Addendum–01
Department Offender Disciplinary Procedures

Changes are:

Language was modified in Section II. A. 2. items a. and b. to read as follows:

a. If more than one infraction occurs as a result of a single incident in which there is more than one victim, the offender may be charged for the most serious offense or for each offense, as the supervisor deems appropriate.

b. If the offender is found with several items of contraband at the same time and place, the offender would be charged with the rule violation of possession of contraband and list all the seized items as evidence. However, if the offender assaults several staff members in a use of force in which contraband is found he may be charged with a battery infraction for each staff member assaulted, as well as an infraction for possession of contraband.

Section X. A. item 2. was deleted from the procedure.

Action

Each facility/unit head is responsible for developing local procedures.

The appropriate deputy director is responsible for compliance with this procedure.

The General Counsel is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the director.

This procedure is effective as indicated.


Distribution: Policy and Operations Manual
Department Website
# Department Offender Disciplinary Procedures

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Department Offender Disciplinary Procedures

Each facility head/district supervisor will ensure offenders receive due process before revoking earned credits when alleged to have violated the offender rules of conduct. This procedure is intended to provide guidance to staff in exercising discretion in the day-to-day operation of the department. It is not intended to, and does not grant any right on any offender as the right to due process protection comes from the Constitution. (4-4281, 4-ACRS-6A-03) Failure to strictly adhere to this procedure or others does not constitute a due process violation and does not require dismissal/re-hearing of the disciplinary report.

“Acts Constituting Rule Violation” (Attachment A, attached) of this procedure defines all offender disciplinary rule violations and specifies the allowable range of disciplinary sanctions authorized by the Oklahoma Department of Corrections (DOC) for each violation. The referenced attachment, containing the disciplinary rule violations, shall be posted at each facility for review by all offenders. (2-CO-3C-01, 4-4226, 4-ACRS-3A-02, 4-ACRS-3A-03, 4-ACRS-3A-04)

All personnel who work with offenders will receive training so that they are familiar with the rules of offender conduct, the rationale for the rules, and the disciplinary sanctions available. (4-4229) The administrative manager, Administrative Review Authority, will ensure the lesson plans for this training are submitted for approval in accordance with OP-100101 entitled “Training and Staff Development.” This procedure will be reviewed annually and a rulebook, including all chargeable offenses, penalties and disciplinary procedures, will be given to all offenders through facility orientation. (4-4227, 4-4228, 4-ACRS-3A-01, 4-ACRS-3A-02) To provide for uniformity of the hearings, the "Disciplinary Hearing Guide" (Attachment B, attached) is provided. The hearing officer is encouraged to utilize this attachment as a guide during the hearing.

I. General Information

A. Training Disciplinary Officers, Investigators and Staff (4-4229)

1. Facility heads and district supervisors will appoint employees, pay band H and above, to serve as disciplinary officers who will preside at the disciplinary hearings and impose the appropriate disciplinary sanction as required.

2. Disciplinary investigators and staff representatives will be designated as required.

3. Facility heads/district supervisors will ensure all disciplinary officers, investigators and staff are trained in the disciplinary process prior to assuming responsibilities in the process, at least annually thereafter, and as significant changes occur.
B. Definition of Terms

1. Staff Member

Staff member, as used in this procedure, refers to any employee, student intern, volunteer, employee associated with any contract facility, Career Tech employee and anyone else who works with offenders in an official capacity.

2. Reviewing Authority

The facility head or designee where the incident occurred and to whom the appeal is first submitted.

3. Administrative Review Authority

The director or designee to whom the misconduct appeal is submitted for final review.

4. Direct Involvement

The following activities constitute direct involvement in the disciplinary process and precludes the staff member from either conducting the disciplinary hearing or being a staff representative:

a. Directly witnessed the offense or reviewed/approved/prepared the “Offense Report” (DOC 060125A, attached).

b. Involved in or witnessed the events leading to and/or immediately following the offense.

c. Engaged in any activity which may compromise the ability to function objectively, e.g., family relationship between staff member writing the “Offense Report” and/or the hearing officer, the staff representative or a person involved in the offense (victim or witness).

d. Neither serving the “Offense Report” nor awareness of the offense constitutes direct involvement.

5. Disciplinary Hearing

The review of the evidence and the disposition of the misconduct report.

6. Time frames

Time frames will not include weekends and holidays except as indicated.
a. The disciplinary process, from the date the offender is charged to the conclusion of the disciplinary hearing, will not exceed seven days, excluding weekends and holidays. (4-4238)

b. Extensions for reasonable cause/s will be documented in writing and the justification will be attached to the offense report.

c. When it is necessary to extend the time limits set forth in this procedure, the offender will receive documented notification of the extension.

7. Private Contract Facility

Any private prison/jail or other non-departmental facility or contractor who has a contract with the Oklahoma Department of Corrections to house offenders assigned to the custody of the Oklahoma Department of Corrections.

8. Informal Resolution (4-ACRS-6C-01)

The attempt by staff to handle a rule infraction committed by an offender without having to document the infraction with an “Offense Report." This is at the discretion of shift supervisors/unit managers or higher, and can include informal discipline. Informal discipline may include, but is not limited to extra duty, written reprimand, level demotion, additional program requirements such as a “reflective report", or reduction/suspension of other privileges. Informal discipline shall be documented with an entry in the case notes, unit logs, or contact reports. If a level demotion occurs, this shall be documented by the facility classification committee. Informal resolution may be countermanded by the facility head, regardless if the informal resolution has been implemented.

9. Completion of an “Offense Report"

An “Offense Report" is not completed until after a supervisor has inspected and ensures that all errors have been corrected, an appropriate investigation has been conducted and the report is ready to proceed. Upon completion of the investigation, the investigator will submit the report to the appropriate supervisor for review. Upon approval of the offense report, the offender will be given notice of the hearing. The offender is considered “charged” upon receipt of notice of the offense report.

