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<p>PURPOSE: The purpose of this policy is to establish departmental policy and procedure for the transfer, housing, monitoring and release of Incarcerated Individuals in Secure Adjustment Units (SAUs).</p> <p>RESPONSIBLE STAFF FOR IMPLEMENTATION AND MONITORING OF POLICY: Deputy Commissioner, Clinical Services and Reentry</p> <p>CANCELLATION: This policy cancels all previous department policy statements, bulletins, directives, orders, notices, rules, or regulations regarding planning which are inconsistent with this policy.</p> <p>SEVERABILITY CLAUSE: If any part of this policy is for any reason held to be in excess of the authority of the Commissioner, such decision will not affect any other part of this policy.</p>				

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DEFINITIONS

Behavior Assessment Units (BAU): For purposes of this policy, a Behavior Assessment Unit is defined as a housing unit that is not Restrictive Housing that is used for the assessment of incarcerated or civilly committed individuals who pose an unacceptable risk to the safety, security, and orderly operations of the correctional institution, have a possible personal safety need that needs to be investigated, or who pose a threat to others and require separation from the general population. The goal of this unit is to expeditiously assess an individual's need(s) and determine if a structured program is recommended to address their need(s).

General Population: For purposes of this policy, general population is defined as any housing area, other than a Health Services Unit, a Secure Treatment Unit, a Special Housing Unit, a Secure Adjustment Unit, an Intensive Treatment Unit, or a Behavior Assessment Unit.

Incarcerated Individual. A committed offender or such other person as is placed in custody in a correctional institution in accordance with law.

Incentives: A system that is used to evaluate and positively reinforce progress for each incarcerated individual in an SAU on at least a weekly basis.

Individualized Phase Objectives (IPO): A document that identifies a set of short term and specific goals based on the incarcerated individual's Individualized Program Plan. The Individualized Phase Objectives may be evaluated and updated if necessary to guide the incarcerated individual's progress.

Individualized Program Plan (IPP): A document identifying an incarcerated individual's specific goals for their time in the SAU and to guide their engagement within the intervention (including program track, assignment to groups, evaluation of progress in consideration for discharge from the intervention, etc.). This document is developed with the incarcerated individual's input and objectives initially identified by the IAT while the incarcerated individual is housed in the BAU, and by the MDT once reclassified to an SAU. The document is updated throughout the incarcerated individual's time in the SAU. The plan will be maintained by the MDT, and the SAU Director is responsible for the maintenance, oversight, and process of this plan.

Interdisciplinary Appraisal Team (IAT): A team composed of, at a minimum, the following individuals: security staff; program staff; and treatment providers. The IAT is responsible for developing a comprehensive perspective to identify what, if any, interventions are needed to address a BAU incarcerated individual's behavior. See 103 DOC 427.

Multi-Disciplinary Team (MDT): A team that includes but is not limited to the SAU Director/Manager (chair), unit security staff, program staff, and treatment

providers. The MDT guides the incarcerated individual in the development, progress, and adherence to their Individualized Program Plan.

Ninety (90) Day Status Committee: A committee that includes, but is not limited to, one (1) member of the security staff; one (1) member of the programming staff; one (1) member of the mental health staff. The committee is responsible for conducting Ninety (90) Day Status Evaluations, which determine whether placement within an SAU continues to be necessary to address the individual needs identified in the classification hearing that resulted in SAU placement. A Ninety (90) Day Status Evaluation shall be completed within 90 days of an incarcerated individual's SAU placement/status and every 90 days thereafter. The members of the committee may also be members of the MDT, but this is not a requirement.

Phase Privileges: Access to activities and items associated with a phase of programming. As an individual demonstrates progress and they advance through phases, they will be granted access to items and activities that have been predetermined based on SAU level and institution. Each phase advancement will add additional access to privileges to include any privileges associated with lower phases.

Process Group: Groups facilitated by a Qualified Mental Health Provider that allow for an additional opportunity to address clinical needs and receive extra support for behavioral change, in a group setting.

Process Reorientation: The practice of returning an incarcerated individual to the Orientation Phase of the SAU to reorient them to the expectations of the SAU and program intervention. Process Reorientation in response to a singular incident shall not last more than seven (7) days. Once returned to the Orientation Phase, the incarcerated individual will have access only to program and operational elements associated with the lowest Orientation Phase available per their assigned SAU. Once Process Reorientation is initiated, the MDT will review the incarcerated individual's IPP, Phase Objectives and Progress Reviews to determine if adjustments are needed based on the incident and will recommend phase changes as appropriate.

Progress Review: A review by the MDT that provides an incarcerated individual in the SAU with formal written feedback that is completed by the MDT, at a minimum of every forty-five (45) days, or more often as determined by the MDT. The review is a collaborative process that includes an opportunity for the incarcerated individual to provide input and considers an incarcerated individual's progress on individualized phase objectives and adherence to phase expectations, as well as their progress in their overall program plan, on a regular basis. This review will include detailed observations and professional judgment regarding the incarcerated individual's progress. These reviews shall include an overview of program engagement, progress toward identified goals, and adjustment in the unit/institution (to include any behavior or disciplinary concerns).

Secure Adjustment Unit (SAU): For purposes of this policy, an SAU is defined as a highly structured unit that is not Restrictive Housing which provides access to cognitive behavioral treatment, education, programs, structured recreation, leisure time activities, and mental health services for those incarcerated individuals assessed as needing a specific structured program intervention to support positive adjustment and classified to the SAU pursuant to 103 CMR 420, *Classification* .

Transition Plan: A document developed prior to an incarcerated individual's discharge from an SAU that includes an overview of total SAU program engagement, progress toward identified goals, and recommendations to support positive adjustment.

428.02

ESTABLISHMENT OF SECURE ADJUSTMENT UNITS

- A. The Commissioner may designate an area or areas within maximum and medium security correctional institutions for Secure Adjustment Units consistent with the purposes set forth in 103 DOC 428.
- B. Each SAU must have a core program intervention that targets an identified criminogenic risk factor that led to unsafe and disruptive behavior in general population. An SAU must have specialty tracks to tailor the program more specifically to the individual's needs. The assigned specialty track is based on a recommendation by the IAT, but the MDT makes the final assignment upon admission to the SAU program intervention. The track may change during the program intervention based on the individual's feedback or the MDT's assessment of the incarcerated individual's needs.
- C. An SAU will utilize a tiered phase system, which includes orientation, work, and transition phases. The number of orientation and work phases varies across SAU programs (see Attachment #9). Phases are supported by cognitive behavioral programming and mental health treatment to meet each incarcerated individual's individualized targets and overarching goals and expectations for each phase. Each phase must have distinct privileges intended to support the overall goal of each SAU level and, as such, the privileges will vary based on the program phase and SAU level (see Attachment #11).
- D. An SAU must utilize Process Reorientation in response to significant engagement issues or disruptive behaviors that pose a risk to the safety and security of the unit, other incarcerated individuals, or staff. Process Reorientation must be initiated by the Unit Director or the Unit Officer in Charge (OIC) and then reviewed by the MDT on the next business day. It may also be used upon return to the unit from BAU placement.

