration to parole supervision without a hearing before the Board of Pardons and Parole (Board) at the time of the inmate's initial parole date, if the inmate has substantially met the requirements of his/her IPD, agreed to the conditions of parole supervision and has an approved parole release plan (See SDCL § [24-15A-38](#))

## **8. Old System, PVs w/o New Number and Non-Compliant New System Inmates:**

- A. Old System inmates, inmates whose most recent admission to incarceration was as a parole violator without a new sentence and new system inmates who are found non-compliant with their IPD by the Board of Pardons and Parole will have their progress reported to the Board as part of an automated data system.
- B. In the case of a discretionary hearing, following a revocation or upon a finding of noncompliance, a report will be generated to include the nature and seriousness of the violation or basis for noncompliance, and the results of a risk and needs assessment, as available.

## **9. New System Right to Waive:**

- A. New system inmates may choose to waive release to parole supervision; however, the Board may parole an inmate to the custody of another state or federal jurisdiction for the purpose of confinement or deportation, if in the best interest of the citizens of South Dakota (See SDCL § [24-15A-41.1](#)).
- B. Inmates may not waive a non-compliance hearing before the Board.
- C. If an inmate who is compliant at the time of his/her initial parole date chooses to waive his/her release to parole supervision subsequently decides he/she wishes to be considered for release to parole, an updated *IPD Progress Review Summary/Compliance Report* will be completed by unit staff.
  - 1. If the inmate is determined to be compliant with their IPD, they may be released without a hearing before the Board.
  - 2. If the inmate is determined to be non-compliant with their IPD, a hearing must be scheduled before the Board.
- D. If an inmate is determined to be non-compliant at the time of his/her initial parole date, he/she will be reviewed by the Board.
  - 1. If the Board determines the inmate is compliant, the inmate may waive his/her release to parole supervision, subject to SDCL § [24-15A-41.1](#).

2. If the Board determines the inmate is non-compliant, the Board may parole the inmate or set a subsequent discretionary parole date.
3. At least thirty (30) days prior to an inmate's subsequent discretionary parole hearing, an updated report of the inmate's compliance with their IPD, including their conduct and progress, will be submitted to the Board (SDCL § [24-15A-35](#)).

#### **10. Suspended Sentence/Parole Violator with New System Sentence:**

- A. An inmate returning as a SIS or SES violator or suspended sentence or parole violator with a new sentence under the new system will have an IPD developed/revised upon return to custody.

#### **11. Mixed System:**

- A. An inmate returning as a suspended sentence or parole violator with an additional sentence with a parole date under the new system is a "Mixed System" inmate (See DOC policy 1.1.E.2 [Date Computation](#)).
- B. An inmate on their new sentence who is compliant at his/her initial parole date must remain compliant on that sentence while waiting for release consideration on their discretionary sentence.
  1. If the inmate remains compliant with their new sentence, they may be released without an additional hearing on the new sentence upon discharge or parole from the sentence with a discretionary release decision.
  2. If the inmate is determined to be non-compliant with his new sentence, an *IPD Progress Review Summary/Compliance Report* will be generated for submission to the Board.
    - a. A non-compliance hearing will be scheduled before the Board.
    - b. If the Board does not grant release of the inmate, the Board will set a subsequent discretionary parole date.

#### **12. Scheduling and Programming:**

- A. The DOC Classification and Transfer Manager (CTM) will assist the unit team in determining program resources to assist the inmate in remaining compliant with the directives of their IPD.
- B. The CTM will also maintain criteria for inmate placement in the programs. Availability of resources, space and security concerns will all be considered when determining program eligibility.

#### **13. Non-Compliance and Release:**

- A. Any inmate who the Warden reports has not substantially complied with his/her IPD will have a hearing scheduled with the Board to determine the inmate's compliance with their IPD (See SDCL § [24-15A-39](#)).
  1. The Parole Board may determine the inmate substantively complied with his/her IPD and grant release of the inmate upon reaching their initial parole date or as soon as reasonably possible following their hearing (See DOC policy 1.4.G.2 [Inmate Release Procedure](#)).

2. The Board may determine the inmate has not substantively met the requirements of their IPD and deny release of the inmate or release the inmate to parole or set the time and date for the inmate's subsequent discretionary parole hearing.
  3. An inmate who is found to be non-compliant with his/her IPD may be released to community supervision during the same month he/she was found to be non-compliant by the Parole Board.
  4. The inmate may also admit to non-compliance with his/her IPD and waive the personal appearance with the Parole Board.
- B. Any inmate not paroled at the time of his/her initial parole date shall have the opportunity for a discretionary parole hearing no sooner than one (1) month and no later than twenty-four months for new system inmates and no later than eight months from their initial parole eligibility date (See SDCL §§ [24-15-10](#) (old system) and [24-15A-29](#) and Parole OM 8.1.A.5 *Parole Decision-Setting of Next Review Date*).

## V Related Directives:

SDCL §§ [24-15-5](#), [24-15-10](#), [24-15A-17](#), [24-15A-29](#), [24-15A-34](#), [24-15A-35](#), [24-15A-38](#), [24-15A-39](#) and [24-15A-41.1](#).

DOC policy 1.3.C.2 -- *Inmate Discipline System*

DOC policy 1.1.E.2 -- *Date Computation*

DOC policy 1.4.A.2 -- *Inmate Admission*

DOC policy 1.4.G.2 -- *Inmate Release Procedure*

DOC policy 1.4.G.5 -- *System Risk Classification*

Parole OM 8.1.A.5 -- *Parole Decision-Setting of Next Review Date*

*Inmate Living Guide*

## VI Revision Log:

**January 2002:** The prior IPD manual and policy have been **combined** into this document and attachments. **Added** the definition of programmed release date. **Added** Life Skills assessment in A & O and reference to re-entry workshop in IPD and Schedules. **Added** procedures on mix system paroles. Removed release planning sheet and references. **Added** that SIS and SES get assessed and scheduled for programs. **Removed** parole report checklist and references. **Added** Tots parenting and intensive CD programming. **Revised** progress and compliance report review process to reflect use of IPD compliance database. **Added** required AW or DW signature on use of recommendations that change compliance levels.