10. Language used in this procedure is to be understood in its ordinary sense unless defined otherwise in this procedure.
11. The preparation period is that period of time in which an offender can gather/identify facts, witnesses, documents, etc. in order to prepare a defense.

C. Guidelines for the use of Confidential Witness Testimony or Physical Evidence

1. If confidential witness testimony constitutes a portion of the evidence, the name and testimony of the confidential witnesses will be documented thoroughly, stating the facts as submitted by the witness and the manner in which knowledge of those facts were acquired. Such documentation will be signed by the confidential witness and/or the staff taking the testimony, placed in an envelope, and sealed. Should the informant decline or refuse to sign the statement the staff member taking the information will document such refusal.
   
a. An evaluation regarding the reliability of the confidential witness will be prepared by staff taking the testimony and attached to the sealed confidential witness testimony. This evaluation will be submitted with the “Investigator’s Report” (DOC 060125B, attached) to the supervising staff member.
   
b. Use of confidential testimony will only be used to protect the identity of the weak/vulnerable or if the release of such might pose a threat to the security of a facility, staff member, another offender, or any other person. Confidential information will not be accepted in exchange for avoiding charges, the granting or denial of privileges, or intervening in an offender’s current status.

2. Reports from other agencies, such as police arrest reports, or internal department reports, such as chronological reports, are not confidential material unless they contain the name or identity of a confidential informant, the release of which might pose a threat to the safety of the informant. If such information is contained in such a report, the information will be removed from the report and the report provided to the offender if the identity of the informant will not be revealed.

3. If confidential witness testimony is admitted in a disciplinary hearing, the anonymity of the confidential witness will be maintained. If it is not clear from the “Offense Report” and “Investigator’s Report”, the hearing officer will describe to the accused offender the substance of the confidential testimony in general terms so as to protect the identity of the witness and inform the offender of what evidence/information has been provided.
   
a. For the taped record, when the hearing convenes, the disciplinary officer will state in the presence of the offender if confidential testimony will be part of the evidence presented.
b. Confidential evidence will be reviewed by the disciplinary officer to determine the reliability of the confidential witness and whether the confidential testimony will be considered. If considered and found to be reliable and relevant, the disciplinary officer will submit the following written statement, which will include the offender’s name, number, offense, and date of offense:

“I have independently reviewed the reliability statement and confidential testimony and have found it to be sufficiently reliable.”

The statement will be signed by the disciplinary officer and read during the hearing. The offender and staff representative will not be present for this review.

4. If confidential physical evidence is used, it will be reviewed by the hearing officer, and it will be described to the offender in general terms, but the offender will not be allowed to possess the material. Examples of confidential evidence would be the plans for manufacturing weapons, bombs, drugs, etc.

D. Use of Pre-hearing Detention

The offender may be placed in pre-hearing detention prior to a hearing according to the guidelines established in OP-040204 entitled “Segregation Measures.” (4-4235)

E. Violation of Criminal Law

When an offender allegedly commits an act covered by a criminal law, the case may be referred to the appropriate district attorney or law enforcement agency for criminal investigation or for criminal prosecution. (4-4231)

F. Evidence

1. Physical material constituting evidence of the alleged violation will be confiscated, labeled, and secured in the facility’s designated area in accordance with OP-040109 entitled “Control of Contraband and Physical Evidence” and OP-040110 entitled “Search and Seizure Standards” and will be retained for one year following the final appeal in the disciplinary matter.

2. If such evidence is too voluminous to be readily secured, it may be photographed or photocopied and described in its original state. Samples and photographs or photocopies will be retained until the appeal process is complete; photographs or photocopies will also be attached to the “Disciplinary Hearing Report.”
3. Evidence relevant and/or material to the alleged offense will be viewed by the disciplinary investigator who will ensure a field test is completed if identification remains uncertain.
   a. If a photograph/photocopy of the evidence is not attached to the disciplinary paperwork, a detailed description of the evidence may be completed by the investigator during the investigation.
   b. A copy of the “Review of Evidence” form (DOC 060125P, attached) will be attached to the offense report if completed. If no such statement is available, the evidence, or the photographs/photocopies of the evidence, laboratory reports, etc., will be reviewed by the hearing officer during the hearing.
   c. If videotapes or audiotapes are part of the evidence, the hearing officer and the offender will review those items prior to or during the hearing and such review will be documented.

4. Breathalyzer, urinalysis, or blood tests will be administered in accordance with OP-030134 entitled “Chemical Abuse Testing.” If such test is administered, photocopies or photographs of the urinalysis results will be part of the evidence and attached to the “Disciplinary Hearing Report.”
   a. A list of current medications will be provided by the facility qualified health care provider for each offender who tests positive as a result of a chemical abuse test. This list of medications will be compared to the test kit package insert by the investigator or hearing officer to determine if any of the medication may have affected the test result.
   b. If the test kit is such that no photocopy can be made of the results of the urinalysis, then at least two staff members will prepare incident reports of their observations of the test and the results. Test kits utilizing human body fluids of any kind will be handled and disposed of as a contaminant in accordance with OP-030134 entitled “Chemical Abuse Testing.”
   c. Staff should use caution and not place the testing kits on any copy machine due to the biohazard the kits present to other staff members. If a photocopy must be made, the employee shall ensure the glass is cleaned and disinfected in accordance with universal precautions.
   d. Offenders supervised by probation and parole staff and who claim they were on medication must submit evidence to the investigator prior to the disciplinary hearing and make their
medical records available for review. Failure to do so constitutes a waiver of the issue.

e. Breathalyzer, urinalysis, or blood tests are not required to establish that an offender is under the influence of a chemical substance. In lieu of testing, staff members may document their observations of the offender (i.e., slurred speech, smell, uneven walk, etc.).