SECURE ADJUSTMENT UNIT PLACEMENT AND THE INDIVIDUALIZED PROGRAM PLANA. Placement

1. Incarcerated individuals will be classified to an SAU from a BAU or from a higher-level SAU, or from a Secure Treatment Unit (STU) upon their discharge from an STU, for a specific program intervention in accordance with the process in 103 CMR 420, *Classification*. The fact that an incarcerated individual is lesbian, gay, bisexual, transgender, queer, or intersex or has a gender identity or expression or sexual orientation uncommon in general population shall not be grounds for placement in the SAU.
2. Incarcerated individuals classified to an SAU shall have all their property transferred to the receiving institution pursuant to 103 CMR 403, *Inmate Property*.
3. Incarcerated individuals transferred from other institutions to a host SAU shall be afforded the institution orientation under 103 DOC 401, *Booking and Admissions*, in addition to the specifics of the SAU and its program.
4. Incarcerated individuals will be provided with an SAU orientation manual specific to their assigned SAU upon admission to the unit. This manual shall include, but not be limited to, the rules and regulations of the unit. Incarcerated individuals with limited English proficiency as well as incarcerated individuals requiring reasonable accommodations in accordance with the Americans with Disabilities Act (ADA) shall have access to the communication provisions outlined in 103 DOC 488, *Interpreter Services* and 103 DOC 408, *Reasonable Accommodations*, if required or requested.
5. The MDT will meet within the first seven (7) days of an incarcerated individual's placement and meets weekly thereafter to review and discuss every incarcerated individual to monitor progress, which may include but is not limited to: reason for SAU intervention from the sending institution; progress toward goals outlined in the incarcerated individual's Individualized Program Plan (IPP); achievements/progress toward Individualized Phase Objectives (IPOs); and overall behavior within the program.

B. The Individual Program Plan (IPP)

1. The incarcerated individual has the opportunity to collaborate with a member of the MDT, in person, within the first fourteen (14) business days of transfer to the SAU to participate in the creation of

their Individual Program Plan (IPP). This plan can be updated throughout their time in the SAU. A copy of the IPP (Attachment #4) shall be provided to the incarcerated individual and filed in the SAU record.

2. Once the IPP has been created (within the first fourteen (14) days of placement/status), a member of the MDT will work collaboratively with the incarcerated individual to create their initial Individualized Phase Objectives (IPO). If the incarcerated individual declines to participate in this process, the MDT will develop one in their absence.
3. At the beginning of each Phase, or more often, new IPOs will be created in the same manner to assist the individual with achieving their IPP. A copy of each IPO (Attachment #5) shall be provided to the incarcerated individual and filed in the SAU record. Any changes in phase assignment must be determined by the MDT through regular reviews of the individual's IPP progress, as outlined in 103 DOC 428.03 (B)(5).
4. The MDT will meet regularly to ensure the IPP and IPO are still relevant to the incarcerated individual's overall needs and to update or change the IPP, if necessary, based on the incarcerated individual's progress or new behavior. An individual will not be precluded from SAU placement based on their non-participation in any or all aspects of the intervention.
5. The MDT will initiate the completion of a Progress Review, at a minimum of every forty-five (45) days. A member of the MDT will review each progress review with the incarcerated individual in person and provide an opportunity for them to provide feedback or comment on the observations and assessment of progress identified by the MDT. If an incarcerated individual chooses not to participate in the Progress Review, one will be developed by the MDT in their absence. A Progress Review is completed regardless of an individual's participation in any other aspect of the program and will reflect on their overall progress toward the goals as laid out in their IPP. A copy of each Progress Review (Attachment #6) shall be provided to the incarcerated individual and filed in the SAU record.

428.04

PROGRAMS AND SERVICES

A. Programming

1. An SAU provides regularly scheduled groups that help support individuals to achieve the goals in their IPP. Incarcerated individuals in an SAU are scheduled for groups and individual meetings in

accordance with their IPP. Individual meetings must be offered monthly or more frequently depending on the SAU and current phase, as well as needs identified on their IPP. (See Attachment #9)

2. All SAUs include scheduled process groups as part of the intervention design for all participants at specified phases (Attachment #9). These semi-structured groups provide an opportunity for the participants to discuss their current SAU status and progress toward goals. This is done by examining the underlying factors that contribute to behavioral concerns which may include, but are not limited to, a history of trauma or insecure attachments, substance use, or general deficits in coping or behavioral control.
3. While attendance in groups is not required to demonstrate IPP progress, attendance may assist the individual with obtaining phase objectives and IPP progress resulting in the opportunity for consideration of discharge earlier than the maximum time of the intervention.
4. Any changes to or cancellations of group offerings shall be approved by the Unit Director or Deputy Superintendent, and incarcerated individual(s) affected by these changes will be made aware as soon as reasonably possible.
5. A system for behavioral reinforcement has been established to assist with incentivizing the weekly progress of everyone in an SAU. Incentives are separate and distinct from phase privileges. Management of the incentive system is the responsibility of the SAU Unit Director or designee in conjunction with the MDT. An incarcerated individual may only receive incentive items while housed in an SAU. If the incarcerated individual is engaging in programming but housed off unit in the HSU, the SAU Director or designee will hold the items until such time as the participant is housed in the SAU.
6. All SAU incentive programs must have:
 - a. A review period that occurs no less than weekly. Each review period is distinct, and items are not to be carried over to future review periods;
 - b. The ability to authorize the requested item no later than one (1) business day after the conclusion of the review period; and
 - c. Access to items must be based on achievements in the following categories:
 - i. program participation,
 - ii. behavior, and

- iii. prosocial interactions.
- d. Withdrawal of access to items if an incarcerated individual is observed by the MDT to be deficient in one (1) or more areas for that review period. Progression within the SAU program phases grants the incarcerated individual increased access to incentive items. (Attachment #10)

B. Services

Incarcerated individuals housed in an SAU shall have access to the following services, including but not limited to:

1. Educational Services: If an incarcerated individual, while in general population, was enrolled in an educational program that is offered virtually, the incarcerated individual will be allowed continued participation offered either virtually or in person. This shall also apply to an incarcerated individual who is on a wait list for education services and is reached for enrollment while in an SAU.
2. Personalized Program Plan Programming: If an incarcerated individual, while in general population, was enrolled in a program identified in the incarcerated individual's Personalized Program Plan and the program is offered virtually, the incarcerated individual will be allowed continued participation. This shall also apply to an incarcerated individual who is on a wait list for a program identified in their Personalized Program Plan and is reached for enrollment while housed in an SAU.