**October 2002:** **Renumbered** policy from 1.4.B.2 to 1.4.B.1. **Added** Custer Trusty Unit to Facility Listing. **Revised** Assessed ratings on the IPD.

**January 2004:** **Moved** information from the section on Assessments to New Admissions section. **Moved** information in Transfers to Another Unit to a different section. **Moved** information on Disciplinary Discharge from Work and Program Deleted the section headings on Assessments and Transfers to Another Unit. **Changed** definition of "Needs STOP Treatment". **Referenced** policy 1.4.B.9. **Changed** section title from "New System DOC Rules Compliance" to "New System Compliance". **Deleted** section title "New System Compliance (Other Elements)" and put information under "New System Compliance". **Changed** "Parole Board" to "Board of Pardons and Paroles" in the body of the policy. **Added** items 12 and 13 to new commitment program. **Revised** element 9 of attachment 1. **Added** the Rapid City Unit to the facility table in attachment 2. **Changed** the STOP 1-3 SHORT code to STOP TRANSITION in the program assignment table of attachment 2. **Added** Start Date DOC Rules Element and revised Disciplinary information in attachment 3. **Revised** "non-compliance" definition throughout attachment 3 and some definitions of "full compliance". Several other definitions in attachment 3 were also modified. **Added** reference to policy 1.4.G.1.

**December 2004:** Deleted Life Skills and added Corrective Thinking Assessment and Community Risk Assessment in the section on New Commitments. Revised requirements under the section on Work and Program Evaluation. Changed reference to IPD elements 2-8 under the section on New System Compliance. Revised the related directives. Updated attachments to delete references on Parenting and Re-entry Workshop.

**October 2005:** Added reference to DOC policy 1.5.G.4. Revised attachment 2 and related instructions. Added Unit C as a CD option for inmates serving a 60 day sentence who are eligible for minimum custody. Revised the definition of Unit Team and Informational Directive.

**October 2006:** Changed STOP assessment to Sex Offender assessment. Added a section on Non-Compliance and Release. Added reference to the Native American Chemical Dependency and Intensive Meth Treatment programs. Added that a copy of the standards of compliance will be included with the paperwork given to the parole board staff if the inmate is not in substantive compliance. Added the LSI-R assessment or screening for new commitments. Added reference to SDCL § 24-15A-39 and DOC policy 1.4.G.2. Deleted reference to indeterminate sentences. Noted that a maximum of 60 elective credits is required per inmate.

**August 2008:** Revised formatting of policy and attachments in accordance with DOC policy 1.1.A.2. Deleted sentence regarding inmates past their parole date due to non-compliance and referenced new system inmates who have not reached their initial parole date, and revised wording throughout Policy statement. Deleted definition of "Informational Directive" and deleted STOP from the definition of Needs STOP Treatment within Definitions section. Added "the following areas of assessment and information collection" within ss (A), added "medical" to ss (A1), deleted "assessment" from ss (A2 and A3), revised ss (A4) to read "Sexual Behavior", deleted "Corrective Thinking assessment" from former ss (A5), revised wording of former ss (A6 now A5) to read Employment/Voc. Ed, revised wording of former ss (A7 now A6) to read Criminal History, deleted statement about screening and resources in former ss (A8 now A7), revised wording in former ss (A9 now A8) to read "Custody Classification", deleted statement regarding an initial classification hearing consistent with risk and placement level and replaced with "Financial Obligations" in ss (A11 now A10), revised former ss (A12 now A11) to read "Orientation Presentations", revised wording in former ss (A13 now A12) to read "Internal Classification: AIMS (Male) PREA (Male), revised former ss (A14 now A13) to read "Release Planning", deleted reference of Inmate Schedule and Attachment 2 in ss (A9) and DOC policy 1.5.G.4 from former ss (A15 now A14) of New Commitments. Deleted "corrective thinking" and added "LSI-R" in ss (B of New Commitments). Deleted schedule from ss (A, B and B1) and deleted available program slots in ss (B) of Reviewing/Modifying the IPD. Replaced "8" with "9" in reference of elements 2-9 in ss (B of New System Compliance). Deleted former ss (B of Suspended Sentence/Parole Violator with New System Sentence) regarding inmates who return for technical violations will have an informational IPD assessment completed. Revised ss (A of Scheduling and Programming) to include resource needs. Revised titles of Attachments 1, 3, 4, 5, 6 and 7 to be consistent with policy, attachments and WAN. Added language regarding Element # 9 in Attachments 1, 2, 3, 4 and 5. Revised Attachment 1 by removing sections on Informational Directive, new system initial only and Assessed needs not included. Replaced "treatment" with "programming and "STOP" with "Sex Offender Management" in Element #5 of Attachment 1 Instructions. Added "core programs" and referenced "final" to release plan and revised paragraph to state that the inmate was unable to complete the program while incarcerated vs. language regarding the recommendations from the classification board, deleted statement referencing an element should not be included in the IPD if the inmate cannot access the services, revised statement to read that programs not completed due to a disciplinary transfer should be noted in the final release plan vs. on this form in ss (Assessed Needs Not Included) and revised title of Attachment 1. Deleted former Attachment 2 IPD Inmate Schedule and renumbered following attachments and reference of attachments in policy. Revised paragraph within ss (Assigned Elements of the IPD are rated as Non-compliance, Minimal Compliance or Full Compliance) in Attachment 2 to reference MAPS and deleted reference of date of offense and statement about inmate relinquishing their program slot within same paragraph. Replaced updated picture of IPD screen within Attachment 2. Added statement about Element #9 in ss (H of Attachment 2). Deleted former ss (C of Assessed needs not completed and recommended for inclusion in release plan) in Attachment 2. Deleted former ss (Assessed Needs Not Included, Recommended for Inclusion in Release Plan) in



Attachment 2. **Added** "Core Programs" to the list of programs offered and the three compliance levels in Attachments 3 and 5 and **added** "Ed" to Vocational in the available programs in Attachment 3. **Added** Core Programs, Voc. Ed and Medical/Mental Health to Attachment 4. **Added** DOC policy when referencing policies in section V. **Revised** minor wording throughout policy.