5. Photocopies of incident reports, witness statements or evidence, other than confidential witness statements or evidence, utilized for writing the “Offense Report” or discovered during the investigation will be provided to the offender at least 24 hours before the disciplinary hearing. Exceptions will be documented with justification. (4-4236, 4-ACRS-6C-02)

G. Errors

Clerical errors in a completed offense report will not invalidate the report. Corrections may be made by the reporting staff member, reviewing supervisor, investigator, hearing officer or by a supervisor. Copies of corrections will be provided to the offender. If the offender could have not known of the correct information and the information is material to a determination of guilt, an additional 24-hour preparation period will be offered and provided unless it is waived by the offender. Items such as misspelled names, incorrect DOC number or failure to put am/pm on reports are not always material and can be verified and corrected at the hearing without an extension.

H. Amendment of Rule Violation

A charge may be amended by the use of “Amendment of Rule Violation” (DOC 060125G, attached). The offender will be notified and offered an opportunity of 24 hours to prepare if the hearing is already scheduled to be conducted within 24 hours of service of the amended disciplinary charge. A charge may be amended by the approving supervisor, hearing officer or investigator.

II. The Disciplinary Procedures Process

A. Filing of “Offense Report” (4-4230, 4-4232, 4-4233, 4-ACRS-6C-01)

1. Upon the reasonable belief that a violation of rules has occurred, an “Offense Report” may be prepared by any staff member or volunteer. The offense should be reported, investigated and approved by the appropriate staff member, pursuant to Section I. B. item 9. of this procedure, at which time the offender is officially “charged” with the offense. A hearing should be scheduled no later than seven days from the date the offense is approved for hearing, excluding
weekends and holidays. (4-4238)

2. Occurrence of Disciplinary Infractions

a. If more than one infraction occurs as a result of a single behavior in which there is more than one victim, the offender may be charged for the most serious offense or for each offense, as the supervisor deems appropriate.

b. Sequential infractions may be the basis for additional charges and sanctions. Sequential is defined as the following of one thing after another. For example, if the offender is found with several items of contraband the offender would be charged with the rule violation of possession of contraband and list all the seized items as evidence. However, if the offender assaults several staff members in a use of force in which contraband is found he may be charged with a battery infraction for each staff member assaulted, as well as an infraction for possession of contraband.

3. The “Offense Report” will identify a specific rule violation as outlined in Attachment A entitled “Acts Constituting Rule Violation” to give the offender notice of the offending behavior, as well as the date and approximate time of the behavior, to allow for preparation of a defense. (4-4230, 4-4236, 4-ACRS-6C-02) The reporting employee should ensure that the “Offense Report” contains the elements of who, what, when, where and how before it is submitted. (4-4233)

4. The “Offense Report” will be submitted to the appropriate shift supervisor/unit manager/team supervisor in a timely manner. The supervisor will review the report to ensure it is complete, correct, legible, and understandable. If necessary, the offense report will be corrected by the supervisor or returned to the writer for corrections.

a. The offense report will be logged on the “Mental Health Disciplinary Process Consultation Log” (DOC060125M, attached). The log will be submitted to the mental health authority or designee as specified in local procedures.

b. For offenders with mental health classification level of B, C1, C2 or D, the mental health authority or designee will complete a “Mental Health Recommendations Regarding Offender Discipline” form (DOC 060125R, attached) and return the form, along with the log, to the assigned investigator within 48 hours of receipt, excluding weekends and holidays. (4-4399)

c. The “Mental Health Recommendations Regarding Offender Discipline” form will remain with the original copy of the offense report throughout the remainder of the disciplinary process.
d. Each facility will develop local procedures for the completion of
the "Mental Health Recommendations Regarding Offender
Discipline" form; ensuring the form is completed and returned
to the investigator prior to review/approval of the offense report
by the appropriate supervisors.

e. When the offender has been given notice of the offense and
the offense has been approved, the process is then
considered “formal.”

5. The supervisor may recommend informal disposition prior to
approving the charge of offense through a verbal warning, dismissal
due to lack of evidence, or take informal action based on the mental
health authority/designee’s recommendation on the "Mental Health
Recommendations Regarding Offender Discipline" form. In such
cases, the offender and appropriate staff will be notified. (4-ACRS-6C-01)

6. If an “Offense Report” was written, but the decision was made to
handle the infraction informally, the report must still be logged on the
“Facility Misconduct Report Record” completed at the end of each
month.

B. Investigation

The investigation of the alleged offense will normally be the responsibility of
the facility where the offense occurred. The investigator is to act as a neutral
party by making no determination of guilt or innocence. The investigator is
responsible for gathering all relevant evidence and/or witness statements
and will accept any documentary evidence submitted by the offender during
the investigation. (4-4243)

1. If the offender chooses to plead guilty during the investigation or when
served, the investigator will insure the offender initials the appropriate
line on Section III of the “Offense Report” and signs and dates the
form as required.

   a. If a guilty plea occurs during the investigation, the investigator
      will approve the misconduct. The offender will be provided a
      copy of the completed form.

   b. The disciplinary packet will then be forwarded to the
      disciplinary officer, without any further investigation. Upon
      receipt, the disciplinary officer will determine and impose
discipline without a hearing.

2. If the offender pleads guilty at the hearing, the “Investigator’s Report”
will remain a part of the “Offense Report.” An audio recording of the
disposition and imposition of discipline is not required when the offender waives a hearing or pleads guilty. If the offender pleads guilty during the hearing, the audio recording may be stopped after the offender states his plea.

3. Coercion by the investigator, hearing officer or the staff member serving the “Offense Report” to the offender for a guilty plea or dismissal of charges is prohibited. Coercion is defined as the actual or threatened use of physical force or the actual or threatened withholding of a right or benefit to which the offender is entitled under P-030100 entitled “Provision of Services/Offender Rights and Responsibilities.”

4. If an offender chooses to plead guilty after an initial plea of not guilty, the staff person will record the guilty plea on the “Change of Plea” form (DOC 060125N, attached) with the plea acknowledged by both the offender and staff person.

