


<b>UMATILLA CO. COMMUNITY CORRECTIONS</b>  <b>POLICY/RULE</b>	 Community Corrections	<b>ARTICLE: 507.700</b>
		<b>EFFECTIVE: 8/1/07</b> <b>Amended:</b>
		<b>REVIEW:</b>
<b>SUBJECT: PROBATION AND PAROLE CASE MANAGEMENT SYSTEM</b>		

**I. PURPOSE:**

The purpose of this policy is to:

- A. Establish a consistent system for the classification and supervision of offenders;
- B. Classify offenders based primarily upon risk of recidivism, and/or threat to the community;
- C. Operate on the principle of limited risk control and utilize objective risk assessment tools for making classification decisions;
- D. Define minimum supervision standards based upon classification;
- E. Provide for the collection and review of the data necessary for policy decisions, program planning, effective utilization of resources and evaluation; and
- F. Manage workload resource capacities consistent with department goals and objectives to provide effective case management supported by research.

**II. REVIEW HISTORY:**

Reviewed and updated by the Program Superintendent (date).

**III. CONTACT:**

Mark Royal

**IV. POLICY:**

It is the policy of The Department of Community Corrections that all cases received for supervision will be classified in accordance with the Oregon Case Management System (OCMS). Case planning and supervision practices will address both risk and needs factors.

**V. RATIONALE:**

A case management system for community supervision should identify those factors associated with risk to re-offend and allocate staff and other resources to manage and mitigate those risks as cost-effective as possible.

**VI. CROSS REFERENCES:**

Umatilla County Sheriff (Community Corrections Division) Policy & Procedure #.

**VII. DEFINITIONS:**

**Absconder:** An offender who the Probation and Parole Officer is unable to locate, resulting in a request for a warrant.

**Attempted Home Contact:** An attempted contact with the offender at their residence without actual contact with the person.

**Collateral Contact:** The receipt of information about the offender. Examples would include but is not limited to, treatment progress, monthly reports, computer printouts, information from relatives or neighbors and inquiries.

**File Check:** Any activity designed to provide a quick assessment of the supervision status of the case.

**Home:** Where the offender sleeps at night, e.g., house, apartment, auto, van, tent, public structure, treatment center, etc.

**Home Contact:** Actual face-to-face contact at the offender's home with the offender. For information purposes, contact at the offender's residence with someone who has meaningful information about the offender.

**Offender:** Any person under the supervision of the Department of Community Corrections.

**Field Contact:** An out of the office, person-to-person (face-to-face) contact with anyone who has meaningful information about the offender.

**Threat to the Community:** The identified potential of an offender to engage in or threaten to engage in behavior that constitutes physical force and/or the inflicting of injury on another person.

**Homeless:** Having no home.

**Transient:** Having a place to stay but moving from one place to another.

**Risk Assessment Tool:** Any authorized instrument used to assess risk such as OCMS, Static 99, OSORA, LS/CMI, STABLE AND ACUTE.

**Recidivism:** An offender committing new criminal behavior while under supervision.

**Supervision Intake Date:** The date upon which a new case arrives in the office, an intake along with a OCMS risk assessment is completed and the case is assigned to a supervising officer.

**Supervision Period:** The period of time an offender is under supervision as ordered

or modified by the Court or Board of Parole and Post-Prison Supervision and/or releasing authority.

**Supervision Termination Date:** The date established by the releasing/sentencing authority when the offender is no longer legally subject to community supervision.

**Motivational Interviewing:** A directive, yet client-centered technique of explaining and resolving ambivalence about change.

## **VIII. PROCEDURES:**

The case management system shall apply to all offender being supervised, or investigated, including those going through Court process prior to actual conviction and/or sentencing.

### **Classification**

The classification component ensures the classification of offenders according to risk and/or their threat to the community and their assignment to specified levels of community supervision.

G. New Case: Any offender received for supervision who is not already under supervision at the time of the referral.

1. Tasks to be completed include:
  - a) Initial Risk Assessment OCMS (**LS/CMI, may be completed at intake if there is substantial collateral information that would indicate that proper risk and need would not be gathered via OCMS assessment.**)
  - b) Initial Supervision (as applicable); and
  - c) Other duties as specified in the Department's intake procedures.
2. The offender shall be considered a new case for a period of up to thirty days commencing with the supervision intake date. Authorization to extend the new case status an additional thirty days may be granted by the supervisor when extenuating circumstances warrant such extension. Approval for the extension shall be documented in the case file.
3. An absconder shall be considered a new case upon return to supervision if he/she has been absent from supervision for a period of six months or longer.