**August 2009:** **Added** SOMP to definition of Needs STOP Tx. **Added** Female to ss (A12 of New Commitments). **Deleted** reference to inmate's schedule within former ss (B3 of Reviewing/Modifying the IPD). **Replaced** Warden with Parole Board in ss (A2 of Non-Compliance and Release). **Replaced** STOP with SOMP when appropriate throughout policy. **Revised** title of DOC policy 1.4.B.2 and **added** reference to DOC policy 1.4.B.14 in section V. **Replaced** voc. ed with employment or work assignments within elements 2 and 3 in Attachments 1 and 2. **Added** element #10 within Attachment 1 and 2 referenced Element #10 throughout policy and **updated** screen shot within ss (G of Attachment 2). **Deleted** statements regarding refusing voc. ed while incarcerated within past year and **deleted** step 3 and reference to aftercare within (Minimal Compliance in Attachment 2).

**June 2010:** **Revised** formatting of Section 1. **Deleted** program electives in ss (C of Reviewing/Modifying the IPD). **Replaced** "at the time of" with "30 days prior to" as it relates to new system initial parole date in ss (A of Parole Board Report Format). **Deleted** content in (Element 8) and **added** "Do Not Use" to Attachments 1 and 2. **Replaced** "Finding and Keeping" with "Search Assessment Program" within (Element #9 of Instructions for Attachment 1). **Deleted** all content from ss (B and G) regarding number of electives and first responsible for earning electives and **added** Do Not Use and **deleted** content of ss (H of Element 8) all within (Attachment 2), **Deleted** reference to electives in (Attachments 3 and 5). **Deleted** IPD Group Electives Reporting Form within (Attachment 7).

**October 2011:** **Added** "this shall be established within thirty (30) days of admission to the DOC." to the definition of "Initial Directive". **Added** (classification) "status" and "Inmates will be notified in writing of any modifications to their IPD". to Section 2 B. **Added** 1. "The inmate's disciplinary record shall be used by DOC staff and the Parole Board when determining the inmate's compliance with their IPD at the time of the inmate's initial parole date and by the Parole Board when considering discretionary parole releases." to Section 4 B. **Added** B. "The compliance report submitted to the Parole Board shall include, but is not limited to the following information" to Section 5. **Added** 1-4 to Section 5. B. **Added** C. "The inmate shall be notified in writing of the report of substantive compliance or non-compliance". to Section 5. **Added** 3. "At least thirty (30) days prior to an inmate's subsequent discretionary parole hearing, an updated report of the inmate's conduct and progress shall be submitted to the Board". to Section 9 C. **Added** 2. "The Parole Board may determine the inmate has not substantively met the requirements of the IPD, deny release at the inmate's initial parole date and set the time and date for the inmate's subsequent discretionary parole hearing" to Section 13. **Added** "The Parole Board may determine an inmate has violated the conditions of his/her IPD and find the inmate noncompliant" to Section 13. **Deleted** Element #4 "Medical or mental health will be assigned only when the Chief Medical Officer or Mental Health Director specified that a medical or mental health problem of significant importance exists. A program, treatment or status will be offered to the inmate if this element is included in the IPD". from Instructions page. **Renumbered** Section 13. **Added** "to include Thinking For Change (T4C), Job Search Assessment Program (JSAP), and/or Credit When Credit is Due (CWCD). to element #9 on Instructions page. **Added** "also" **Deleted** "and programs may be assigned" **Deleted** "Corrective Thinking, Job Search Assessment Program, and Financial Responsibility" from Element #9. **Deleted** "These reviews may be done in conjunction with regularly scheduled classification reviews or independent from classification reviews. If done independent of a classification review, forms need not be completed at the time of the progress review" from Attachment 2 Progress Review Summary. **Added** "assigned to" and "to circumvent the IPD process by refusing to provide the information necessary to develop an IPD" from Attachment 2 following "Assigned Element of the IPD..." **Deleted** D. Element #4. "Compliance with Medical/Mental Health Treatment/Directives:" Non-Compliance: "The inmate refused to participate or cooperate with assigned programming and/or directives." Minimal Compliance: "The inmate participated or cooperated in the assigned program or with directives to a minimal extent, less than their ability." Full Compliance: "The inmate completed the assigned program and/or followed directives to the best of their ability." **Renumbered** elements from 1-10 to 1-9 and D-J to D-I. **Added** "Thinking for a Change, Job Search Assistance Program, Credit When Credit is Due" to I. Element #9. **Deleted** "Inmate Signature" and

**Replaced** with "Notification of Compliance". **Deleted** "are required to sign the progress report to certify that he/she has been notified" and **Replaced** with "will receive a copy" within Notification of Compliance. **Deleted** "hearing are required to sign the compliance report to certify that he/she has been notified" and **Replaced** with "will receive a copy" and **Deleted** "and the inmate's signature will follow the warden's signature for these compliance reviews. If an inmate refuses to sign the" and **Deleted** "The inmate must receive a copy of the report." all within the Notification of Compliance section.

**November 2012:** **Deleted** "4. In the case of a discretionary parole hearing following a revocation, a report of the nature and seriousness of the parole violation." from Section 5 B. **Deleted** "3. The Parole Board may determine an inmate has violated the conditions of his/her IPD and find the inmate non-compliant" in Section 13. A. **Added** "the opportunity for" in Section 13 B.

**May 2013:** **Added** "assigned to an offender as a component of his/her case plan" to definition of IPD. **Added** "Case Plan" to definitions. **Deleted** "An IPD" and **Replaced** with "A case plan" and **Added** "in COMS" and **Added** "The Case Plan includes individual program directives" in definition of Initial Directive. **Deleted** "A supplemental IPD" and **Replaced** with "Modification to a case plan" in definition of Revised Directive. **Added** "psychopathy review" to Section 1 A. 7. **Added** "Federal" and **Deleted** "serving a life sentence, under capital punishment, serving a county sentence, aliens with INS holds" in Section 1 B. **Deleted** 1. "Assessments are not required for these inmates and they should only be assigned the mandatory IPD elements" in Section 1 B. **Added** C. to Section 1. **Deleted** "IPD" reference in Section 2 and **Replaced** with "case plan" throughout the section. **Deleted** "write" and **Replaced** with "enter" and **Added** "into the OIC module in COMS" in Section 4 B. **Deleted** "record" and **Replaced** with "history" in Section 5 B. 1. **Deleted** "database" and **Replaced** with "COMS Case Management Module" in Section 5 B. **Deleted** "is responsible for maintaining the inmate scheduling system and" in Section 12 A.