5. When an alleged rule violation is reported and referred for investigation, the investigation will be initiated within 24 hours of the date the incident is reported. The investigation will be completed without unreasonable delay unless circumstances dictate a need for delaying/extending the investigation. (4-4234)

6. Investigations should be conducted in the following manner:

   a. The disciplinary investigator should review the “Offense Report” and complete the “Investigator’s Report” as it relates to the offense. An investigation will be performed by speaking to the accused offender, and any witness who has not yet provided a written statement, or whose statement is not understandable or legible. Additional facts will be submitted by the investigator which includes all relevant information pertinent to the charge, to include any mitigating or exculpating information (that information which indicates innocence). As a neutral party, the investigator will not include personal opinions or recommend acceptance or dismissal of charges. Upon the offender choosing to plead guilty, the investigator will approve the misconduct and the offender may be served.

   b. If the offender refuses to cooperate in the investigation, the failure to cooperate will be documented, and the investigation will be completed and the investigator’s report form will be completed in its entirety.

7. Investigators are responsible for ensuring that the offender’s “Consolidated Record Card” (front and back of the card) is attached to the disciplinary paperwork for review by the disciplinary hearing officer. The offender does not receive a copy of this documentation.
8. Upon completion of the investigation the disciplinary packet will be submitted to the appropriate supervisor for review and disposition of the offense.

C. Service of the “Offense Report”

1. The “Offense Report” will be served to an offender within 48 hours after the offense report has been referred for investigation or as promptly as practicable, but no less than 24 hours prior to the disciplinary hearing. (4-4236) Offense reports for escape do not have to be served until the offender is returned to a DOC facility.

2. If the offender is unable or unavailable to receive a copy of the “Offense Report” within the 48 hours, it will be documented in writing and attached to the completed report. It will be presented to the offender promptly after availability occurs, but in all cases no later than 24 hours before the disciplinary hearing is conducted. (4-4236, 4-ACRS-6C-02) It will be the responsibility of the originating facility to ensure the disciplinary process is completed within a reasonable time frame.

3. Upon service of the “Offense Report” to the offender, the employee will ensure Section III of the report is completed before a copy is given to the offender.

4. The offender may waive the right to a disciplinary hearing and/or plead guilty. The staff member serving the offender will ensure the offender understands that waiving the right to a hearing will constitute a plea of guilty. When the offender waives a hearing or pleads guilty there will be no formal hearing. The waiver or plea of guilty also constitutes a waiver of the appeal process by the offender. Waivers or guilty pleas will be documented and reviewed by the facility head/designee. (4-4230, 4-4237)

5. If the hearing is not waived, the offender will be offered the opportunity for a 24-hour preparation period, beginning at the time the offender is provided notice by service of the “Offense Report.” (4-4238, 4-ACRS-6C-03)

6. Offenders pleading guilty during the investigation will be provided a copy of the “Offense Report.” Investigators will insure Section III is completed before a copy is provided.

D. Witnesses Requested by Offender

The offender will be given the opportunity to make a statement and present documentary evidence to the investigator and the hearing officer. The offender may request witnesses on the offender’s behalf. (4-4242)
1. In regard to witnesses, the disciplinary investigator may elect to take statements in lieu of allowing direct testimony at the disciplinary hearing, disqualify a witness if testimony is not material to the offense (e.g., character witness), or may limit the number of witnesses if the testimony is repetitive and/or duplicative. The investigator may also disqualify any proposed witness who has no direct knowledge of the incident. Any discretionary action taken by the investigator as to a witness must be documented by utilizing the “Witness Discretionary Action Record” (DOC 060125I, attached) and attached to the “Investigator’s Report.” (4-4242)

2. Whether the offender requests or presents witnesses or not, the offender will so indicate by initialing the appropriate box of the “Investigator’s Report.” When written statements are taken, the investigator will document the review by completing the “Witness Discretionary Action Record” (DOC 060125I).

3. Reasonable attempts will be made to locate all identified witnesses; however, it is the offender’s responsibility to provide sufficient information to properly identify a witness. If an offender refuses to identify a witness it will be the offender’s responsibility to gather any statements and provide them to the investigator. Such statements must be verifiable or will not be considered credible.

4. Witnesses who decline to provide a statement will not be forced to provide a statement or made to testify.

5. Offenders may only request witnesses during the investigation of the offense. However, offenders may present witness statements directly to the hearing officer at the hearing. Such witnesses must be verifiable or may not be considered reliable by the hearing officer. If the offender fails to request witnesses from the investigator and fails to provide any witness statements to the hearing officer, this constitutes a waiver by the offender.

III. Assignment and Responsibilities of Staff Representatives

A. Assignment of a Staff Representative (4-4243)

Any offender may request the services of a staff representative; however, a staff representative will be assigned only when an offender is incapable of understanding the charge or presenting a defense or as specified in Section III. A. item 2. of this procedure. The staff representative will assist prior to and during the hearing. Being placed in SHU does not preclude the offender from presenting a defense. “Incapable of presenting a defense” refers to mental capacity.
1. If a staff representative is assigned during the investigation, the offender and his/her representative will be provided the opportunity to meet and prepare prior to the scheduled hearing. The assigned staff representative will document all meetings with the offender.

2. During the investigation, the investigator will determine if the offender is incapable of presenting a defense, is incapable of understanding the charge, or when an interpreter may be required. If the investigator determines a staff representative is warranted, the “Assignment of Staff Representative” form (DOC 060125U, attached) will be completed by the investigator. A copy will be included with the “Investigator’s Report” form (DOC 060125B).

3. A list of trained staff representatives and interpreters will be maintained by the facility head or designee. A list of staff representatives trained and experienced in matters concerning offenders with mental illness and cognitive impairments will be maintained by the facility head or designee and assigned to offenders with mental health level B, C1, C2, or D as needed.

