ADULT RISK/NEEDS ASSESSMENT AND REASSESSMENT PACKET

AUTHORITY: Departmental Standards

RESCINDS: Procedure Manual Item 2-3-021, dated 6/20/16

FORMS: Adult Assessment and Reassessment Rules   (Attachment)
Adult Initial Assessment Packet containing:
- Automated Initial Assessment
- Automated Reassessment
- Automated Interim Transfer
- Automated Full Transfer
- Automated Termination
- Automated Reactivation
- **Automated Partial Termination**

PURPOSE: To obtain **consistency** in the frequency of submission and the content of documents in the Adult Risk/Needs Assessment and Reassessment process.

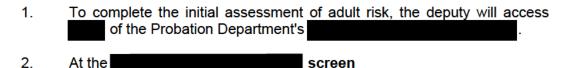**INTRODUCTION:** The manual process was replaced with an Automated Risk/Needs tool in November 2005.

I. GENERAL INFORMATION

    A.   This Manual Item is designed as a basic guide in the Adult Risk/Needs and case documentation process.

    B.   The Risk Needs User Manual, **4/27/2012** and the Adult Risk/Needs Coding Guide, 11/2012 should act as the comprehensive reference document to answer operational questions relative to case assessment and documentation under the Model Probation System.

        1.   The adult initial assessment and reassessment tools are designed to be used in conjunction with ICMS.

            a.   The packets include a risk-measuring instrument.

            b.   A probationer needs identifier.

            c.   A mechanism for the capturing of pertinent case profile information.

            d.   A casework record system that addresses case objectives, plans, casework contact specifics, and an overall case progress summary.

        2.   The appropriate risk/needs documents are to be routinely used at the time of initial case assessment, reassessment, interim transfer, full transfer, partial termination, or termination.

3. Unusual events or circumstances which are significant to the case, such as violations/incidents, may be documented on the appropriate risk/needs assessment.

II. PROCEDURE (Types of Case Assessment and Documentation)

A. Initial Assessment of Adult Risk

1. To complete the initial assessment of adult risk, the deputy will access ███ of the Probation Department's ███████████████████.

2. At the ███████████████ **screen**

3. **Click on** ███████. The DPO selects the probationer to be assessed.

4. To create an ██████████, the DPO **Selects** ██████████ **from the** ████ **drop box.**

5. DPO will select the appropriate start **and end** date of the assessment.

6. There are ████████ which measure the amount of risk the probationer provides to the community at the time of the assessment.

   a. In assessing each item, the Deputy Probation Officer (DPO) considers and utilizes all available case information including, but not limited to:

      (1) Court reports

      (2) Police reports

      (3) Interview information

      (4) Record checks

   b. To answer items ██ through ██, select the most appropriate answer from available options.

   c. After assigning a score to items █ through ██, the Total Score is calculated. Refer to the cutoff scores contained in the Coding Guide.

      (1) A risk classification is assigned as high, medium, or low to the case.

         (a) Generally high risk classification stays in the field.

         (b) Generally, medium risk classification is transferred to FM or Admin.

         (c) Generally low risk classification cases are transferred to Adult Admin.

B.   Initial Assessment of Adult Needs

1.   There are ███████ which measure the needs of the probationer at the time of assessment. In assessing each, the DPO will consider and utilize all information available, but not limited to:

    a.   File documentation

    b.   Interview information

    c.   Police reports

    d.   Records checks, etc.

2.   To answer items ██ through █, select the most appropriate answer.

3.   The Total Needs Score is calculated.

C.   Reassessment of Adult Risk

1.   To complete the reassessment of adult case, the deputy will first fill out the appropriate heading information.

    •   Use care to record the information accurately.

2.   There are ███████ which measure the risk of reoffending at the time of the reassessment.

    a.   An important factor in the reassessment is the probationer's response to supervision.

    b.   In reassessing each item, the DPO will consider and utilize all available information including, but not limited to:

        (1)   File documentation

        (2)   Interview information

        (3)   Police reports

        (4)   Record checks, etc.