When engaged in this type of program, the incarcerated individual shall have an opportunity to meet with a program facilitator in person or virtually to review the program material and their work; this generally will occur one-on-one weekly but could occur in a group format where operationally feasible.

3. Commissary services
4. Library services
5. Social services
6. Counseling services
7. Religious chaplains for spiritual guidance; and appropriate alternatives to corporate worship shall be provided in accordance with the safety and security of the unit.
8. Recreational activities

9. Tablets: Incarcerated individuals in the SAU have access to program tablets in accordance with 103 DOC 475, *Tablets*, for tablet-based content for self-directed enrichment programming.

428.05

MEDICAL/MENTAL HEALTH

- A. Immediately prior to an incarcerated individual's placement into an SAU, health care staff shall be notified so that a health/mental health screening review can be conducted. This screening shall be documented in the incarcerated individual's medical record.
- B. Prescribed medication shall be distributed as needed within the SAU.
- C. Unless medical attention is needed more frequently, each incarcerated individual in an SAU shall receive a daily visit from a Qualified Healthcare Professional that shall be recorded in the Inmate Management System (IMS) Unit Activity Log. The IMS Log entry shall document the medical staff person's name and title, that a full round and medication pass was conducted, and that the medical round was announced prior to being conducted. The frequency of physician visits shall be determined by the Health Service Administrator (HSA). Incarcerated individuals shall also be seen by a Qualified Mental Health Professional (QMHP) when clinically indicated and at the frequency determined by clinical need (refer to 103 DOC 650, *Mental Health Services*, section 650.13).
- D. Once placement in an SAU reaches thirty (30) days, a QMHP shall evaluate the incarcerated individual and complete appropriate documentation in the incarcerated individual's medical record. If placement continues beyond the initial thirty (30) day mental health review, the QMHP shall complete a mental health assessment every ninety (90) days thereafter. If an incarcerated individual has an identified mental health need, a mental health assessment shall be completed at least every thirty (30) days thereafter. More frequent assessments shall be completed at the direction of the Mental Health Director and per clinical indication.
- E. All SAUs include scheduled process groups facilitated by a QMHP as part of the intervention design for all participants at specified phases (Attachment #9). These semi-structured groups provide an opportunity for the participants to examine the underlying factors that contribute to behavioral concerns which may include, but are not limited to, a history of trauma or insecure attachments, substance use, or general deficits in coping or behavioral control.

428.06

SUPERVISION/ROUNDS

- A. SAU incarcerated individuals shall be personally observed by a Correction Officer at least twice per hour. Security rounds shall be conducted at least every thirty (30) minutes, at irregular intervals, in differing patterns, and be documented in the IMS Unit Activity Log. The documented entry shall include the name of the Correction Officer who conducted the security round.
- B. Any incarcerated individual whose presentation is deemed concerning shall be referred for assessment by a QMHP in accordance with 103 DOC 650, *Mental Health Services*.
- C. Captains shall complete daily rounds of the SAU, which shall be documented in the IMS Unit Visitor Log.
- D. At a minimum, the SAU Director shall conduct rounds of the SAU(s) three (3) times per week, which shall be documented in the IMS Unit Visitor Log.
- E. At a minimum, the Correctional Program Officer (CPO) assigned to the SAU shall conduct rounds at least three (3) times per week, which shall be documented in the IMS Unit Visitor Log.
- F. The Chaplain shall conduct at least a weekly visit to the SAU, which shall be documented in the IMS Unit Visitor Log.
- G. Medical/Mental Health rounds shall be conducted in accordance with 103 DOC 428.05 (C), which shall be documented in the IMS Unit Visitor Log.

428.07

CONDITIONS OF CONFINEMENT

- A. Housing: The institution shall provide cells with living conditions which approximate those of the general incarcerated individual population, consistent with the safety and security of the unit. Planning shall ensure that a cell used permits incarcerated individuals to communicate with staff and has a door which permits observation by staff. Any exceptions shall be documented. All cells in an SAU provide a minimum of eighty (80) square feet and shall provide thirty-five (35) square feet of unencumbered space for the first occupant and twenty-five (25) square feet of unencumbered space for each additional occupant.
- B. Restraints:
 - 1. Restraints are only authorized for use in SAU Level Four, for specific periods during the program, which include:

- a. Any individual in orientation phase through phase 2 of SAU Level Four will be placed in restraints for all out-of-cell movement.
 - b. When the individual is approved to progress into work phase 3 of the program, the Multidisciplinary Team (MDT) will review the use of restraints frequently to create an opportunity to reduce restraints when safe to do so.
 - c. At any time, an incarcerated individual engages in behavior that is deemed a risk to safety and security of others or the institution, the Unit Officer in Charge (OIC) may place an incarcerated individual on Process Reorientation, which is a regression back to the Orientation phase which requires restraints, or in the BAU for reassessment. Prior to coming off of Process Reorientation, the MDT shall review the incarcerated individual's restraint status at the next available MDT meeting. Until such time as this review takes place, the individual shall remain in restraints.
 - d. Any individual that has progressed to Phase 4 and any higher phase of the program intervention will be unrestrained when attending programming or unit activities, or for movement on the unit, except that no individual who is determined to be appropriate for unrestrained status may be in a space with an individual who is restrained. This may result in certain program activities requiring restraints for all attendees.
- 2. Incarcerated individuals housed in an SAU other than SAU Level Four will be unrestrained for all movement within the institution and shall be under escort when moving off the unit.
 - 3. Extra restraint status as outlined in 103 DOC 520, *Instruments of Restraint*, is not authorized for individuals housed in an SAU.
- C. Clothing and Personal Items: Incarcerated individuals shall be provided access to clothing and basic personal items for use in their cells unless there is an imminent danger that an incarcerated individual or any other incarcerated individual(s) will destroy an item or induce self-injury. Incarcerated individuals housed in an SAU shall have the opportunity to launder or exchange clothing, bedding and linens on the same basis as the general population. Exceptions are permitted only when found necessary by the Officer in Charge (OIC) and any exception is documented in the IMS Unit Activity Log and justified in writing via an incident report.
 - D. Hair Care: Incarcerated individuals housed in an SAU shall have access to barbering and hair care services on the same basis as the general population.
 - E. Hygiene: All individuals in an SAU shall have the opportunity to shower and shave at a minimum of five (5) times per week as outlined by the SAU level (see Attachment #9). For SAU Level Four, these opportunities must

be logged in the SAU Daily Log IMS screen as outlined in 103 DOC 428.10 (A)(1).

- F. Out-of-Cell Time: Incarcerated individuals housed in an SAU shall have access to structured and unstructured out-of-cell opportunities for a minimum of three (3) hours per-day. This must include a minimum of one (1) hour of outdoor, exercise seven (7) days per week and access to indoor unstructured recreation (i.e., tier time), unless security or safety concerns dictate otherwise. Unstructured recreation shall include, at a minimum, tables designed for congregate activities and playing cards.