B. Responsibilities of the Staff Representative (4-4243)

1. The staff representative will attend the disciplinary hearing with the offender.

2. The staff representative will be impartial in the roles and responsibilities as defined:

   a. Will consult with the offender before the hearing;

   b. Will explain the charge against the offender and the potential consequences;

   c. Will explain the ramifications of a guilty plea;

   d. May assist the offender in investigating and presenting evidence in the offender’s behalf; and

   e. May advocate for the offender at the hearing and present his/her case.

3. The staff representative may question all witnesses, except confidential witnesses.

IV. Disciplinary Hearings

A. Offender Disciplinary Hearing
Disciplinary hearings of rule violations will be conducted by an impartial disciplinary officer who has had no direct involvement. (4-4240) A written record will be made of the decision and the supporting reasons.

1. Copies of the “Disciplinary Hearing Report” will be distributed as follows:
   a. The original will be maintained in the offender commitment document folder in accordance with OP-060212 entitled “Maintenance and Access of Offender Records.”
   b. A copy will be provided to offender.
   c. A copy will be filed in section 6 of the offender field record.
   d. A copy will be maintained by the facility head. (4-4245, 4- ACRS-6C-03)

2. The disciplinary hearing will commence within seven days from the time the offender is charged with the offense, excluding weekends and holidays. (4-4230, 4-4238)

3. Postponement or continuance of the hearing may be granted in writing for a reasonable period of time for reasonable cause utilizing the “Disciplinary Hearing Postponement” form (DOC 060125O, attached). (4-4239) A copy of the “Offender Disciplinary Hearing Docket” (DOC 060125E, attached) may be attached to the “Disciplinary Hearing Report.”

4. Any delay in the hearing will be documented, giving an approximate date and time of the rescheduled hearing. This will be attached to the “Disciplinary Hearing Report” (DOC 060125C, attached) and a copy provided to the offender. (4-4239) Documentation regarding the postponement/delay in the disciplinary hearing is only necessary if exceeding the seven day time frame.

5. If the offender has been transferred, the receiving facility may agree to hold the disciplinary hearing. Witnesses will be provided as necessary by the sending facility. All documentation will be made available by the sending facility at the hearing.

6. The entire disciplinary hearing will be digitally recorded with a digital recorder unless the offender pleads guilty. Each hearing will be recorded separately. The digital recording will be the audio record of the hearing. These recordings will be maintained for 90 days from the date of decision of the director or director’s designee.

7. Only evidence presented during the hearing may be considered when determining guilt or innocence. (4-4244, 4-ACRS-6C-03) An
An offender's prior disciplinary record and the evidence presented during the hearing may be considered when determining discipline for an offense. (4-ACRS-6C-04) An offender's prior disciplinary record may be considered as evidence of habit or pattern of behavior in similar incidents, and can be used when considering the credibility of the reporting employee and/or offender.

8. Any evidence the offender has not seen prior to the hearing may be presented during the hearing and the offender will be offered the opportunity to view it. Such action will be documented in writing by the hearing officer.

9. Original disciplinary reports regarding dismissed disciplinary actions will be maintained in the files maintained by the facility head for a period of two years from the date of the incident, then destroyed.

B. Disciplinary Hearing Guidelines Conducted Via Telephone

1. In appropriate circumstances, the hearing may be conducted by speakerphone hookup whereby all parties are able to hear and communicate at all times.

2. The offender will be identified to the disciplinary hearing officer by a staff member at the holding facility.

3. The telephone hearing will be noted on the "Disciplinary Hearing Report" form.

4. Actions requiring offender signature will be acknowledged by the disciplinary officer by audio record.

5. Copies of the findings will be forwarded to the offender upon completion of the due process review.

6. Time limits for the appeal begin upon the offender's receipt of the offense report due process review.

C. Presence of Offender During Hearing

1. The offender will normally be present throughout the hearing, with the exception of the period of deliberation and when confidential information is reviewed. (4-4241)

2. Should the behavior of the offender warrant removal from the hearing or denial of attendance, such removal or denial will be documented and attached to the "Disciplinary Hearing Report" form. The hearing will proceed without the offender present. (4-4241)
3. If the offender refuses to attend the hearing, it will be documented and the disciplinary officer will impose discipline without a hearing, as the refusal to attend constitutes a waiver by the offender to an opportunity for a hearing or an appeal. (4-4241)

D. Finding

1. Upon a finding of guilt, the offender will be informed of the evidence relied upon for such finding, the basis for the discipline imposed, and the opportunity to appeal. Such findings will be documented in the appropriate sections of the “Disciplinary Hearing Report” form.

2. The finding of guilt on the “Disciplinary Hearing Report” form must be documented by a written statement by the disciplinary officer and a copy provided to the offender. The reasons must point out the essential facts upon which inferences were based, mentioning what evidence the reporting officer relied on. (4-4245, 4-ACRS-6C-03) The statement regarding the evidence relied upon for the finding of guilt shall specify the offending behavior of the offender. The finding of guilt utilizing a chemical abuse test should indicate for which drug the offender tested positive, as well as identify any contraband found and/or field-tested.

3. The discipline will be imposed as outlined in the allowable range of disciplines as listed in Attachment A entitled “Acts Constituting Rule Violation” (page eight). Assessment of sanctions may be tailored to individually address the behavior of each offender. Up to four sanctions may be imposed. There are no mandatory sanctions. (4-ACRS-6C-04)

4. The original, complete offense report, less confidential material and the hearing tape, will be forwarded to the facility’s records office for proper notation on the “Consolidated Record Card” (DOC 060211H), and inclusion in the offender’s commitment folder, computerized record and trust fund account, as required, following the due process review. (4-4245, 4-ACRS-6C-03)

E. Suspension of Discipline

The allowable discipline may be suspended for a specified period not to exceed 90 days. There will be no partial suspension of a single sanction. If the offender is found guilty of another offense during the period of the suspended discipline, the suspension will be revoked by the disciplinary officer to run consecutive to the new discipline. A revoked suspended discipline will not be viewed as one of the disciplines imposed for the new offense. Failure to revoke a suspended disciplinary sanction involving a loss of earned credits will be corrected by a records officer or sentence administration auditor when the error is discovered during an audit. A sanction of disciplinary segregation may be excused if the offender is
transferred to a higher security facility based upon his receipt of a disciplinary misconduct.