**April 2015:** **Added** "revised supplemental compliance report" to Section 11 B. 2. updates to Attachments 1-5. **Deleted** Core Programs and **Replaced** with Cognitive Programs. **Added** "undetermined compliance" to Section 5 D.

**August 2015:** **Added** "of all required directives contained within the inmate's IPD and any modifications made to it thereafter" in Section 1 C. **Deleted** "case plan" and **Replaced** with "IPD" in Section 2. **Added** 1. to Section 4 B. **Added** C. to Section 7. **Added** B. to Section 8. **Added** B. to Section 13. **Added** 2. to page 21.

**August 2016:** **Reviewed** with no changes.

**August 2017:** **Added** "when within five (5) years" in Section 6 A. **Updates** to Instructions for Attachment 1 and 2.

*Denny Kaemingk (original signature on file)*

Denny Kaemingk, Secretary of Corrections

11/27/2017

Date



**Instructions for the IPD form (Attachment 1):****Initial Directive/Revised Directive/Informational Directive:**

Indicate whether the directive is the initial, revised or informational directive.

**Inmate Name:**

Self-explanatory

**Inmate ID:**

Enter inmate identification number.

**Directive Date:**

Date the directive was completed.

**Initial Parole Date:**

Self-explanatory.

**Next Progress Review Date:**

Date the inmate will be reviewed to determine progress toward completing the directives on the IPD form (new system initial date only).

- A. Progress reviews are not required for inmates until they are within five (5) years of their initial parole date.
- A. Inmates who have an initial parole date of two (2) years up to five (5) years will be reviewed at least annually.
- B. Inmates within two (2) years of his/her initial parole date will be reviewed every six (6) months or half the time to parole, whatever date is sooner.
- C. Inmates serving SIS, SES, life or capital punishment, county, federal or out-of-state sentence, a sentence with no parole eligibility date or who are temporally housed in prison, do not require progress reviews.
- D. Old system inmates, new system inmates who have violated parole or new system inmates who are found to be non-compliant by the Board at his/her initial parole date do not require progress reviews.

**Compliance Report Due Date:**

Date the inmate will be reviewed to determine compliance with his/her IPD. Approximately forty-five (45) days prior to an inmate's initial parole date the unit team will draft a report for the Warden assessing the inmate's substantive compliance with the IPD.

**Element #1, #2 and #3:**

All inmates will be assigned the first three (3) elements of the IPD, which pertain to conforming to the rules of the DOC and institution, participation in employment or work assignments and refraining from conduct or behavior which evinces intent to re-offend.

**Element #4:**

The STOP Program element will be added to the IPD for any inmate who is identified as requiring sex offender programming by Sex Offender Management staff.

**Element #5:**

The Chemical Dependency/Gambling Program will be added as an element to the IPD if the inmate is assessed as having a chemical dependency or gambling issue and is identified by behavioral health staff as requiring treatment/programming.

**Element #6:**

Education Programming will be added to the IPD for all inmates that currently do not have a GED or High School diploma and, based on the educational assessment, are capable of enhancing their educational level. Inmates will continue to be assigned to the Literacy, Adult Basic Education, Special Education Program or GED program until they have received a GED or are no longer capable of enhancing their education level.

**Element #7:**

Cognitive Programming element will be added to the IPD for all inmates who are assessed as needing specific programming, to include but not limited to, Thinking For Change (T4C) and/or Moral Recognition Therapy (MRT).

**Assessed Needs Not Completed:**

Any programs or services identified for completion by the inmate that are not completed during the inmate's placement in a DOC facility, including those programs and services an inmate is pending/waiting to complete. Assigned programs and services will be noted on the case plan.

**Inmate Signature:**

Inmates must sign the form to acknowledge that he/she is aware of the elements of the directive he/she has been assigned.

**Date:**

Date the directive was signed.

**Unit Staff Printed Name:**

Self-explanatory.

**Signature:**

Unit staff's signature.


**Date:**

Date the unit staff member signed the form.

## Attachment 2: Individual Program Directive-Progress Review Summary/Compliance Report

Click [here](#) or go to COMS, Case Plan Module.

