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ADMINISTRATIVE REGULATION
NUMBER 651

OPR: HEALTH SERVICES

SUBSTANCE USE DISORDER TREATMENT SERVICES

I. GENERAL

This Alabama Department of Corrections (ADOC) Administrative Regulation (AR) establishes the policies, procedures, and responsibilities for the provision of substance use disorder treatment services to inmates within ADOC custody.

II. POLICY

It is the policy of the ADOC to ensure that inmates within ADOC custody are screened to identify potential substance use disorders and, where clinically indicated, referred for evidence-based Substance Use Disorder Treatment services at designated ADOC facilities.

III. DEFINITIONS AND ACRONYMS

- A. **Aftercare Program**: SUT services are available to inmates within ADOC custody, who still need continuing SUT services after completing either the Crime Bill Program, the Substance Abuse Program, or the Therapeutic Community Program, that are provided for the duration of incarceration within ADOC custody.
- B. **Behavioral Interventions**: Relevant and clinically based written assignments that focus on changing actions concerning substance use disorder and at-risk behaviors.
- C. **Co-Occurring Disorder Program**: SUT services that are available to inmates, who are in need of both SUT services and mental health services, that are provided for a minimum of eight (8) weeks.
- D. **Crime Bill Program**: Intensive SUT services available to inmates within ADOC custody, who are either court-ordered or volunteer to participate, that are provided for a minimum of six (6) months.
- E. **Helping Women Recover (HWR) Program**: Less-intensive, gender-specific SUT services available to female inmates within ADOC custody, who either are court-ordered, are recommended, or volunteer to participate, that are provided for seven (7) weeks.

- F. **Medication Assisted Treatment (MAT)**: SUT services available to inmates within ADOC custody, who are diagnosed with certain substance-use disorders, that use a combination of medication with appropriate counseling and behavioral therapies provided by ADOC staff and the Vendor medical and mental health staff.
- G. **Pre-Treatment Program**: SUT services that combine the Relapse Prevention Program and the Co-Occurring Disorder Program.
- H. **Priority Code (P-Code)**: An ADOC-specific code that ADOC staff uses to identify an inmate's status for assignment to SUT services and treatments.
- I. **Relapse Prevention Program**: SUT services are available to inmates within ADOC custody, who have successfully completed other SUT services but, as a result of a relapse, are in need of additional SUT services, that are provided for a minimum of eight (8) weeks.
- J. **Risk/Needs Assessment**: An assessment completed on all inmates within ADOC custody prior to admission into an SUT program that assesses the risk of reoffending or further involvement in substance-use related behaviors.
- K. **Substance Abuse Program (SAP)**: Less-intensive SUT services available to inmates within ADOC custody, who either are court-ordered, are recommended, or volunteer to participate, that are provided for a minimum of eight (8) weeks.
- L. **Substance Abuse Treatment Code (SAP Code)**: An ADOC-specific code that ADOC staff uses to identify an inmate's assignment to specific SUT services.
- M. **Substance Use Disorder (SUD)**: A cluster of cognitive, behavioral, and physiological symptoms indicating the continued use of a substance despite significant substance-related problems, such as impaired control, social impairment, risky behaviors, and pharmacological tolerance and withdrawal.
- N. **Substance Use Disorder Treatment (SUT)**: Programs for substance use disorder that emphasize the nature of addiction, eliminating substance use, and preventing levels of relapse through the implementation of evidence-based services, including motivational interviewing, cognitive and behavioral therapy, emotion-regulation skill building, and medication management.
- O. **Therapeutic Community (TC) Program**: Intensive SUT services that are available to inmates within ADOC custody, who need assistance both eliminating substance use and maintaining a substance-free lifestyle, that are provided for a minimum of twelve (12) months.

IV. **RESPONSIBILITIES**

- A. The ADOC Director of Mental Health Services is responsible for ensuring oversight of the development of this AR.
- B. The ADOC Director of Psychiatry is responsible for ensuring this AR is consistent with relevant professional standards.