F. Review of Disciplinary Actions

The facility head/district supervisor or designee will review all disciplinary actions within two days or as promptly as practicable, after completion of the hearing and may affirm, dismiss, modify, or order a rehearing (4-4247).

1. Modification may be made by the facility head for offenders who are assigned mental health level B, C1, C2 or D and who are incapable of understanding the charge, presenting a defense, or require an interpreter and who receive a misconduct that threatens life or health of others, or security of the facility. Written documentation will be attached by the mental health authority to the “Mental Health Recommendations Regarding Offender Discipline” form.

2. The offender will receive a completed copy of the “Disciplinary Hearing Report” form. (4-4245, 4-ACRS-6C-03)

3. During the review of the “Disciplinary Hearing Report” form, the facility head/district supervisor or designee may order a rehearing on a finding of not guilty or if a charge was dismissed by the disciplinary hearing officer, if he or she determines that there is any cause to do so.

4. The decision as to the final disposition of an “Offense Report” is not final until the facility head/district supervisor or designee signs off on the “Disciplinary Hearing Report” form.

5. Administrative action, such as transfer or assignment to another program or job, or assignment to another earned credit level, after a finding of guilt, a plea of guilty or no contest plea, will not be construed as discipline as they are the normal incidents of incarceration.

6. Upon completion of disciplinary action resulting in a finding of guilt, which has been reviewed by the facility head/district supervisor or designee, notice will be forwarded to the unit team for immediate classification action as required.

G. Finding of Not Guilty

1. Should there be a finding of not guilty, and no rehearing was ordered by the facility head/district supervisor, the disciplinary report will not be placed in the offender's field file and will not be used to discipline the offender. (4-4246)
2. The disciplinary report shall be maintained in the facility file for two years from the date of the incident and then destroyed.

3. The acts committed by the offender may be used in the classification process, as a finding of guilty only addresses the amount of evidence needed to revoke earned credits.

V. Appeal Process

A. Due Process Review by the Facility Head/District Supervisor (4-4248, 4-ACRS-6C-03)

1. The offender will have 30 calendar days after receipt of the decision of a finding of guilt to submit an appeal to the facility head/district supervisor of the facility conducting the hearing. The appeal will not be submitted by any other person. The facility head/district supervisor should complete the due process review within 30 calendar days of its receipt and the offender will receive a completed copy. (4-4248) In conducting the due process review, the reviewer will respond to each due process issue raised by the offender.

2. The appeal form must be written in blue or black ink only. No pencil, other color ink, or highlighting will be accepted. The appeal may contain no extraneous markings, doodling, or borders. The margins will be kept free from language or markings of any type.

3. Any offender submitting an appeal will specifically state the grounds for the appeal. Issues not raised are waived. Offenders will use the “Offender Misconduct Appeal Form” (DOC 060125L, attached). All instructions contained in the procedure and on the form will be followed by the offender, or the appeal will be returned. If permitted by the reviewer, the offender must properly resubmit the appeal within 10 calendar days of receipt of notice of the error(s).

4. In conducting the due process review, the facility head/district supervisor or designee will base the decision on the applicable factors as cited on the “Offender Misconduct Appeal Form” (DOC 060125L).

5. Rehearing’s should be conducted within 30 calendar days from the date of the order, unless circumstances dictate otherwise. The same hearing officer can conduct the rehearing, unless it was determined that the hearing officer was directly involved in the incident. The level of discipline will not be increased from the original hearing. A copy of the first disciplinary hearing paperwork will be attached to and accompany the rehearing paperwork.

6. For offenders found guilty of an offense, the “Investigator’s Report,” “Disciplinary Hearing Report,” “Offense Report” form, all evidentiary material, a copy of the appeal and completed due process review
form and the digital recording of the disciplinary hearing will be maintained at the facility.

a. The original of the entire offense report and all related material, to include the appeal, will be maintained at the facility.

b. All offense reports copies will be maintained in storage for two years by the facility and the originals will always be made a permanent part of the DOC offender commitment document folder. (4-4240, 4-4245)

7. There is no mailbox rule regarding disciplinary appeals. The offender’s appeal must be received in the facility head’s office or director’s office within the required time frame.

8. If there has been no response from the reviewing authority within 30 calendar days of submission, the offender may initiate the grievance process as specified in OP -090124 entitled “Offender Grievance Process.” The offender may grieve only that his appeal has not been answered within the specified time frame and may not include the issues raised in the misconduct appeal.

9. If the offender appeals the finding of guilt of the facility head/district supervisor decision, the administrative review authority will notify the facility by email that all of the following paperwork must be available at the designated website within three working days: the “Investigators Report,” the “Disciplinary Report,” the “Offense Report,” all evidentiary material, a copy of the appeal and completed due process form, and the digital recording of the disciplinary hearing.

B. Appeal to the Director

1. The offender may appeal the final decision of the facility head/district supervisor to the director within 30 calendar days of receipt of the due process review by submitting it to:

   Administrative Review  
   Department of Corrections  
   P.O. Box 11400  
   Oklahoma City, Oklahoma 73111-0400

2. The offender may appeal the reviewing authority’s response to the misconduct on the following grounds only:

   a. Newly discovered/available evidence not considered by the reviewing authority, relevant to the issue, necessary for a proper decision, and why the evidence was not previously available which, if considered, may alter the decision. The
offender must clearly state the newly discovered/available evidence and why it was not presented earlier.

b. Probable error committed by the reviewing authority in the decision such as would be grounds for reversal. The offender must clearly state the error committed, including the specific element of due process that was not provided by the reviewing authority.