**This is an IWP in COMS located in the Case Plan module**

<div style="text-align: center;">  <p>DEPARTMENT OF CORRECTIONS</p> </div> <p style="text-align: center;"><b>INDIVIDUAL PROGRAM DIRECTIVE</b></p> <div style="border: 1px solid black; padding: 2px; text-align: center;"> <input type="checkbox"/> PROGRESS REVIEW      <input type="checkbox"/> COMPLIANCE REPORT         </div> <p>Inmate Name _____ DOC # _____ Unit Staff Member _____</p> <p style="text-align: center; color: red;">(FILL)</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Today's Date</td> <td style="width: 25%;">Initial/Next Parole Date</td> <td style="width: 25%;">Next Progress Review Date</td> <td style="width: 25%;">Compliance Report Due Date</td> </tr> </table> <div style="border: 1px solid black; padding: 2px; text-align: center;"> <input type="checkbox"/> New System      <input type="checkbox"/> New System      <input type="checkbox"/> Mixed         </div> <p><b>Check the following boxes as applicable:</b></p> <p style="font-size: small;">Assigned elements of the IPD are rated as non-compliance, minimal compliance, or full compliance as follows: (check one for each applicable element)</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Element #:</th> <th colspan="3" style="text-align: center;">Compliance Level:</th> </tr> </thead> <tbody> <tr> <td>1. <input type="checkbox"/> DOC</td> <td><input type="checkbox"/> No</td> <td><input type="checkbox"/> Minim</td> <td><input type="checkbox"/> Ful</td> </tr> <tr> <td>2. <input type="checkbox"/> Work/ Vocational</td> <td><input type="checkbox"/> No</td> <td><input type="checkbox"/> Minim</td> <td><input type="checkbox"/> Ful</td> </tr> <tr> <td>3. <input type="checkbox"/> Intent to Reoffend</td> <td><input type="checkbox"/> No</td> <td><input type="checkbox"/> Minim</td> <td><input type="checkbox"/> Ful</td> </tr> <tr> <td>4. <input type="checkbox"/> STOP Program</td> <td><input type="checkbox"/> No</td> <td><input type="checkbox"/> Minim</td> <td><input type="checkbox"/> Ful</td> </tr> <tr> <td>5. <input type="checkbox"/> Chemical Depend</td> <td><input type="checkbox"/> No</td> <td><input type="checkbox"/> Minim</td> <td><input type="checkbox"/> Ful</td> </tr> <tr> <td>6. <input type="checkbox"/> Education</td> <td><input type="checkbox"/> No</td> <td><input type="checkbox"/> Minim</td> <td><input type="checkbox"/> Ful</td> </tr> <tr> <td>7. <input type="checkbox"/> Cognitive Programs</td> <td><input type="checkbox"/> No</td> <td><input type="checkbox"/> Minim</td> <td><input type="checkbox"/> Ful</td> </tr> </tbody> </table> <p><b>The ratings on the IPD are assessed as follows:</b></p> <div style="border: 1px solid black; padding: 2px; text-align: center;"> <input type="checkbox"/> Did Substantively Comply      <input type="checkbox"/> Did Not Substantively         </div> <p style="font-size: x-small; margin-top: 10px;">Revised: 04/21/2015 <span style="float: right;">Page 1 of 2</span></p>	Today's Date	Initial/Next Parole Date	Next Progress Review Date	Compliance Report Due Date	Element #:	Compliance Level:			1. <input type="checkbox"/> DOC	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful	2. <input type="checkbox"/> Work/ Vocational	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful	3. <input type="checkbox"/> Intent to Reoffend	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful	4. <input type="checkbox"/> STOP Program	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful	5. <input type="checkbox"/> Chemical Depend	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful	6. <input type="checkbox"/> Education	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful	7. <input type="checkbox"/> Cognitive Programs	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful	<p style="font-size: x-small; margin-top: 20px;"><u>Brief Narrative on the elements of the IPD—only necessary if inmate is not in full compliance with:</u></p> <p>Unit Staff Member Signature: X _____ Date: _____</p> <p>Deputy or Associate Warden Signature: X _____ Date: _____</p> <p>Warden Signature: X _____ Date: _____</p> <p>Inmate Signature: X _____ Date: _____</p> <p style="font-size: x-small;">Inmate signature certifies that they have received a copy of the progress compliance report. If inmate refuses to sign, the staff member serving the notice of progress compliance level will sign and date this document.</p> <p style="font-size: x-small;">COMPLIANCE REPORT DISTRIBUTION:      Parole Board      Institutional File      Inmate</p> <p style="font-size: x-small; margin-top: 10px;">Revised: 04/21/2015 <span style="float: right;">Page 2 of 2</span></p>
Today's Date	Initial/Next Parole Date	Next Progress Review Date	Compliance Report Due Date																																		
Element #:	Compliance Level:																																				
1. <input type="checkbox"/> DOC	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful																																		
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3. <input type="checkbox"/> Intent to Reoffend	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful																																		
4. <input type="checkbox"/> STOP Program	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful																																		
5. <input type="checkbox"/> Chemical Depend	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful																																		
6. <input type="checkbox"/> Education	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful																																		
7. <input type="checkbox"/> Cognitive Programs	<input type="checkbox"/> No	<input type="checkbox"/> Minim	<input type="checkbox"/> Ful																																		

Progress Review Summary/Compliance Report Instructions (Attachment 2):

### **Progress Review Summary:**

A unit case manager will meet periodically with each new system inmate who has not reached his/her initial parole date to assess compliance and progress with their IPD, review the inmate's schedule and advise the inmate concerning program needs. Evaluation reports will be required for those inmates who have been terminated from a program or work assignment (See [Attachments 3 or 6](#)). These reviews will be documented on a Progress Review Summary generated through the COMS IPD IWP located in the documents tab of the case plan module.

### **Compliance Report:**

Approximately forty-five (45) days prior to a new system inmate's initial parole date, the unit case manager will draft a report for the Warden assessing the inmate's compliance with the IPD. Compliance will be assessed based on a review of each individual element of the IPD; a comparison of the various elements on the IPD to the inmate's reported accomplishment and a total assessment of the inmate's adjustment and release readiness. This review will also include consideration of other positive or negative accomplishments documented on the record but not part of the inmate's IPD. The compliance report is generated through the case plan module in COMS.

A. Compliance levels are:

1. **Compliant:** A copy of the inmate's compliance report will be issued to the transition case managers if the inmate is substantively compliant with his/her IPD.
2. **Non-Compliant:** A copy of the inmate's compliance report, a copy of his/her IPD, a copy of the standards of compliance, a copy of all progress review summaries and copies of documentation supporting the non-compliance finding (disciplinary history, evaluation reports from work/program areas, incident reports of intent to re-offend) will be issued to the parole board staff if the inmate is not in substantive compliance with his/her IPD.
3. **Undetermined Compliance:** If there is insufficient information to determine substantive compliance or noncompliance, a report shall be issued with a finding of undermined compliance.

B. A supplement Compliance Report may be issued to the Board of Pardons and Paroles if the inmate's compliance status changes between the date of the report and the parole or parole hearing date; e.g. conviction of an Offense in Custody.

### **Instructions for Progress Review Summary/Compliance Report:**

**Inmate Name and ID#:**

Self-explanatory

**Unit Staff Member:**

Name of staff member who is completing the report.

**A. Progress Review Summary/Compliance Report:**

The appropriate box should be checked that indicates what type of report is being completed. If the report is both a progress and compliance report, both boxes should be checked.

**B. (DO NOT USE)**

**C. Dates:**

**Today's Date:**

Self-explanatory

**Initial Parole Date:**

Date of initial parole.

**Next Progress Review Date:**

Date the inmate is scheduled for the next progress review.

**Compliance Report Due Date:**

Date the compliance report is due. This date will be forty-five (45) days before the initial parole date.