Additional games or recreation items may be available dependent on the individual's phase, as outlined in Attachment #11, Secure Adjustment Unit Phase Privileges. Additional out-of-cell time will vary depending upon the SAU level and the individual.

- G. Programming: Incarcerated individuals housed in an SAU will have the opportunity to participate in program groups (normally one (1) hour in duration), meetings with staff (normally thirty (30) minutes to one (1) hour in duration), structured community events, etc., which provide additional opportunities for out-of-cell time and increase as an individual progresses through the program phases, as outlined in 103 DOC 428.04 (A)(5).

- H. Telephone: Incarcerated individuals housed in an SAU are allowed telephone calls, to include the use of tablet in accordance with 103 DOC 475, *Tablets*, unless the incarcerated individual is serving a loss of telephone and/or loss of tablet (loss of multi-media) disciplinary sanction in accordance with 103 CMR 430, *Inmate Discipline*. Unit telephones are available in each SAU with details of access outlined in Attachment #9.

Incarcerated individuals in an SAU shall also have access to a telephone to make telephone calls to courts, pre-authorized numbers for attorneys and consular/diplomat offices, and Global Access numbers. Telephone calls to courts, to pre-authorized attorney and consular officer/diplomat numbers, or the Global Access numbers shall not be suspended or curtailed except on an emergency basis as determined by the Superintendent or designee as set forth below. Telephone calls to pre-authorized attorney/consular/diplomat numbers, or the Global Access numbers shall not be subject to telephone monitoring or recording.

In accordance with 103 CMR 482, *Telephone Access and Use*, a Superintendent or a designee may suspend telephone usage by the incarcerated individual population on an emergency basis when, in the Superintendent's opinion, telephone use by the entire incarcerated individual population presents a threat to the institution's security. After 24 hours, the Superintendent or designee, if necessary, shall authorize a

continuation of the suspension of telephone use, to be reviewed every 24 hours thereafter and reauthorized as necessary.

- I. Tablets: Subject to disciplinary sanctions imposed in accordance with 103 CMR 430, *Inmate Discipline*, privileges to retain multimedia and personal tablets in a cell shall be in accordance with 103 DOC 475, *Tablets*.
- J. Mail: Incarcerated individual housed in an SAU shall have the ability to write and receive mail on the same basis as general population incarcerated individual.
- K. Visitation: Incarcerated individuals housed in an SAU shall have the opportunity for visitation in accordance with 103 CMR 483, *Visiting Procedures*, unless the incarcerated individual is serving a loss of visitation disciplinary sanction in accordance with 103 DOC 430, *Inmate Discipline*, or unless there is an emergency.
- L. Reading and Legal Materials: Incarcerated individuals housed in an SAU shall have access to reading and legal materials
- M. Food Services: Standard food services shall be made available to incarcerated individuals in an SAU, provided their participation is consistent with the safety and security of the institution and its employees. Alternative meal service may be provided, consistent with 103 DOC 760, *Food Services*, section 760.16, to an incarcerated individual in an SAU who uses food or food service equipment in a manner that is hazardous or otherwise disruptive to self, staff, or other incarcerated individuals. Alternative meal service is provided on an individual basis in accordance with, based on health or safety considerations only, meets basic nutritional requirements, and occurs with the approval of the Superintendent or designee, and responsible health authority or designee. Incarcerated individuals on alternate status shall receive the same meals as those given to the population. Alternative meal service is considered the method of delivery and retrieval of the food from the incarcerated individual and not the adjustment to the meal itself. The alternative status shall not exceed seven (7) days.
- N. Property: Subject to disciplinary sanctions imposed in accordance with 103 CMR 430, *Inmate Discipline*, privileges to retain property in a cell, which shall include access to either a radio or a multi-media tablet, shall be in accordance with 103 CMR 403, *Inmate Property*, Standard Operating Procedure.
- O. Canteen: The canteen items available to general population units at each institution shall be made available for those in the respective SAU at each institution, subject to limitations based on item-specific security concerns, or unless they are serving a loss of commissary sanction as outlined in the

103 CMR 430, *Inmate Discipline*. Item options and spending allotment per security level can be found in Attachment #9.

- P. Whenever an incarcerated individual in an SAU is denied access to an item or activity that is typically authorized, an incident report shall be written to include the incarcerated individual's name, item or activity denied, and the reason for denial. Prior to denying the incarcerated individual's item or activity, the Shift Commander shall notify the unit administrator or Deputy Superintendent for approval. During non-business hours, the Shift Commander shall be notified for approval prior to the denial. A copy of the incident report is filed in IMS and will be reviewed by the unit administrator and Deputy Superintendent the next business day.

428.08

NINETY (90) DAY STATUS EVALUATIONS

A. Process for Completing Ninety (90) Day Status Evaluations

1. A Ninety (90) Day Status Evaluation shall be completed within ninety (90) days of an incarcerated individual's SAU placement and every ninety (90) days thereafter (Attachment #2). Each incarcerated individual shall be reviewed as outlined below by a three (3) person Status Evaluation Committee.
2. The Status Evaluation Committee shall provide the incarcerated individual with at least forty-eight (48) hours' advance written notice of the Status Evaluation. The notice shall include the classification board's recommendation and rationale for placement in an SAU and the purpose of the Status Evaluation. Notice shall be documented and may be waived by the incarcerated individual in writing (Attachment #1).
3. The Status Evaluation Committee shall conduct all Status Evaluations. The incarcerated individual shall be offered the opportunity to participate in the evaluation in person. The Status Evaluation shall not be conducted at cell front. The incarcerated individual's failure to appear at the scheduled Status Evaluation shall be deemed a refusal to appear but shall not be held against the incarcerated individual. The incarcerated individual's refusal to attend shall be documented in IMS.
4. At the Status Evaluation, the incarcerated individual may offer a verbal and written statement and submit documentation to contest the need for continued SAU placement/status. The incarcerated individual shall not be entitled to call witnesses or to have representation by counsel.

5. Within two (2) business days of the Status Evaluation, the Committee shall enter a recommendation in IMS as to whether the incarcerated individual should maintain their current SAU placement/status. A copy of this recommendation shall be provided to the incarcerated individual.
6. The recommendation shall include, but not be limited to, a description of the underlying basis that led to the initial SAU placement, a determination whether the discontinuation of the individual's placement in SAU would pose an unacceptable risk to life, property, staff or other incarcerated individuals, or to the security or orderly running of the institution based on their current progress toward addressing the needs identified during the initial recommendation, and a general description of the factual basis of the recommendation, including a brief description of any evidence (e.g., current progress towards IPP, observed behaviors since placement, adjustment within the unit, new information about the reasons relied on to recommend SAU intervention, etc.) considered by the Status Evaluation Committee.