3. When submitting an appeal to the director, the offender will submit only the “Misconduct/Grievance Appeal Form To Administrative Review Authority” (DOC 060125V, attached) to the administrative review authority. The appeal will not be submitted by any other person. Multiple pages may not be reduced in size and placed on one page or be affixed together to count as one page. The offender may utilize only the back of the appeal form to provide extra comments. Each appeal will be submitted in a separate envelope.

4. The director or designee will review the appeal within 20 working days of receipt by affirming, dismissing, modifying the decision or remanding with instructions. The decision of the director or designee is final. If a rehearing is ordered by the director or designee, the rehearing should be conducted within 30 calendar days from the date of the order unless exceptional circumstances dictate otherwise. A copy of the first disciplinary hearing paperwork will be attached to and accompany the rehearing paperwork. Once conducted, documentation of the rehearing or order of dismissal will be maintained at the facility. The facility conducting the rehearing will be responsible for answering the due process review.

5. The director’s response will be sent to the facility head/district supervisor. The offender will be provided the director’s response. Each response will be dealt with and recorded according to privileged mail procedures.

6. Should the offender be unavailable (i.e., transfer or out witness), a notation of such fact will be made on the form and a copy will be mailed to the offender through the facility head of the confining facility.

7. Any offense report that is remanded for a rehearing will be returned to the appropriate facility for action.

8. Offenders will be charged a $2.00 processing fee for each misconduct appeal submitted to the administrative review authority in accordance with 57 O.S. § 566.4.I. Offenders will not be refused access to the administrative review authority because of their financial status. If there are not enough funds to cover the cost, the amount will be collected as soon as funds become available. After answering the appeal, the administrative review authority will submit a copy of the
appeal form to the facility trust fund officer at the facility where the offender is currently housed, for the $2.00 fee to be entered into the system as "Legal Co-Pay." In the event relief is granted, no fee will be assessed.

C. Corrected Appeals

The offender will be given only one opportunity by the Reviewing Authority and only one opportunity by the Administrative Review Authority to correct any procedural errors made by the offender when submitting the appeal. The corrected appeal must be received by the Reviewing Authority/Administrative Review Authority in ten days of receipt by the offender of notice of the error(s). If the offender fails to correct the error(s) when advised of such, the appeal will be deemed to have been waived by the offender. This process does not apply to an appeal found to be out of time.

D. Judicial Appeal

Following disposition by the director’s designee of a misconduct appeal with a finding of guilt resulting in the revocation of earned credits, the offender may file a petition designated by the administrator of courts to the Oklahoma County District Court for judicial review. The petition shall be filed within 90 calendar days.

VI. Submitting a Disciplinary Appeal Out of Time

A. Denial of Appeal

1. Once a disciplinary appeal has been denied by the reviewing authority and the administrative reviewing authority due to the appeal not being submitted in a timely manner, the offender may make one request to submit a disciplinary appeal out of time by completion of the “Request to Director to Submit a Misconduct/Grievance Appeal Out of Time” form (DOC 060125T, attached).

2. The request may only be submitted to the director and must be received within 30 calendar days of the date of denial of the untimely disciplinary appeal by the administrative reviewing authority.

3. The offender must prove by substantial evidence that he/she did not submit the disciplinary appeal in a timely manner through absolutely no fault of his/her own.

4. If the request to submit an untimely disciplinary appeal is granted, the offender will be directed to resubmit the disciplinary appeal with the facility reviewing authority within 15 calendar days of the director’s decision. If denied relief by the facility reviewing authority, the offender must appeal the decision to the administrative reviewing
authority within 15 calendar days of the date the reviewing authority denied relief.

5. Offenders will be charged a $2.00 processing fee for each request to submit an appeal out of time to the administrative review authority. Offenders will not be refused access to the administrative review authority because of their financial status. If there are not enough funds to cover the cost, the amount will be collected as soon as funds become available.

   a. After answering the request, the administrative review authority will submit a copy of the appeal form to the facility trust fund officer at the facility where the offender is currently housed for the $2.00 fee to be entered into the system as “Legal Co-Pay.”

   b. In the event there is just cause to file out of time and the appeal is accepted, no fee will be assessed.

VII. Notification of Pardon and Parole Board Authorities

A. Parole Consideration

   Should the affected offender be scheduled for parole consideration within 60 calendar days following the occurrence of any offense, the facility head will ensure a photocopy of the “Offense Report” and “Disciplinary Hearing Report” is forwarded to the Pardon and Parole Board with the docket date indicated at the top. The Pardon and Parole Board will be verbally notified if a misconduct conviction occurs within seven days prior to a parole board appearance.

B. Appeal Process

   If the “Offense Report” is later dismissed during the appeal process, the Pardon and Parole Board will be notified if the offense report has been reported to that agency.

VIII. Dismissal of the Offense Report (4-4246)

A. Expungements of Records

   Upon receipt of the written notification regarding dismissal of an offense report, the facility head/district supervisor will ensure the following occurs:

   1. All copies of the report are removed from the offender field file and commitment document folder and destroyed. The original of the dismissed “Offense Report” and all attachments, evidence, etc., will be maintained in a file at the facility for two years with access limited to the facility head, investigators or Special Report writers to be used
in responding to offender lawsuits or preparing for criminal prosecution.

2. The acts committed by the offender may be used in the classification process as provided for in Section IV. G. item 3. of this procedure.

3. All notations of the offense report are to be deleted from the disciplinary records portion of the "Consolidated Record Card," local records or picture cards, and from any computer record. This excludes the “Facility Misconduct Report Record” (DOC 060125D, attached), which will be maintained for statistical purposes.

4. The Pardon and Parole Board must be notified of a return of an offender to the Pre-Parole Conditional Supervision Program.

B. Restoration of Revoked Earned Credits

If any earned credits were revoked as a result of a determination of guilt in the disciplinary hearing, those earned credits will be restored to the offender’s record. The restoration of earned credits does not include any time held in segregation, assignment to level 1 earned credits, or placement in an unassigned status.