3.   To answer items ██ through █, select the most appropriate answer.

4.   After assigning a score to items ██ through █, the risk scores are totaled.

    •   Refer to the cutoff scores contained in the Coding Guide.

5.   It is the practice of the Department to place substantial and primary reliance on the risk/needs instrument to determine the level of supervision.

    However, in the event that the classification instrument does not accurately reflect the level of supervision required [in the DPO's and/or Supervising

Probation Officer's (SPO) judgment], apply the override process to justify a higher or lower supervision level.

6.   Mandatory and discretionary overrides to a higher risk classification, cases may be necessary for certain offenses and types of offenders. (See PMI 2-1-011 and Coding Guide)

D.   <u>Reassessment of Adult Needs</u>

1.   There are ███████ which measure the needs of the probationer at the time of reassessment. In assessing each, the DPO will consider and utilize all information available, but not limited to:

   a.   File documentation

   b.   Interview information

   c.   Police reports

   d.   Record checks

2.   To answer items █ through █, select the most appropriate answer.

3.   Refer to cutoff score chart (Coding Guide).

E.   <u>Narrative Case Information</u>

1.   Complete the adult automated risk/needs scoring.

   a.   The narrative case information section's primary function is to provide the supervision officer with a standardized format for addressing case dynamics, case objectives, and a plan of action delineating how those objectives will be achieved.

   b.   The narrative case information also provides for the recording of:

      (1)   Circumstances of new offenses

      (2)   Contact statistics

      (3)   Client testing dates

      (4)   Dates of search and seizure activities

      (5)   Supervision progress

      (6)   Supervision strategy

   c.   The Assessment provides documentation to be used by supervisors in reviewing casework activities and adherence to department performance standards.

2. Assessments are to be completed at the following intervals-Refer to attached Appendix A.

    a. The Adult Initial Assessment is completed by the assigned officer within 45 days of the probationer reporting or being released from custody.

    b. Complete subsequent Reassessment:

        (1) Within 180 days (six months) of the last assessment or when reassessment is indicated (case circumstances require change in supervision level).

        (2) Cases which score ███████████████████████ ████, may be transferred to the FM or Admin DPO, unless circumstances warrant keeping the case in the field.

        (3) Upon termination of probation (if multiple grants, upon termination of final grant). If Partial Termination is required, see section G, Partial Termination.

        (4) Complete a Termination Assessment (terminate from field supervision) when a case is terminated from field supervision, (but not from Probation):

            (a) Termination from field- Transfer to Admin

            (b) Termination from field- Transfer to FM

            (c) Bench Warrant

            (d) 1203.9 PC Pending

            (e) Transfer to Interstate Compact

            (f) Other

        (5) Complete Interim Assessment if within 90 days of any assessment the case is being transferred within the field.

        (6) Complete full transfer if past 90 days of last assessment and case is being transferred within the field.

        (7) Complete Termination Assessment after assessed case is terminated from Probation due to:

            (a) Early termination by Court order.

            (b) Early termination – Satisfactory

            (c) Early termination - Unsatisfactory

            (d) Normal expiration.

(e)   Revocation - Jail.

(f)   Revocation - Prison

(g)   Conditional

(h)   Relief of Supervision - Court granted.

(i)   1203.9 PC accepted.

(j)   Courtesy Supervision Interest terminated.

(k)   PCS – Termination 6 month

(l)   PCS – Termination one year Mandatory

(m)   PCS – Transfer to Other County

(n)   Prop 47 Termination

(o)   Prop – 64 Termination

(p)   Deceased

(q)   Leiva

(r)   Other termination from probation (specify).

c.   Complete an Interim Assessment if a case is transferring less than three months since an initial assessment or reassessment has been completed, and there is no significant information indicating a reassessment is required.

d.   After completion of the Initial Assessment, use interim assessments to document situations requiring file documentation (but not in lieu of a routinely scheduled reassessments) as approved by the SPO.

e.   In the assessment, address areas of concern identified by the risk/needs scales and/or any other source reasonably available to the deputy.