**D. Disciplinary:**

If convicted of the following Offenses in Custody, the inmate will automatically be in non-compliance: H-1, H-2, H-3, H-4, H-5, H-6, H-7, H-8, H-9, H-10 (See [Inmate Living Guide](#)). After the violations have been recorded, the points per month average will appear in the box provided.

**E. (DO NOT USE)****F. Compliance with Element:**

A field will appear by each element that has been assigned on the IPD.

A field will also appear indicating the compliance level of each assigned element based on the information provided on the inmate data screen and information provided by other assigned programming areas. Compliance level is determined as outlined in this document. Compliance with element # 1 (DOC rules) is calculated through the use of the inmate data screen. Compliance with the remaining elements must be verified through a review of the inmate's record. The field indicating compliance level may be manually changed for each element.

**G. Ratings on the IPD:**

A field will appear based on the information recorded in section A to indicate if the inmate substantively complied or not. This field may be manually changed based on a positive or negative recommendation as outlined in this document.

**Assigned Elements of the IPD are rated as Non-compliance, Minimal Compliance or Full Compliance:**

In the event an inmate's IPD includes work or programming elements that the inmate, through no fault of his/her own, is unable to access, the inmate will be considered fully compliant with the element.

Inmates who refuse to complete a required assessment related to any element of their IPD will be non-compliance with that element until the assessment is completed. In these cases, the inmate's signature on the IPD acknowledging receipt of a copy of the directive is not necessary to find the inmate non-compliance with the element. Program staff will complete a program refusal form to document when an assessment is refused. After the assessment is completed, the inmate will remain in minimal compliance with that element for the remainder of his/her sentence if the assessment indicates that no programming is needed. If the assessment indicates that programming is needed, the inmate will remain in non-compliance with that element until the program is completed. The inmate will then be in minimal compliance with that element for the remainder of his/her sentence.

Inmates unable to access required programming elements due to a disciplinary transfer related to a program will be considered non-compliant with the programming directive. All inmates, who forfeit a priority program slot due to disciplinary, may be eligible for future program assignments. The



centralized scheduling office will review the eligibility for these inmates subject to the re-admission guidelines/criteria of the respective programs. An inmate “forfeits a priority program slot” when he/she is unavailable to attend a specific scheduled program slot on a specific date due to actions and behaviors that are under the inmate’s control. Inmates attending a GED class may only relinquish a program slot if the program is operating in a classroom as part of the inmate’s regular program attendance schedule.

**A. Element #1 – Comply with DOC Rules:**

An inmate serving a new system sentence, who has not reached his/her initial parole date is responsible for compliance with the rules of the DOC and the rules of the institutions in which he/she is held from the date he/she was incarcerated as a new admission, the date he/she was returned as parole or suspended sentence violator with a new number or the date he/she received a new system sentence, whichever is later. In situations where multiple disciplinary reports are included for a single incident, only the most serious report will be scored.

**Non-Compliance:**

More than .75 disciplinary points\* per month average or any single conviction of Offenses in Custody H-1, H-2, H-3, H-4, H-5, H-6, H-7, H-8, H-9, H-10 (See [Inmate Living Guide](#)).

**Minimal Compliance:**

.33 to .75 points per month average.

**Full Compliance:**

Less than .33 points per month average.

\*Each Moderate category infraction counts as ten (10) points.

\*Each Low category infraction counts as six (6) points.

**B. Element #2 – Employment/Work as Assigned:**

An inmate’s compliance in work will be determined by evaluation reports received from work supervisors and/or any disciplinary report related to employment/work. An employment/work related disciplinary report is defined as any disciplinary report which occurred at the place of employment or a work site, as a result of an incident at a place of employment or a work site or when the inmate was supposed to be at their place of employment or work site. Disciplinary reports from housing units are not included if the incident is not job related even if the housing unit is located at the place of employment or work site. Disciplinary sanctions of “loss of job” that are not related to a work assignment are not scored in this element, however, all disciplinary reports related to an employment or work assignment are scored even if the inmate returns to the same place of employment or work assignment after completing the disciplinary sanction.

**Non-Compliance:**

1. In the last year of employment or work assignment, a documented report indicating a refusal to work or quitting a job (with or without a disciplinary report), a work related level H, M or L disciplinary report or a majority (more than one) of non-compliance evaluation reports; or two or more terminations (fired) from a work assignment without a disciplinary report.

**Minimal Compliance:**

1. Anytime during incarceration but not within the last year of work, a documented report indicating a refusal to work or quitting a job (with or without a disciplinary report) or a work related level H, M, or L disciplinary report; or two or more terminations (fired) from a work assignment without a disciplinary report.

**Full Compliance:**

1. Received a majority of full compliance evaluation reports during his/her incarceration; or
2. Received an equal number of full and minimal evaluation reports during his/her incarceration or;
3. Received only one (1) evaluation report during his/her incarceration, which indicated that he/she was in minimal compliance with this element.

**C. Element #3 - No conduct or Behavior Evincing an Intent to Re-offend:****Non-Compliance:**

There is at least one (1) documented instance of conduct or behavior showing intent to re-offend, behavior where the inmate clearly indicates intent to re-offend. For example: letters, statements—more direct than non-compliant or disruptive behavior.

**Full Compliance:**

No documented instances of intent to re-offend.

**D. Element #4 - STOP Program:**

An inmate's evaluation in this area will be determined by evaluation reports from STOP staff, a disciplinary report related to STOP Program participation and/or relinquishment of a treatment slot due to a disciplinary transfer. Program refusal will be documented on the Program Refusal Form ([See Attachment 4](#)).

**Non-Compliance:**

Documented report indicating the inmate refused to participate in the program or was terminated from the program and never completed the program, was discharged from the program for any disciplinary report related to program involvement and never completed the program, while participating in the program, relinquished their treatment slot due to a disciplinary transfer and never completed the program or the most recent program evaluation report is non-compliant.

**Minimal Compliance:**

Documented report indicating the inmate refused to participate in the program or was terminated from the program and later completed the program, participated at a minimal level less than his or her ability, completed the program after a prior disciplinary discharge from the program and continues to be involved in aftercare when required, completed program after he/she relinquished a treatment slot due to a disciplinary transfer anytime during his/her incarceration, received a program related minor disciplinary report that did not result in termination from the program, or the most recent program evaluation is minimal compliance.