IX. Variations of Normal Procedures for Offenders Supervised by Probation and Parole/Community Corrections

A. Time Frames

The “Offense Report” will be served to the offender within five working days of acceptance by the team supervisor. Variations will be justified in writing and the justification attached to the “Offense Report.” The hearing will be conducted within seven days of the offender’s receipt of the “Offense Report.”

B. Accepting of “Offense Reports”

Team supervisors may accept “Offense Reports” by telephone. Such acceptance will be indicated on the report.

C. District Review

The district supervisor or designee will review all disciplinary reports resulting in a finding of guilty within five days after completion of the hearing, and may affirm, dismiss, modify or order a rehearing. The offender will receive a completed copy of the “Disciplinary Hearing Report” form.

D. Program Removal Hearing
1. For those offenders remaining on Pre-Parole Conditional Supervision (PPCS) and the Electronic Monitoring Program (EMP), the procedures outlined in “Program Removal Hearings” will be utilized.

2. For those offenders assigned to the Global Positioning Satellite (GPS) Program, the procedures outlined in the “Program Removal Hearings Procedures For Those Offenders Assigned to PPCS, EMP or GPS Programs” form (Attachment C, attached), will be utilized.

3. Hearing officers are encouraged to utilize the “Program Removal Hearing Guide” (Attachment C) during the hearing.

4. Following the Program Removal Hearing and upon receipt of the “Program Rule and Condition Violation Hearing Action” form (DOC 060125K, attached), the offender will have 30 calendar days to submit an appeal to the facility head/district supervisor.

   a. Any offender submitting an appeal will specifically state the grounds for the appeal. Issues not raised are waived. Offenders will use the “Offender’s Rule and Condition Violation Appeal Form” (DOC 060125Q, Page 1 of 2, attached). All instructions contained in the procedure and on the form will be followed by the offender or the appeal will be returned.

   b. If allowed, the offender must properly resubmit the appeal within ten calendar days of receipt.

5. The facility head/district supervisor will complete a response within 30 calendar days of receipt on the “Offender’s Rule and Condition Appeal Form Due Process Review” (DOC 060125Q, Page 2 of 2, attached), and the offender will receive a completed copy. In responding, the reviewer will respond to each due process issue raised by the offender.

E. Deferred Hearing Process (4-ACRS-3A-07, 4-ACRS-6C-01, 4-ACRS-6c-04)

For those offenders assigned to community security facilities, to include community contract facilities and who have no prior disciplinary convictions in the previous twelve months; shall be eligible to have pending disciplinary actions administered through the deferred hearing process in place of the standard hearing process outlined in this procedure.

1. Only class A and class B rule violations may be administered under the deferred hearing process. No offender having a pending deferred offense who is charged with an additional rule violation will be eligible for an additional deferred hearing under this process.
2. The deferred hearing process is located in Attachment D (attached), entitled “Deferred Hearing Process for Rule Violations.”

3. To initiate the deferred hearing process, the offender will be served with a copy of the “Notice of Deferred Hearing Process for Misconduct Rule Violation” form (DOC 060125S, attached).

X. **Authority to Intervene**

A. **Intervention of Disciplinary Action**

1. The director or respective deputy director retains authority to intervene in any disciplinary action at any stage.

2. After the “Offense Report” is reviewed and sustained by any court or the director of the Department of Corrections or designee, no staff member will intervene or change in any manner, the findings. Should any person take such action, it will be a nullity and the action reversed when discovered.

XI. **Reporting Requirements**

A. **Misconduct Reporting**

1. Each facility/district will designate a staff member to enter all misconduct reports with a finding of guilt into the Offender Management System (OMS) as specified by local procedures.

2. The facility head/district supervisor or designee will maintain the “Facility Misconduct Report Record” (DOC 060125D) for statistical purposes. All offense reports will be entered onto the “Misconduct Report Record.”

XII. **Variations of Normal Procedures for Offenders Housed at Private Prisons**

A. **Disciplinary Authority**

1. Offenders from DOC will also be subject to the rules and regulations of the contract private prison facility. Nothing contained herein will be construed to authorize or permit the imposition of a type of discipline prohibited by applicable laws. The contract private prison facility will have physical control and the power to exercise disciplinary authority in accordance with the disciplinary process outlined in this procedure, over all offenders from DOC provided:

   a. The disciplinary action is reasonable and proportionate in relation to the violation;

   b. The action taken is impartial and nondiscriminatory;
c. The action is neither arbitrary nor retaliatory;

d. The discipline is not physically abusive; and

e. Accurate, detailed reports of all disciplinary actions against DOC offenders are to be provided to the Private Prison and Jail Administration Unit within seven working days of the date the action is finalized or the discipline is administered.

2. Administration of a disciplinary sanction must comply with the requirement for due process and must be reviewed by the private prison and jail administrator or designee.

XIII. References

P-030100 entitled “Provisions of Services/Offender Rights and Responsibilities”

OP-030134 entitled “Chemical Abuse Testing”

OP-040109 entitled “Control of Contraband and Physical Evidence”

OP-040110 entitled “Search and Seizure Standards”

OP-040204 entitled “Segregation Measures”

OP-060212 entitled “Maintenance and Access of Offender Records”

OP-090124 entitled “Offender Grievance Process”

57 O.S. § 138, 510 (8)

57 O.S. § 564.1

57 O.S. § 566.4.l.


Waldron v. Evans, 861 P2d 311 (Okla Crim. 1993)

Canady v. Reynolds, 880 P2d 391 (Okla Crim. 1994)

Dunn v. Ramsey, 936 P.2d 347 (Okla Crim. 1997)
XIV. **Action**

Each facility/unit head is responsible for developing local procedures.

The appropriate deputy director is responsible for compliance with this procedure.

The General Counsel is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the director.

This procedure is effective as indicated.

Replaced: Operations Memorandum No. OP-060125 entitled “Department Offender Disciplinary Procedures” dated December 6, 2010

Distribution: Policy and Operations Manual
Department Website
### Referenced Forms

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