The recommendation shall also include feedback regarding continued need areas or programming recommendations to support positive adjustment. If no change in status is recommended, the Status Evaluation Committee shall also include behavioral and program participation objectives that will increase the incarcerated individual's chances of a change in status upon next Status Evaluation.

The written recommendation shall also document whether the incarcerated individual made or submitted any statement or documents, and, when appropriate, that any such statement and/or documents were considered. These recommendations shall be provided to the SAU director to present for consideration during the next available MDT meeting to determine how to incorporate them into the individual's IPO or IPP.

B. Appeals

1. Incarcerated Individual Appeal: If the incarcerated individual disagrees with the written recommendation of the Status Evaluation Committee, the incarcerated individual may submit a written appeal within five (5) calendar days of service of the written recommendation. If the fifth day falls on a non-business day, the incarcerated individual will have until the next business day to submit the appeal.

2. Final Decision: Within five (5) calendar days after the close of the appeal period, i.e., the last date upon which the incarcerated individual would be entitled to submit an appeal, the Deputy Superintendent of Reentry or designee (who shall not be the SAU Director) shall render the final decision in IMS and provide the incarcerated individual with such decision in writing. If it is determined that the incarcerated individual shall maintain their SAU status, the written decision shall explain the reasons for the incarcerated individual's continued placement/status including, but not limited to, a description of the underlying basis that led to the initial SAU placement and an explanation of why discontinuation of the program intervention would not address the identified risk which was the basis for the initial recommendation. If the decision has been made to discontinue the incarcerated individual's status/placement, the Deputy Superintendent of Reentry or designee shall request a reclassification hearing be held to determine the most appropriate placement for the incarcerated individual in accordance with the process in 103 CMR 420, *Classification*.
3. Assistance: An incarcerated individual, either verbally or in writing, may seek accommodation pursuant to 103 DOC 408, *Reasonable Accommodations*, for the status evaluation and appeal. It shall be the incarcerated individual's responsibility to request such assistance within a reasonable time prior to the scheduled hearing or appeal. Whenever said request is made, the Institution's Americans with Disabilities Act (ADA) Coordinator shall determine what accommodations, if any, are reasonable pursuant to the procedures set forth in 103 DOC 408, *Reasonable Accommodations*.

428.09

DISCHARGE FROM SECURE ADJUSTMENT UNITS

A. Release to Community

When an incarcerated individual in an SAU is expected to be released to the community within the next thirty (30) days, an email notification must be made to the Director of Reentry Services, the ADC of Reentry, the ADC of the sector, the Deputy Commissioner of Clinical Services and Reentry, and the Deputy Commissioner of Prisons. This notification shall include the detailed release plan, the institution's plans to continue to work with the individual on any outstanding issues, and their plan to support this plan while in the SAU. All required notifications provided in accordance with 103 DOC 404, *Inmate Release Policy*, 103 DOC 407, *Victim Services Unit*, and 103 DOC 493, *Reentry Policy*, remain in effect. The requirements of this paragraph do not apply to immediate court-ordered releases.

B. Reclassification

1. If the MDT determines that an alternative placement may be appropriate, the MDT may recommend that a reclassification hearing be held in accordance with 103 CMR 420, *Classification*.
2. Upon meeting their individual program goals or as a result of approaching the maximum program time as outlined by the SAU level, incarcerated individuals will be scheduled for a reclassification hearing. This hearing shall occur no later than sixty (60) days prior to what is allowed by the maximum time of the intervention from date of placement/status outlined by the level of SAU (Attachment #9).

Incarcerated individuals may be recommended, through the reclassification process, to a lower-level SAU to access additional program opportunities or to the appropriate general population. The same level or higher SAU cannot be recommended during this process. Incarcerated individuals who demonstrate meaningful progress toward their program plan can be recommended for an early reclassification hearing by the MDT at any time.

3. All required timelines for classification hearings held while an individual is classified to an SAU shall follow the reclassification hearing process in accordance with 103 CMR 420, *Classification*. The Commissioner or their designee shall have the final decision-making power in all such cases.
4. Every incarcerated individual, regardless of their level of program participation, shall have a Transition Plan (Attachment #7) developed at a minimum of sixty (60) days prior to discharge. The Transition Plan should be started prior to any reclassification hearing being held to consider discharge. This Transition Plan shall be created collaboratively with the incarcerated individual, the MDT, and the sending/receiving institution. Should an incarcerated individual choose not to participate in its development, a plan shall still be created.

C. Movement to Other Units

1. Behavior which poses an unacceptable risk to the safety, security, and orderly operations or poses a threat to others in an SAU will result in a BAU placement for appraisal by the IAT. As outlined in 103 DOC 427, *Behavior Assessment Units*, the outcome of this appraisal can result in:
 - a. Placement back to their current classification (in this instance, the SAU they are currently classified to within the initial appraisal period as outlined in 103 DOC 427.02 (B); upon

return, the Unit Director may determine the individual needs Process Reorientation prior to reengaging in the work phase of the program.

- b. Ordering of a reclassification to consider placement.
2. If the MDT determines that a clinical intervention may be indicated, a referral may be initiated at any time if appropriate for STU placement through the process outlined in 103 DOC 650, *Mental Health Services*.
 3. Should behavior or clinical need dictate a need for the individual to reside off their classified SAU, the SAU status shall remain except in the following circumstances:
 - a. Should the incarcerated individual be housed in a BAU while classified to an SAU, the IAT will have the full duration of the initial appraisal process provided for under 103 DOC 427, *Behavior Assessment Units*, to determine if retention back in the SAU is warranted. At the conclusion of this time frame, if the IAT is unable to determine whether the incarcerated individual can safely return to their classified SAU, and the IAT determines that a subsequent appraisal is needed, the incarcerated individual's current SAU status shall terminate. In this instance a new classification hearing will need to be completed at the end of the subsequent appraisal process in the BAU to properly assign the individual to the best intervention/placement following this change.
 - b. Should the incarcerated individual be housed in an STU due to a clinical need, the individual's SAU status will end. At the conclusion of their STU intervention, a new classification hearing would be required to determine the most appropriate placement for the individual.
 - c. Should the individual need care in the institution's Health Services Unit (HSU) or at an outside hospital, to include a M G.L. c. 123, §18(a) evaluation, the SAU status will be suspended. In these cases, should placement off the SAU exceed thirty (30) days, at the time of being discharged by the clinical or medical care team and returned to the unit, the incarcerated individual will receive an evaluation by the MDT to determine if it is appropriate to resume the SAU status.

428.10

RECORDS

- A. Unit officers are responsible for updating the Daily Activity Log in the Incarcerated individual Management System (IMS) for all activities offered, noting if the incarcerated individual chose to take the opportunity provided or not, as well as the hours offered out-of-cell. Events in the SAU

shall follow the approved program schedule. All entries shall be audited by a Captain daily.