- C. The ADOC SUT Supervisor is responsible for oversight and monitoring the implementation of this AR.
- D. The ADOC SUT Specialist at each facility is responsible for both oversight and monitoring of the implementation and delivery of SUT services at that facility.
- E. The ADOC SUT Specialist at each facility is responsible for both oversight and monitoring of the implementation and delivery of SUT services at that facility.
- F. The ADOC Psychological Associate at each facility is responsible for conducting Reception Social History Assessments of inmates at reception into ADOC custody in accordance with AR 612, *Reception Social History Assessments*, to identify inmates for SUT services.
- G. The ADOC Classification Unit at each facility is responsible for collaborating with the SUT staff at that facility to not only assign the appropriate P-Code and SAP Code in both the ADOC module and SAP system to all inmates at that facility but also relocating inmates to the appropriate dormitory.
- H. The Warden (or designee) at each facility is responsible for ensuring both that ADOC security staff at that facility receive training on the implementation of this AR and that designated housing, and classrooms are available for SUT staff to deliver SUT services to inmates at that facility.

V. **PROCEDURES**

- A. Referrals for SUT Services:
 - 1. During the Reception Mental Health Screening, the following individuals may initiate a referral for SUT services for an inmate on ADOC SUT Form-011, *Substance Use Treatment Referral Form*:
 - a. Any ADOC Psychological Associate and any Vendor staff, including Vendor nursing staff and Vendor QMHP, who identifies an inmate with a need for SUT services during the Reception Mental Health Screening in accordance with AR 610, *Reception Mental Health Screening*.
 - b. Any ADOC Psychological Associate and any Vendor QMHP who identifies an inmate with a need for SUT services during the Reception Social History Assessment in accordance with AR 612, *Reception Social History Assessment*.
 - c. The ADOC Classification Unit staff at the Reception Facility, if the SUT is court-ordered.
 - d. Any other ADOC staff or Vendor staff who identifies an inmate with a need for SUT services.
 - 2. Following the Reception Mental Health Screening and at any time during an inmate's incarceration within ADOC custody, the following individuals may

initiate a referral for SUT services for an inmate on ADOC SUT Form-011, *Substance Use Treatment Referral Form*:

- a. Any Vendor staff.
 - b. Any ADOC Psychological Associate or ADOC Psychologist.
 - c. Any ADOC staff at the facility in which that inmate is housed.
3. An inmate may initiate a referral for SUT services at any time during that inmate's incarceration through either a:
- a. Written referral, by completing an Inmate Request Slip and placing it into the designated SUT box at that facility.
 - b. Verbal referral, by advising any ADOC staff or any Vendor staff.

B. Eligibility for Assignment to SUT Services:

1. An inmate referred to SUT services may only be assigned to SUT services if that inmate submits ADOC SUT Form-003, *Substance Use Treatment Consent*, to the ADOC SUT Specialist (or designee) at that facility consenting to the following:
 - a. Be housed and receive SUT services in a designated therapeutic community-style dormitory setting (or in other designated units if that inmate is not assigned to general population).

An inmate transferred to the Restrictive Housing Unit (RHU) may continue those SUT services that can be safely provided in the RHU environment.
 - b. Be assigned job duties approved by the ADOC SUT Specialist (or designee) in coordination with the Warden at that facility.

An inmate may also receive institutional job assignments outside of that inmate's assigned SUT program.
 - c. Attend evidence-based SUT services approved by the ADOC SUT Specialist (or designee) in coordination with the Warden at that facility.

An inmate may also attend educational and vocational classes outside of that inmate's assigned SUT program.
 - d. Regular testing for continued substance uses or involvement.
 - (1) An inmate will not be disqualified or terminated from the assignment to SUT services based only on evidence of continued substance use or involvement (e.g., positive urinalysis test results for substance use, etc.).

- (2) The ADOC SUT Specialist (or designee) will document efforts of continued offers of SUT services to that inmate on ADOC Form SUT-009, Substance Use Treatment Progress Note.
2. An inmate referred to for SUT services may refuse SUT services at any time by submitting ADOC SUT Form-002, *Substance-Use Disorder Treatment Refusal Form*, to the ADOC SUT Specialist (or designee) at that facility.
 - a. The ADOC SUT Specialist (or designee) will require that inmate to sign ADOC SUT Form-002, Substance-Use Disorder Treatment Refusal Form.
 - b. The ADOC SUT Specialist (or designee) will request one (1) additional ADOC SUT staff to witness that inmate refusing SUT services and will sign ADOC SUT Form-002, *Substance-Use Disorder Treatment Refusal Form*, as a witness.
3. The ADOC SUT Specialist (or designee) will collaborate with ADOC security staff, and any clinically indicated Vendor medical and mental health staff, to discuss an inmate's continued assignment to SUT services if that inmate refuses, or whose behavior creates a security risk to continue, to receive the assigned SUT services.