(1)   Address particular strengths as they apply to the case plan.

(2)   Include objectives that are realistic/achievable goals based on expected behavioral changes.

(3)   Prepare plans of action that reflect what the **client** is expected to do.

F.   <u>Reactivation Assessment</u>

Complete Reactivation Assessment when an assessed case is returned to Field Supervision due to:

1. Return from Warrant

2. Return from Administrative Caseload

3. Return from FM

4. Return from 1203.9/Interstate Compact

5. **Return from Relief of Supervision**

6. **Transfer**

- Reactivation Assessment/Transfer Assessment is to be used when returning cases to field supervision and the client has moved supervision area.

G. Partial Termination Assessment

1. On October 1, 2011, Public Safety Realignment (AB109) took effect and created two additional types of offenders. As a result, the department now provides three different types of supervision:

   a. Formal Probation

   b. Mandatory Supervision (MS)

   c. Postrelease Community Supervision (PCS)

2. The Partial Termination Assessment is used to track when one (or two) type(s) of supervision terminates or expires and another type(s) starts or continues. This assessment should be completed in a timely manner to enable accurate reporting on population counts for Probation, MS and PCS for funding purposes. Complete a partial termination assessment when one type of supervision terminates and another continues. Once done, this assessment starts a new 6-month reassessment cycle.

3. A Partial Termination Assessment is similar to a Reassessment with two additional tabs:

   a. Termination

   b. Transfer (Optional – complete only if the case is being transferred).

   Transfer of a case is possible using the partial termination assessment as appropriate.

REFERENCES:

Procedures:	2-1-001	Field Book Sheet
	2-1-104	Chronological History Sheet - Adult
	2-3-014	Client Management Classification System
	2-1-011	Victims Residing with Perpetrators of Abuse

Policies: A-1   Policy, Procedure and the Law
            A-2   Upholding Departmental Philosophy and Principles
            B-1   Case Confidentiality - Client's Right to Privacy
            B-3   Case File Management and Security

Other: Risk Needs Users Manual (Probnet)
            Coding Guide (Probnet)

Attachment

B. Membrila

APPROVED BY:

ADULT ASSESSMENT AND REASSESSMENT PACKET

TYPE OF CASE	**ASSESSMENT** TYPE	DUE DATE
NEW CASES		
NO JAIL COMMITMENT	**INITIAL ASSESSMENT**	**REPORTING DATE + 45 DAYS ***
NEW CASE	**INITIAL ASSESSMENT**	**SE DATE + 45 DAYS**
TRANSFER TO ADMIN BANKED CASES (L/M RISK SCORE OF 12 OR LESS)	**INITIAL ASSESSMENT**	**REPORTING DATE + 45 DAYS ***
RELIEF OF SUPERVISION	**INTERIM ASSESSMENT**	**ASSIGNMENT DATE + 45 DAYS**
WARRANTS	**INITIAL TERMINATION ASSESSMENT IF SEEN, OTHERWISE INITIAL TERMINATION - IMMEDIATE ASSESSMENT**	**REPORTING DATE + 45 DAYS *** *** IF NO REPORT DATE – 45 DAYS FROM ASSIGNMENT DATE**
ACTIVE ASSESSED CASES		
ROUTINE REVIEW	**REASSESSMENT**	**6 MONTHS FROM PREVIOUS ASSESSMENT**
TRANSFER TO ANOTHER FIELD DPO • **90 DAYS OR LESS THROUGH THE 6-MONTH ASSESSMENT CYCLE**	**INTERIM ASSESSMENT**	**DETERMINED BY CASE ISSUES. (NEXT ASSESSMENT WILL BE DUE 6 MONTHS FROM THE LAST ASSESSMENT/ REASSESSMENT)**
• **MORE THAN 90 DAYS THROUGH THE 6 MONTH ASSESSMENT CYCLE**	**REASSESSMENT**	**DETERMINED BY CASE ISSUES.(NEXT ASSESSMENT WILL BE DUE 6 MONTHS FROM THE TRANSFER ASSESSMENT)**
TRANSFER TO FM OR ADMIN	**TERMINATION FROM FIELD**	**DETERMINED BY RISK SCORE AND CASE ISSUES**
TRANSFER TO WARRANT	**TERMINATION**	**UPON COURT ISSUANCE OF A WARRANT**
TERMINATION	**TERMINATION**	**UPON GRANT EXPIRATION DATE OR COURT ORDER**