1. SAU Level Four shall use the SAU Daily Log in IMS to document all incarcerated individual activity. This includes programs, mental health groups, showers, use of unit phones, scheduled leisure activity (indoor and outdoor), and individualized appointments. Unit officers are responsible for updating the Daily Activity Log in IMS for all activities offered, noting if the incarcerated individual chose to take the opportunity provided or not, as well as the hours offered out-of-cell.
 2. All other SAU levels are required to use only the Unit Log in IMS to document unit activities and should reflect the unit schedule.
- B. All incarcerated individuals in an SAU shall have a file maintained by the SAU Director, with the file and its components as outlined in 103 DOC 428.03 to be completed by members of the MDT. Records should be maintained according to the state records retention schedule.
- C. Weekly MDT discussions shall be documented in IMS. A note shall be entered for each SAU incarcerated individual noting their start date, reason for SAU placement, assigned track, current phase, and summarizing the discussion that took place pertaining to their participation and progress, as outlined in 103 DOC 428.03 (B)(5). Any recommendations regarding a change in phase assignment, as outlined in 103 DOC 428.03(B)(3), shall also be documented in these notes.
1. Attendance logs for each MDT meeting shall be kept by the SAU Director. Logs should be maintained according to the state retention schedule.

428.11

CONTINUOUS QUALITY IMPROVEMENT

The Deputy Commissioner of Clinical Services and Reentry will be responsible for ensuring there are Continuous Quality Improvement (CQI) plans completed regularly for all SAUs. The CQI is a progressive, incremental review of processes with goals that may include improvement of operations, outcomes, or system processes. A CQI will occur at a minimum of annually to ensure the current practices and documentation align with the overall goals and requirements of the SAU and to provide recommendations to enhance the quality of such processes and documents. A summary of the observations and recommendations resulting from the CQI review will be provided to, at a minimum, the Superintendent of the SAU institution or designee, the SAU Director, and the Deputy Commissioner of Clinical Services and Reentry.

428.12

EMERGENCIES

Whenever, in the opinion of the Commissioner or the Deputy Commissioners of Clinical Services and Reentry or Prison Division, an emergency exists which requires suspension of all or part of 103 DOC 428, they may order such suspension, provided that any such suspension ordered by the Deputy Commissioners of Clinical Services and Reentry or Prison Division lasting beyond forty-eight (48) hours is authorized by the Commissioner.

**Secure Adjustment Unit (SAU)
48 Hour Notice of Ninety (90) Day Status Evaluation**

TO: _____

From: _____
Name/Institution

Date: _____

Re: Notice of SAU Ninety (90) Day Status Evaluation

You have been classified to the SAU at _____ since _____ based on the following:

You are hereby notified that a Ninety (90) Day Status Evaluation to determine whether placement within this (SAU) continues to be necessary to address the needs identified in your initial recommendation to and/or classification decision for placement in the SAU has been scheduled for:

_____ at _____
Date Time

The Status Evaluation Committee may use evidence, including but not limited to, your SAU program engagement, overall adjustment and observed behaviors since placement/status was initiated and your identified programmatic needs to evaluate the need for continued placement/status. The Status Evaluation Committee will provide its recommendations to the Deputy Superintendent of Reentry for final decision.

You may participate in the SAU Status Evaluation in person. Refusal to appear shall not be held against you as part of the evaluation. You may also submit a written statement and/or documentation to contest the need for continued SAU placement/status. If needed in order to participate in this evaluation, you may request the use of the language line, American Sign Language (ASL) interpretive services, or a reasonable accommodation pursuant to 103 DOC 408, *Reasonable Accommodations*.

- I wish to participate in my SAU Status Evaluation in person.
- I wish to submit a written statement and/or documentation (please attach to this form).

I waive participation in my SAU Status Evaluation.

Signature: _____

Date: _____

Witness: _____

Date: _____

I waive my 48-hour notification of my SAU Status Evaluation.

Signature: _____

Date: _____

Witness: _____

Date: _____

Check here if incarcerated individual requested:

Language Line ASL interpretive services

Other accommodation: _____

**Secure Adjustment Unit (SAU)
Ninety (90) Day Status Evaluation**

To: _____

From: _____
Name/Institution

Date: _____

Re: SAU Ninety (90) Day Status Evaluation Results

You have been classified to the SAU at _____ since _____ based on the following:

Following a Ninety (90) Day Status Evaluation conducted on _____, the Status Evaluation Committee has determined that it shall make the following recommendation to the Deputy Superintendent of Reentry regarding the necessity of your continued placement in this SAU to address the needs identified in your classification hearing recommendation:

- Continued placement/status is necessary

- Continued placement/status is not necessary

The following is a summary of the information/evidence used in the decision regarding your placement in the Secure Adjustment Unit:

The Status Evaluation Committee recommends the following behavioral and/or program participation objectives to increase the chances of a change in status upon next status evaluation or to support sustained progress if a status change was recommended:

Incarcerated individual provided verbal and/or written statements and/or submitted documentation that was considered in the Status Evaluation Committee's decision: Yes No

You have the right to appeal this decision by submitting a written appeal within five (5) days of service of the written recommendation. All appeals must be submitted to the Deputy Superintendent of Reentry or designee, who shall render a final decision. If the Deputy Superintendent of Reentry or designee decides that continued placement/status in this SAU is unnecessary, they will request that a reclassification hearing be held to determine the most appropriate placement in accordance with the process in 103 CMR 420, *Classification*.

Staff Signature: _____ Date: _____



Acknowledgment of Receipt: _____

Witness: _____

Check here if incarcerated individual refused results of SAU Ninety (90) Day Status Evaluation.

**Secure Adjustment Unit (SAU)
Ninety (90) Day Status Evaluation
Incarcerated Individual's Written Feedback**

Please use this form to provide feedback regarding the results of your recent status evaluation whether in support of or challenging the recommendation.

This response is required to be returned to the unit CPO within five (5) days of service of the written evaluation results.