An inmate who is disqualified or terminated from SUT services may be reconsidered for assignment to SUT services at any time during that inmate's incarceration by initiating a referral for SUT services in accordance with Section V.A.3. above.

C. Assignment to SUT Services:

1. The ADOC Reception Facility Psychological Associate will collaborate with the ADOC Reception Facility Classification Unit, and any clinically indicated Vendor Reception Facility medical and mental health staff, in determining the appropriate, evidenced-based SUT services to assign an inmate who was referred for SUT services during that Reception Facility's reception process.
 - a. The ADOC Reception Facility Psychological Associate will update that inmate's P Code and SAP Code to assignment to the Pre-Treatment Program until that inmate is transported and transferred to the Receiving Facility at which the SUT services are provided.
 - b. The Receiving Facility SUT Specialist (or designee) will update that inmate's P Code and SAP Code to assignment to the appropriate SUT program based on that inmate's assessment.
2. The ADOC Receiving Facility SUT Specialist (or designee) will collaborate with the ADOC Receiving Facility Classification Unit, and any clinically indicated Vendor Receiving Facility medical and mental health staff, in determining the appropriate, evidenced-based SUT services to assign an inmate who was not referred to for SUT services during the Reception Facility's reception process.

3. The ADOC Receiving Facility SUT Specialist (or designee) may assign an inmate to any of the following structured, clinically indicated SUT services:
 - a. Pre-Treatment Program;
 - b. Crime Bill Program;
 - c. Substance Abuse Program;
 - d. Therapeutic Community Program;
 - e. Helping Women Recover Program;
 - f. Aftercare Program;
 - g. Medication Assisted Treatment.

The ADOC Receiving Facility SUT Specialist (or designee) will refer an inmate identified as a potential candidate for MAT, including Medications for Opioid Use Disorder (MOUD), to the Vendor staff for further assessment and providing any clinically indicated services in accordance with the *ADOC Medications for Opioid Use Disorder Treatment Policy*.

4. The ADOC Receiving Facility SUT Specialist (or designee) will update an inmate's P-Code and SAP Code in the appropriate ADOC designated modules to reflect that inmate's assignment to the appropriate SUT program.
5. The ADOC Receiving Facility SUT Specialist (or designee) will, within fourteen (14) days from an inmate's assignment to SUT services, both review an inmate's assignment to SUT services together with any relevant background information and complete the following documents:
 - a. Risk/Needs Assessment, which assesses the risk of an inmate reoffending or becoming further involved in SUD behaviors.
 - b. ADOC Form SUT-001, *Confidentiality Requirements and Informed Consent*.
 - c. ADOC Form SUT-003, *Treatment Consent*.
 - d. ADOC Form SUT-004, *Confidentiality – Notice and Waiver*.
 - e. ADOC Form SUT-005, *Substance-Use Treatment Aftercare Consent*.
 - f. ADOC Form SUT-014, *Substance Use Treatment Profile Form*.
 - g. ADOC Form SUT-016, *SUT Treatment Plan*.

D. SUT Treatment Planning:

1. The treatment team of an inmate assigned to SUT services will meet at regular intervals for an adequate duration to review and, if clinically appropriate (e.g., behavioral concerns, relapse occurrences, mental-health related concerns, etc.), update that inmate's ADOC Form SUT-016, *SUT Treatment Plan*.
2. The treatment team of an inmate assigned to SUT services may include that inmate, the ADOC Receiving Facility SUT staff, the ADOC Receiving Facility Warden, the ADOC Receiving Facility security staff, and any clinically indicated Vendor medical and mental health staff.

E. SUT Services:

1. The ADOC Receiving Facility SUT Specialist (or designee) will:
 - a. Create a SUT file for an inmate assigned to SUT services.
 - b. Maintain an attendance roster for an inmate assigned to SUT services
 - c. Collaborate with Vendor Receiving Facility medical and mental health staff to provide an inmate with co-occurring disorders with clinically appropriate SUT services.
 - d. Collaborate with the ADOC Receiving Facility ADA Coordinator to determine whether an inmate needs necessary reasonable accommodations for SUT services.
2. The ADOC Sending Facility SUT Specialist (or designee) will ensure the continuity of SUT services to an inmate, who is transferred to the ADOC Receiving Facility before that inmate completes the assigned SUT services at the Sending Facility, through the following communications with the ADOC Receiving Facility SUT Specialist (or designee):
 - a. Telephone contact.
 - b. E-mail contact.
 - c. Transmitting a copy of that inmate's complete SUT file.
3. The ADOC Receiving Facility SUT Specialist (or designee) will record:
 - a. The name and description of all SUT services provided to an inmate on ADOC Form SUT-009, *Substance Use Treatment Progress Note*, at minimum one (1) time each week.
 - b. The attendance and involvement of an inmate to group SUT services on ADOC Form SUT-010, *Substance Use Treatment Group Progress Note*, at minimum one (1) time each day.