ADULT ASSESSMENT AND REASSESSMENT PACKET

CASES TRANSFERRED TO FIELD		
CASES TRANSFERRED FROM 1203.9/ COURTESY SUP	**ASSESSMENT OR REASSESSMENT**	**DETERMINED BY CASE ISSUES**
TRANSFERRED FROM ADMIN – NO ASSESSMENT	**CASE ASSIGNED TO CC**	**DETERMINED BY CASE ISSUES**
RETURNING ADMIN OR FM CASE (PREVIOUSLY ASSESSED)	**WITHIN 30 DAYS OF BEING TRANSFERRED TO FM/ADMIN – SENDING DPO TO COMPLETE REACTIVATION. OUTSIDE OF 30 DAYS OF BEING TRANSFERRED TO FM/ADMIN – FM/ADMIN DPO TO COMPLETE REACTIVATION**	**DETERMINED BY CASE ISSUES**
RETURNING WARRANTS – NOT ASSESSED		
RETURNING WARRANT CASE – PROBATION REINSTATED	**REACTIVATION ASSESSMENT**	**JAIL CASE: SE DATE + 45 DAYS**
RETURNING WARRANT W/ STATE PRISON COMMITMENT	**TERMINATION ASSESSMENT**	**UPON RECEIPT OF TERMINATION MINUTE ORDER**
RETURNING WARRANT W/ TERMINAL DISPOSITION	**REACTIVATION ASSESSMENT (ONCE PROBATIONER RELEASED, MOD PET SUMBITTED TO COURT INFORMING OF RELEASE. TERMINATION ASSESSMENT UPON RETURN SIGNED MOD PET.**	**SE DATE + 45 DAYS**
RETURNING WARRANTS – PREVIOUSLY ASSESSED		
RETURNING WARRANT CASES - REINSTATED	**REACTIVATION**	**IMMEDIATE UPON COURT REACTIVATING (WITHIN 5 WORKING DAYS)**
RETURNING WARRANT CASES W/ NEW GRANT ORIGINAL CASE TERMINATED	**PARTIAL TERMINATION (INITIAL ASSESSMENT**	**IMMEDIATE UPON TERMINATION BY COURT**

ADULT ASSESSMENT AND REASSESSMENT PACKET

WITH NO TIME LAPSE BETWEEN GRANTS **RETURNING WARRANT CASES – STATE PRISON** **RETURNING WARRANT CASES W/ A JAIL COMMITMENT AND TERMINAL DISPOSITION**	**WITHIN 45 DAYS OF SE)** **TERMINATION** **REACTIVATION ASSESSMENT (ONCE PROBATIONER RELEASED, MOD PET SUMBITTED TO COURT INFORMING OF RELEASE. TERMINATION ASSESSMENT UPON RETURN SIGNED MOD PET.**	**IMMEDIATE UPON TERMINATION BY COURT** **IMMEDIATE UPON COURT ORDER**
PARTIAL TERMINATION **ONE FORM OF SUPERVISION TERMINATING AND ANOTHER ONE CONTINUES**	**PARTIAL TERMINATION**	**UPON TERMINATION OF ONE FORM OF SUPERVISION**