H. Risk Assessment.

1. Offenders will be assessed for risk irrespective of the felony or misdemeanor status (all domestic violence and sex offense cases will be assessed on a case by case basis) of the crime of conviction leading to the present supervision. Classification will involve the use of risk assessment

tools, which are objective instruments that identify and quantify risk-related factors and group offenders according to their likelihood to re-offend. The risk assessments that are currently being utilized are OCMS and LS/CMI. Sex offenders are also subject to additional assessments (See Exhibit B). **(STABLE AND ACUTE if recommended by SOSN)**

Initial Risk Assessment Tools: The OCMS assessment of risk will rely primarily on historical factors to predict the likelihood of recidivism. This Initial Risk Assessment instrument will be completed as part of new case procedures. The LS/CMI will address the 8 major risk factors that are predictors of recidivism and also predictors of how well people will do on supervision. LS/CMI combines risk assessment and case management into one evidence based system. The LS/CMI also includes an assessment of areas of strength and responsivity issues. The LS/CMI may be completed as a part of new case procedures or it may be assigned to a field officer for completion.

2. The initial risk assessment instrument will be scored according to OCMS instruction. The computed score will then place the offender in one of four supervision levels: high, medium, low or limited. Cutoff scores established by LS/CMI will determine the appropriate supervision level. **The LS/CMI will be completed on all new cases, which score HI/Med on the initial OCMS assessment.** The LS/CMI will be scored according to LS/CMI instruction. In the event that the score derived from the LS/CMI is different than that derived from OCMS, the LS/CMI score will dictate the level of supervision. The LS/CMI score will then be noted in OMCS as an override, either up or down. Motivational interviewing will be utilized during all phases of the LS/CMI assessment process.
- I. Risk Reassessment: The re-evaluation/reassessment of offender risk for OCMS relies on a combination of historical and current behavior factors to predict the likelihood of recidivism. There is no difference between the LS/CMI assessment and re-assessment.
1. The Risk Reassessment instruments will be utilized in all cases subject to reassessment.
  2. Offenders will be reassessed a minimum of every six months using both the LS/CMI and OCMS for high and medium cases. Low level cases will be reassessed every six months using OCMS. The LS/CMI will be used only as circumstances warrant on those cases that risk assess either low and limited. **(S.O. Re-assess, static 99, STABLE AND ACUTE)**
- J. Override:
1. The override feature is intended to address risk factors that may not be included in the objective risk assessment instruments. These factors are based upon:

- a) Offender-specific issues which in the professional judgement of the officer appear to impact the risk the offender poses to the community, or
  - b) Crime-specific risk issues, especially those involving demonstrated violent behavior or
  - c) Policy and/or value statement on the part of the Department regarding the delivery of correctional services.
2. The override feature provides for either increases or decreases in the level of supervision from that determined through the risk assessment score.
3. All overrides must be based upon one of the following categories:
  - Discretionary
  - Assault Offender
  - Sex Offender
  - Offender Needs
  - Extreme Criminal Records
  - New Criminal Activity
  - Major Non-Conformance
  - Associations
  - Officer Discretion
  - Conformance to Conditions
  - In Custody
  - Unavailable
  - LS/CMI score
4. The assessing officer must indicate the single most appropriate category on the risk assessment forms.
5. Approval of override requests by the officer's supervisor is not required. In accordance with OCMS and LS/CMI instructions, overrides must include a succinct justification statement, which shall relate the information forming basis for the override of the offender risk to the community. In addition, overrides shall include the reference to the sources from which the applicable information was obtained.
6. Supervision level changes due to override shall remain in effect until:
  - a) A change in circumstances warrants a reassessment and subsequent adjustment in the level of supervision;
  - b) The removal of the override is warranted and consistent with OCMS instructions and LS/CMI instructions, **STABLE AND ACUTE instructions**; or
  - c) The next regularly scheduled reassessment.
7. When imposing structured sanctions, use the classification in effect when the violation occurred. Do not use a temporary override for sanction purposes.

K. Policy Exception: The following requirements shall apply in establishing the supervision level for offenders, irrespective of risk score.