Response/Statement:

Incarcerated Individual Name: _____
Commit Number: _____

Incarcerated Individual Signature: _____
Date: _____

Staff Receipt (include initials): _____
Date: _____

**Secure Adjustment Unit (SAU)
Individual Program Plan**

Name: _____ ID Number: _____

Assigned Program Track: _____

BAU Appraisal Team and/or SAU Multidisciplinary Team identified need areas to address reason for placement (include MDT recommendations for programming):

Program Goals (incorporating participant's contributions):

1:

2:

3: (future and/or transitional goal)

**Secure Adjustment Unit (SAU)
Individual Program Plan cont.**

Strengths, Needs, Abilities, Preferences (identified by participant):

Additional comments (i.e., medical/mental health considerations, resources, etc.):

Participant Signature Printed Name Date

Staff Signature Printed Name Date

Unit Director Signature Printed Name Date

**Secure Adjustment Unit (SAU)
Individualized Phase Objectives**

Name: _____

ID Number: _____

Date of Admission to the Unit: _____

Current Program Phase: _____

Purpose of Updated Objectives:

Phase Progression Phase Regression

Previous Objectives Met New Need Identified

Timeframe	Behavioral	Emotional Regulation	Program Participation	Other

Staff Signature: _____

Date: _____

Participant Signature: _____

Date: _____

**Secure Adjustment Unit (SAU)
Progress Review**

Name: _____

ID Number: _____

Current Program Phase: _____

Review Period: _____

MDT review of progress toward Individual Program Plan

Goal 1:

- Not started Demonstrating Progress Sufficient Progress Achieved *requires update to IPP
 Not Reviewed due to: _____

Goal 2:

- Not started Demonstrating Progress Sufficient Progress Achieved *requires update to IPP
 Not Reviewed due to: _____

Goal 3:

- Not started Demonstrating Progress Sufficient Progress Achieved *requires update to IPP
 Not Reviewed due to: _____

MDT review of overall progress (consider behavior, emotional regulation, program participation, progress on objectives, etc.)

Summary of observed progress:

Summary of areas in need of focus/improvement:

Participant's comments regarding participation and progress:

Updates to Individual Program Plan based on discussion with participant: (if applicable; requires participant initials)

Initials: _____

Participant Signature: _____

Date: _____

Staff Signature: _____

Date: _____

Unit Director Signature: _____

Date: _____

**Secure Adjustment Unit (SAU)
Transition Plan**

Name: _____ ID Number: _____

Participated in programming while in the SAU: Yes No

Phase at time of recommendation for discharge: _____

Review of overall program engagement and adjustment in the SAU:

--

Progress toward Individual Program Plan goals:

Goal 1:
Progress:
Participant's comments:

Goal 2:
Progress:
Participant's comments:

Goal 3:
Progress:
Participant's comments:

Areas of continued focus:

Program Recommendations:

Identified Resources (include frequency of contact if applicable):

Participant Signature	Printed Name	Date
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Staff Signature	Printed Name	Date
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Unit Director Signature	Printed Name	Date
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Reviewed with receiving institution: Yes No Date: _____

Date Recommended for Discharge: _____

**Secure Adjustment Unit (SAU)
Expectations Agreement**

Name: _____ ID Number: _____

While housed in the Secure Adjustment Unit (SAU), I agree to abide by the rules and expectations outlined in this agreement and in the SAU orientation manual. These rules and expectations apply to my behavior both on and off the unit, while engaging in unit activities, during participation in Education or provider led programs, and while utilizing tablets for self-guided enrichment.

General Expectations

1. While housed in the SAU, I will abide by all the rules regarding behavior and adhere to the unit activity schedule as outlined in this agreement and the SAU orientation manual.
2. I will adhere to all institutional rules and Department of Correction regulations and policies and remain subject to the disciplinary process set forth in 103 CMR 430, *Inmate Discipline*, for conduct that constitutes a disciplinary offense.
3. I will show respect to others, including peers, DOC administration and security staff, program staff, medical and mental health providers, etc.
4. I will not interfere with another incarcerated individual's program engagement, regardless of my own participation status in programming.

Program Expectations

1. If I choose to participate in available programs facilitated by contracted providers, I will demonstrate respect for staff and peers while in attendance.
2. I will not engage in disruptive or inappropriate behavior while in attendance at any programs. This includes, but is not limited to, threats or acts of violence, use of obscene or offensive language, and behavior that detracts from productivity of the program.
3. I will collaborate with members of the SAU Multidisciplinary team to form individual and program goals and demonstrate effort towards achieving these goals.
4. I understand that I will not receive priority for participation in recidivism reduction and education programs by virtue of my placement in the SAU, but that I will be offered enrollment, through a variety of means (tablet, packet, and/or in person) programming, if/when eligible, as I would if housed in any general population unit.
5. I understand that participation in programming will not dictate my institutional placement or housing assignment upon discharge from the SAU. I will be given the opportunity to collaborate with the SAU Multidisciplinary Team, regarding my placement through the creation of a Transition Plan. However, final determination for my placement will be made through the classification process.

.....
I acknowledge that these expectations were reviewed with me, and I agree to follow them as outlined, in addition to any other identified rules.

Incarcerated Individual Signature: _____ Date: _____

Staff Signature: _____ Date: _____

**Secure Adjustment Unit (SAU)
Conditions of Confinement and Program Offerings**

Medium Level SAU

1. Maximum Duration: One (1) year from the date of admission to the unit. All incarcerated individuals shall receive a reclassification hearing no later than sixty (60) days prior to this maximum date, regardless of participation or stage in the program.
2. Program Capacity: Sixty (60) incarcerated individuals
3. Unstructured out-of-cell time per day: opportunity to engage in out-of-cell recreation at a minimum of four (4) hours daily.
4. Showers/shaving: Available seven (7) days per week during unstructured time out-of-cell (“tier time”), per the unit schedule.
5. Phone calls: Unit telephones available seven (7) days per week during unstructured time out-of-cell (“tier time”); or use of personal tablet to make phone calls when not in group*.
6. Canteen: Canteen items shall be available for purchase.* The options for purchase shall be equivalent to those on the institution’s general population commissary list, subject to limitations based on item-specific security concerns, at maximum purchase availability of \$60.
7. Program Offerings are provided through Orientation, three (3) work phases, and Transition (groups/individual meetings) minimum offerings as follows**:
 - a. Orientation: Two (2) groups per week, one (1) individual meeting with staff per week
 - b. Work Phase 1: Three (3) groups per week (including one (1) process group), Two (2) individual meetings with staff per month
 - c. Work Phase 2: Five (5) groups per week (including one (1) process group), Two (2) individual meetings with staff per month
 - d. Work Phase 3: Six (6) groups per week (including one (1) process group), Two (2) individual meetings with staff per month
 - e. Transition: Six (6) groups per week (including one (1) process group), One (1) individual meeting with staff per week

SAU at MCI-Framingham

1. Maximum Duration: One (1) year from the date of admission to the unit. All incarcerated individuals shall receive a reclassification hearing no later than sixty (60) days prior to this maximum date, regardless of participation or stage in the program.
2. Program Capacity: Thirty (30) incarcerated individuals
3. Unstructured out-of-cell time per day: opportunity to engage in out-of-cell recreation at a minimum of four (4) hours daily.
4. Showers/shaving: Available seven (7) days per week during unstructured time out-of-cell (“tier time”), per the unit schedule.
5. Phone calls: Unit telephones available seven (7) days per week during unstructured time out-of-cell (“tier time”); or use of personal tablet to make phone calls when not in group*.