**Full Compliance:**

The inmate successfully completed the program or participated to the best of his/her ability or the most recent program evaluation is full compliance.

**E. Element #5 – Chemical Dependency/Gambling Program:**

An inmate's evaluation in this area will be determined by evaluation reports from program supervisors, a disciplinary report related to Chemical Dependency/Gambling Program participation and/or relinquishment of a treatment slot due to a disciplinary transfer. Program refusal will be documented on the Program Refusal Form ([See Attachment 4](#)).

**Non-Compliance:**

Documented report indicating the inmate refused to participate in the program or was terminated from the program and never completed the program, was discharged from the program for any disciplinary report related to program involvement and never completed the program, while participating in the program relinquished their treatment slot due to a disciplinary transfer and never completed the program, or the most recent program evaluation report is non-compliant.

**Minimal Compliance:**

Documented report indicating the inmate refused to participate in the program or was terminated from the program and later completed the program, participated at a minimal level less than his or her ability, completed the program after a prior disciplinary discharge from the program, completed the program after he/she relinquished a treatment slot due to a disciplinary transfer anytime during his/her incarceration, received a program related disciplinary report that did not result in termination from the program or the most recent program evaluation is minimal compliance.

**Full Compliance:**

The inmate successfully completed the program or participated to the best of his/her ability or the most recent program evaluation is full compliance.

**F. Element #6 – Educational Programs:**

An inmate's evaluation in this area will be determined by evaluation reports from program supervisors, a disciplinary report related to the Education Program participation and/or relinquishment of an education slot due to a disciplinary transfer. Program refusal will be documented on the Program Refusal Form (See [Attachment 4](#)).

**Non-Compliance:**

Documented report indicating the inmate refused to participate in the program, or was terminated from the program and never completed the program, was discharged from the program for any disciplinary report related to program involvement and never completed the program, while participating in the program relinquished their treatment slot due to a disciplinary transfer and never completed the program, or the most recent program evaluation report is non-compliant.

**Minimal Compliance:**

Documented report indicating the inmate refused to participate in the program or was terminated from the program and later participated at a level equal or above their ability or completed the program, participated at a minimal level less than his or her ability, participated at a level equal or above their ability or completed the program after a prior disciplinary discharge from the program, participated at a level equal or above their ability or completed the program after he/she relinquished a treatment slot due to a disciplinary transfer anytime during his/her incarceration, received a program related disciplinary report that did not result in termination from the program or the most recent program evaluation is minimal compliance.

**Full Compliance:**

The inmate successfully completed the program or participated to the best of his/her ability or the most recent program evaluation is full compliance.

**G. Element #7 – Cognitive Programs Thinking for Change (T4C), Moral Recognition Therapy (MRT)**

**Non-Compliance:**

An inmate's evaluation in this area will be determined by evaluation reports from program supervisors, a disciplinary report related to the program participation and/or relinquishment of a program slot due to a disciplinary transfer. Program refusal will be documented on the Program Refusal Form (See [Attachment 4](#)).

**Minimal Compliance:**

Documented report indicating the inmate refused to participate in the program or was terminated from the program and later participated at a level equal or above their ability or completed the program, participated at a minimal level less than his or her ability, participated at a level equal or above their ability or completed the program after a prior disciplinary discharge from the program, participated at a level equal or above their ability or completed the program after he/she relinquished a treatment slot due to a disciplinary transfer anytime during his/her incarceration, received a program related minor disciplinary report that did not result in termination from the program or the most recent program evaluation is minimal compliance.

**Full Compliance:**

The inmate successfully completed the program or participated to the best of his/her ability or the most recent program evaluation is full compliance.

**Assessed Ratings On The IPD**

- A. If two or more elements are rated "Non-Compliance" the overall rating is "Substantive Non-Compliance."
- B. If one element is rated "Non-Compliance" there must be at least two elements rated "Full Compliance" and a positive recommendation from the Unit Team or the overall rating is "Substantive Non-Compliance".
- C. If no elements are rated "Non-Compliance" and more than two (2) elements are rated "Minimal Compliance", there must be a positive recommendation from the Unit Team or the overall rating is "Substantive Non-Compliance.
- D. If there are no elements rated "Non-Compliance" and one (1) or two (2) elements are rated as "Minimal Compliance" the overall rating is "Substantive Compliance", absent a negative recommendation from the unit team.
- E. If all elements are rated as "Full Compliance" the overall rating is "Substantive Compliance".
- F. If there is insufficient information to determine substantive compliance or non-compliance, a rating of "Undetermined Compliance" shall be assigned.

**Unit Team Recommendations:**

Recommendations are normally based on circumstances that may be positive or negative, but must be based on clearly stated reasons. When positive or negative recommendations are used to change a compliance level on progress reviews the document requires the signature of unit staff and the Deputy/Associate Warden. An inmate who refuses to participate in or is terminated from the STOP or Chemical Dependency/Gambling Programs is not eligible for positive recommendations.

Recommendations could include but are not limited to:

**A. Positive recommendations:**

- 1. Medical, mental health or other limiting factors beyond the inmate's control.
- 2. Acts of heroism, such as saving a life or coming to the aid of a staff member in a dangerous situation.
- 3. Contributions to a work program or community service project.
- 4. Outstanding disciplinary record or excellent attitude and behavior.

**C. Negative recommendations:**

1. Recent serious disciplinary report that would normally result in a revocation of parole status.
2. Display of an attitude and behavior that would not be tolerated if the inmate were placed on parole status and would normally result in a parole violation.
3. High Risk offenders as assigned by the Risk Reduction manager (See DOC policy 1.4.G.5 [System Risk Classification](#)).
4. Inmate who is convicted and receives a new sentence for a felony committed as an inmate.

**Narrative on the Elements of the IPD:**

Information summaries, assessments, recommendations and comments are only necessary if the inmate is not in full compliance with any element of his/her IPD.