- c. Pre-Treatment program evaluations on ADOC Form SUT-006, *Pre-Treatment Evaluation*, at minimum one (1) time each month and prior to completion of that program.
 - d. All Crime Bill, SAP, and TC program evaluations on ADOC Form SUT-007, *Final Treatment Evaluation*, at minimum one (1) time each month and prior to completion of that program.
4. An inmate assigned to SUT services will complete ADOC Form SUT-012, *Treatment Programming Participant Evaluation Form*, upon completion of each SUT service.

The ADOC Receiving Facility SUT Specialist (or designee) will send all ADOC Form SUT-012, *Treatment Programming Participant Evaluation Form*, to the ADOC SUT Supervisor within five (5) calendar days from the end of each month.

F. Urinalysis Testing for SUT Services:

- 1. The ADOC Receiving Facility SUT Specialist (or designee) will initiate the request for a SUT urinalysis testing for an inmate assigned to SUT services on ADOC Form SUT-013, *Substance Use Treatment Urinalysis Testing Request Log*, both:
 - a. Within fourteen (14) days from that inmate's assignment to SUT services.
 - b. At minimum one (1) time every thirty (30) days while that inmate is assigned to SUT services, including Aftercare Program.
- 2. The ADOC Receiving Facility SUT Specialist (or designee) will utilize Behavioral Interventions to assist an inmate who receives positive urinalysis test results.
- 3. The ADOC Receiving Facility SUT Specialist (or designee) will initiate a referral for mental health services for an inmate who receives three (3) positive urinalysis test results for substance use in accordance with AR 609, *Referral to Mental Health Services*.

G. Discharge from SUT Services:

- 1. The ADOC SUT Specialist (or designee) will discharge an inmate who successfully completes assigned SUT services to an Aftercare Program.
- 2. An inmate's SUT Treatment Team will use clinical judgment in determining whether that inmate should continue to be assigned SUT services in excess of the minimum length of an assigned SUT service, in lieu of discharge from that assigned SUT service, to meet the goals included on that inmate's ADOC Form SUT-016, *SUT Treatment Plan*.

3. The ADOC SUT Specialist (or designee) will collaborate with community resources to ensure that an inmate scheduled for end-of-sentence (EOS) will be provided information for community service organizations for the continuity of care of SUT services in the community.

H. Training:

1. The ADOC SUT staff will complete all required and applicable ADOC and Vendor trainings.
2. The ADOC SUT Supervisor will develop, coordinate, and document staff participation in the following required training topics of SUT services to provide effective programming to stay abreast of current trends:
 - a. Motivational Interviewing;
 - b. Evidence-based curriculum expectations and guidelines;
 - c. Delivery of curriculum content;
 - d. Assessment/Screening tools;
 - e. Therapeutic Community Standards.

I. Reporting and Monitoring of SUT Services:

1. The ADOC SUT Specialist (or designee) at each facility will complete and submit ADOC Form SUT-015, *Substance Use Treatment Monthly Report*, to the ADOC SUT Supervisor within five (5) calendar days from the end of each month.
2. The ADOC SUT Supervisor (or designee) will audit each ADOC facility at minimum one (1) time each year to ensure that facility is effectively providing SUT services.

VI. DISPOSITION

Any forms used will be disposed of and retained according to the Departmental Records Disposition Authority (RDA).

VII. FORMS

- A. ADOC Form SUT-001, *Confidentiality Requirements and Informed Consent*
- B. ADOC Form SUT-002, *Substance Use Treatment Refusal Form*
- C. ADOC Form SUT-003, *Treatment Consent*
- D. ADOC Form SUT-004, *Confidentiality – Notice and Waiver*
- E. ADOC Form SUT-005, *Substance-Use Treatment Program Aftercare Consent*