6. Canteen: Canteen items shall be available for purchase.* The options for purchase shall be equivalent to those on the institution's general population commissary, subject to limitations based on item-specific security concerns, list at maximum purchase availability of \$60.
7. Program Offerings are provided through Orientation, three (3) work phases, Transition (groups/individual meetings) minimum offerings as follows**:
 - a. Orientation: One (1) group per week, One (1) individual meeting with staff per week
 - b. Work Phase 1: Four (4) groups per week (including one (1) process group), Two (2) individual meetings with staff per month
 - c. Work Phase 2: Five (5) groups per week (including one (1) process group), Two (2) individual meetings with staff per month
 - d. Work Phase 3: Five (5) groups per week (including one (1) process group), Two (2) individual meetings with staff per month
 - e. Transition: Five (5) groups per week (including one (1) process group), One (1) individual meeting with staff per week

SAU Level Four

1. Maximum Duration: Incarcerated individuals shall be afforded a classification hearing at least annually in accordance with 103 CMR 420, *Classification*, to review and determine best placement, which may include continued placement in SAU Level Four, transition to a lower-level structured program intervention, or return to general population housing. All incarcerated individuals will be discharged after a maximum of six (6) years of continuous placement on this unit, regardless of completion or progress toward program goals.
2. Program Capacity: 54 incarcerated individuals
3. Unstructured out-of-cell time per day: opportunity to engage in out-of-cell recreation at a minimum of three (3) hours daily.
4. Showers/shaving: Available five (5) days per week, per unit schedule.
5. Canteen: Canteen items shall be available for purchase*. The options for purchase shall be equivalent to those on the institution's general population commissary list, subject to limitations based on item-specific security concerns, at maximum purchase availability of \$35.
6. Phone calls: Access through use of personal tablet when not in group, and access to the unit telephone, which is brought to cell front, through sign-up at a rate of no less than four (4) personal phone calls a week*, and unrestricted access to privileged and attorney calls.
7. Program Offerings are provided through two (2) Orientations, six (6) work phases, and Transition (groups/individual meetings) minimum offerings as follows**:
 - a. Orientation 1: One (1) group per week, Two (2) individual meetings with staff per month
 - b. Orientation 2: Two (2) groups per week, One (1) individual meeting with staff per month
 - c. Work Phase 1: Two (2) groups per week, One (1) individual meeting with staff per month

- d. Work Phase 2: Three (3) groups per week (including one (1) process group), Two (2) individual meetings with staff per month
- e. Work Phase 3: Two (2) groups per week (including one (1) process group), One (1) individual meeting with staff per week
- f. Work Phase 4: Three (3) groups per week (including one (1) process group), Two (2) individual meetings with staff per month
- g. Work Phase 5: Four (4) groups per week (including one (1) process group), Two (2) individual meetings with staff per month
- h. Work Phase 6: Four (4) groups per week (including one (1) process group), Two (2) individual meetings with staff per month
- i. Transition: Three (3) groups per week (including one (1) process group), One (1) individual meeting with staff per week

*Sanctions shall be imposed in accordance with 103 CMR 430, *Inmate Discipline*, section 430.25, for individuals assigned to an SAU. In such instances, access to that privilege will be restricted while the incarcerated individual is serving the disciplinary sanction.

**Changes to this schedule may be necessary to account for emergencies, and/or holidays. Cancellations for groups for reasons that are outside of the participants' control will not be held against them in their progress toward program engagement, or the weekly incentive process.

**Secure Adjustment Unit (SAU)
Incentive Program**

An incentive system has been established to assist in encouraging engagement and aid in evaluating progress for each incarcerated individual in the SAU on a weekly basis.

Incentive items offered on the menu will be identified by each SAU and outlined in the unit manual, in consideration of the institution's security and operational procedures. Items may include food, personal hygiene, and stationary items or access to activities such as the institution's gym and library that would not otherwise be accessible while housed in the SAU. No SAU level shall provide incentive items/activities that are not available to incarcerated individuals housed in that institution's general population units.

The number and/or menu of incentive items an incarcerated individual has access to will increase as the incarcerated individual progresses through the program. Below is a breakdown of the number of items available during each phase of the program for each SAU level.

Incentive Option	Medium Level SAU	SAU at MCI-Framingham	SAU Level Four
One (1) Item	N//A	NA	Orientation 2
Two (2) Items	Phase 1	Phase 1	Phase 1 & Phase 2
Three (3) items	Phase 2	Phase 2	Phase 3 & Phase 4
Four (4) items	Phase 3	Phase 3	Phase 5 & Phase 6
Five (5) items	Transition	Transition	Transition

Secure Adjustment Unit (SAU) Phase Privileges

Incarcerated individuals who meet the expectations for the program intervention phases and individual goals and objectives, as well as demonstrate pro-social behavior assessed through the Multidisciplinary Team and adherence to institutional rules and regulations, will be eligible to access the privileges associated with each phase, as outlined in the specific SAU and determined by institution security and operational needs. Phase assignment will be assessed through the SAU MDT's weekly discussions regarding each participant's progress toward their Individual Program Plan and individualized objectives. When considering appropriateness for phase progression, the MDT must consider whether the participant has met the expectations of their current phase (or has shown sufficient progress as individually defined). At the time of progression to the next phase, the participant will then gain access to the privileges associated with that program phase. Alternatively, if a participant is struggling to fully engage in programming or meet the expectations of their assigned phase, the MDT can recommend a return to a previous phase, which would result in the individual having access to the newly assigned phase. Phase privileges are in addition to the minimum requirements for out-of-cell time and program offerings as outlined in each SAU. No SAU shall provide phase privileges that are not accessible to incarcerated individuals housed in that institution's general population units.

1. Orientation
 - a. Orientation phase(s) at all SAU levels shall offer access to a unit television and playing cards for use during unstructured out-of-cell time.
2. Work Phases
 - a. Work phases at all SAUs shall offer all privileges associated with Orientation phase(s) and;
 - b. Each successive work phase in all SAUs shall offer access to additional items for use during unstructured out-of-cell time (sports equipment, games, books, etc.), access to out-of-cell unit community events (movies, facilitator-led activities, etc.), additional property allowances for in cell retention (personal television, sneakers, books, etc.), contact visits, unit employment opportunities, and access to congregate spaces accessible by general population incarcerated individuals (gym, library, etc.).
 - c. The SAU level and institution operations will dictate the specific work phase and rate at which the above privileges can be accessed.
3. Transition
 - a. Transition phase at all SAU levels shall offer all privileges associated with Orientation and Work phases; and
 - b. Additional privileges will include, at a minimum, access to additional unstructured recreation time as outlined in the unit schedule.

* Sanctions shall be imposed in accordance with 103 CMR 430.25, *Inmate Discipline* for individuals assigned to an SAU. In such instances, access to that privilege will be restricted while the incarcerated individual is serving the disciplinary sanction.