**Notification of Compliance:**

Inmates who are being evaluated for a new system progress report prior to his/her first parole date will receive a copy of the unit staff report of substantive compliance or noncompliance with the Individual Program Directive. The Deputy/Associate Warden signatures are only required for progress reviews when there is a positive or negative recommendation from unit staff.

Inmates who are being evaluated for a new system initial compliance will receive a copy of the Warden's report of substantive compliance or noncompliance with the Individual Program Directive (SDCL § [24-15A-35](#)). The Deputy/Associate Warden signatures and Warden's signatures are required. Staff members serving the notice of substantive compliance or noncompliance will sign and date the compliance review report.

**Unit Staff Member Signature/Date:**

The unit staff member should sign and date the form after it has been completed.

**Deputy or Associate Warden Signature/Date:**

This signature is necessary for compliance reports and when positive or negative recommendations are used to change a compliance level on progress reports.

**Warden Signature:**

This signature is necessary only for compliance reports.

### Attachment 3: IPD Program and Work Evaluation Report

Click [here](#) or go to COMS Case Plan module.

This is an IWP in COMS located in the Case Plan module.

South Dakota Department of Corrections Policy Distribution: Public	Attachment: IPD Program and Work Evaluation Report Please refer to DOC policy 1.4.B.1 Individual Program Directive
<b>IPD PROGRAM AND WORK EVALUATION REPORT</b>	
Inmate Last Name: _____ First: _____ ID#: _____	Evaluation Purpose: <input type="checkbox"/> Program Completion <input type="checkbox"/> Program Removal Evaluation of: <input type="checkbox"/> CD/Gambling Treatment <input type="checkbox"/> STOP <input type="checkbox"/> Academic <input type="checkbox"/> Medical or Mental Health Program <input type="checkbox"/> Work <input type="checkbox"/> Core Programs
Course/Program/Work Name: _____ Course Number: _____ Date Completed: _____ # of Credits: _____	<input type="checkbox"/> <b>Full Compliance:</b> Worked diligently and to the best of his/her ability (work). Completed assigned program and/or followed the directives to the best of his/her ability (medical/mental health). Successfully completed the program or participated to the best of his/her ability (STOP, CD/Gambling, Education, Education and Core Programs).  <input type="checkbox"/> <b>Minimal Compliance:</b> Performed minimally acceptable work (work). Participated or cooperated in assigned program or with directives to a minimal extent, less than his/her ability (medical/mental health). Participated at a minimal level, less than his/her ability (STOP, CD/Gambling, Education, and Core Programs).  <input type="checkbox"/> <b>Non-Compliance:</b> *Refused work, was discharged from work for disciplinary reasons or removed from work because of non-compliant behavior (work). Refused to participate or cooperate with assigned programming and directives (medical/mental health). Refused to participate, was terminated from the program, was discharged from the program for disciplinary reasons or relinquished a treatment slot due to a disciplinary transfer (STOP, CD/Gambling, Education, and Core Programs).  * Unit staff will determine impact on final compliance report to parole (depends on recentness if counted as minimally compliant or non compliant)  <b>Comments (Mandatory for Minimal or Non-Compliance):</b> _____  _____
Please return this form to: _____  _____	
Revised: 04/21/2015 <span style="float: right;">Page 1 of 2</span>	



## Attachment 5: IPD Standards of Compliance

Click [here](#) or to COMS Case Plan module.

This is an IWP in COMS located in the Case Plan module.

South Dakota Department of Corrections Policy Distribution: Public	Attachment: IPD Standards of Compliance Please Refer to DOC policy 1.4.B.1 Individual Program Directive
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### IPD STANDARDS OF COMPLIANCE

Inmate Last Name	First	Booking#
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I understand that the Individual Program Directive that I have completed with a Unit Staff Member includes program and work components which have standards for compliance and behavioral expectations. I also understand that the following standards will be used to determine my level of compliance with my Individual Program Directive.

**Full Compliance:** Worked Diligently and to the best of my ability (work). Completed assigned program and/or followed the directives to the best of my ability (medical/mental health). Successfully completed the program or participated to the best of my ability (STOP, CD/Gambling, Education, and Core Programs.)

**Minimal Compliance:** Performed minimally accepted work (work). Participated or cooperated in assigned program or with directives to a minimum extent, less than my ability (medical/mental health). Participated at a minimal level, less than my ability (STOP, CD/ Gambling, Education, and Core Programs )

**Non- Compliance:** Refused to work, was discharged from work for disciplinary reasons or removed from work because of non-compliant behavior (work). Refused to participate or cooperate with assigned programming and directives (medical/ Mental Health). Refused to participate in the program, was terminated from the program, was discharged from the program for disciplinary reasons or relinquished a treatment slot due to a disciplinary transfer (STOP, CD/ Gambling, Education, and Core Programs).

I have read or have had read to me these standards of compliance and expectations for each assignment included in my Individual Program Directive. Any additional standards for any assignment will be communicated to me by my work/ program supervisor.

<u>X</u>	[Redacted]	[Redacted]
Inmate Signature	DOC#	Date

Revised: 03/04/2013 Page 1 of 1



## Attachment 6: IPD Minimum Facility Work Evaluation Report

Click [here](#).

This form is located on the state's WAN.

South Dakota Department of Corrections Policy Distribution: Public		Attachment: IPD Minimum Facility Work Evaluation Report Please refer to DOC policy 1.4.B.1 Individual Program Directive				
<b>IPD MINIMUM FACILITY WORK EVALUATION REPORT</b>						
For the week of:						
Month		Day	Year			
Inmate Last Name		First	ID#			
Agency/Protect Pay Code		Work Site/Work Protect				
<b>Rating</b>						
<b>Full Compliance:</b>		Worked diligently and to the best of his/her ability. Completed assigned job in a timely manner without complaint.				
<b>Minimal Compliance:</b>		Performed minimally acceptable work. Completed assigned job to a minimal extent, less than his/her ability.				
<b>Non-Compliance:</b>		Refused work assignment, was disciplinary discharged from work or was removed from work because of non-compliant behavior.				
Comments (mandatory for minimal or non-compliance):						
<b>HOURS WORKED</b>						
Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
Supervisor's Signature				Date		
Revised: 8/14/2008				Page 1 of 1		