Sex Offender/Assault Offense: All persons convicted of a sex offense or assault offense, as defined by Exhibit A of this policy, shall be supervised at not less than the medium level for the first six months of supervision, commencing with the supervision intake date after conviction for that offense. A decrease in supervision below the medium level for such cases may only occur through the “in custody” or “unavailable” categories of discretionary override or supervisor approval.

L. Levels of Supervision:

1. In order to ensure consistency in the supervision of offenders, four basic levels of supervision must be established: high, medium, low and limited. Each level has minimum contact standards. The risk instruments shall, in most cases, determine which level is appropriate based upon the established cutoff scores.

2. Contact Standards: The minimum contact standards are:

<b>New cases</b>	<b>1</b>	<b>within 30 days</b>
<b>High</b>	<b>2 Face to Face</b>	<b>monthly</b>
<b>Medium</b>	<b>1 Face to Face</b>	<b>monthly</b>
<b>Low</b>	<b>1</b>	<b>monthly</b>
<b>Ltd (truly limited cases determined by assessment score)</b>	<b>1</b>	<b>monthly</b>

**High Contacts: 2 face to face contacts per month. Additional contacts may be required as necessary to further the case plan. Contacts are those as described in OCMS standards as listed below.**

**Medium Contacts: 1 face to face contact per month. Contacts are those described in OCMS standard as listed below. Additional contacts may be required as necessary to further the case plan. Contacts are those as described in OCMS standards as listed below.**

Low/Truly Ltd Contacts: 1 contact per month as described in OCMS standards.

Note: Low/Truly Ltd cases will be subject to case reviews performed by a PO every six months.

\*Contact standards may be modified with supervisor approval

**CONTACT:** For purposes of contact standards, a contact is the obtaining of *meaningful information* on the offender and/or the offender’s behavior by the probation officer. The source of information may be the offender or a collateral person; it may be in person or telephonically; and it may be at any location. The following are recognized as applicable contacts:

- Offender Face to Face Home
- Offender Face to Face Other (any location)
- Offender Other (non face to face)
- Collateral Face to Face Home
- Collateral Face to Face Other (any location)
- Computer Inquiry/Printout
- Letters of Correspondence
- Treatment Progress Reports
- Monthly Reports
- Employment Verification
- UA Results

### **Case Planning and Supervision:**

#### A. Supervision Plan

1. Within 30 days of the case assignment, an evaluation will be completed on all high and medium level cases in order to develop supervision goals and assess offender needs **(with the exception of sex offenders, for which other assessment tools along with polygraphs will be used to determine risk/need)**. The Parole and Probation Officer will interview the offender utilizing motivational interviewing techniques and gather information from available records and collateral contacts. Chronological records shall be used to reflect completion of the Offender Assessment and the essential information derived from that assessment.
2. Supervision Plans will be required during supervision on all high and med cases. They will be reviewed and updated as outlined in the LS/CMI progress record guidelines. Progress records should be updated monthly and supervision plans should be modified according to progress or lack thereof by the offender. All needs identified in the Supervision Plan, criminogenic and non-criminogenic, should be addressed in the progress record. When a Supervision Plan is modified a new form needs to be initiated and the original should be retained in the case file.
3. The Supervision Plan shall be developed jointly with the offender. A copy of the completed Supervision Plan is to be provided to the offender.
4. The completed Supervision Plan will be retained chronologically on side four (4) of the standard four-sided file or electronically (See Exhibit C).

**The Chronological record should be notated in the key word section, "CASEPLAN". This entry clearly outline the assessed needs, treatment recommendations, referrals made along with any responsivity factors.**

5. Chronological records shall be used to reflect the creation of and review of Supervision Plans with offenders; provide any additional information

regarding completion of activities that is not reflected on the Supervision Plan Form; and include documentation if the offender refuses to sign the Supervision Plan Form.

- B. Caseload Review: All caseloads are to be audited according to the Department's Caseload Audit Procedure (#507.725).
- C. File Organization – Four part file as follows (see Exhibit D):
  - 1. Legal documents related to supervision
  - 2. All reports and forms generated by the PPO, treatment/program reports, compliance to special conditions, description of current offense (from PSI or policy reports), Offender Assessments.
  - 3. Chronological reports
  - 4. Correspondence, monthly reports, police reports, and Supervision Plans.

**IX. EXHIBITS:**

**Exhibit A**-Assault/Sex Offenses

**Exhibit B**-Offender Assessments

**Exhibit C**-Supervision Plan

**Exhibit D**-File Organization

