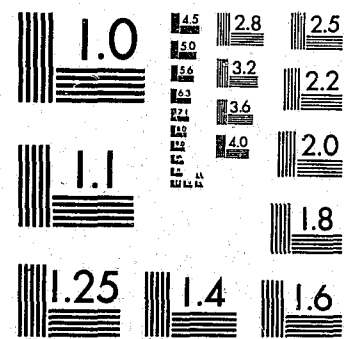


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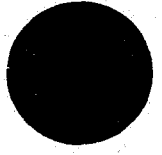
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THE NEW MODEL OF PAROLE

A DESCRIPTION OF THE MODEL
AND
GUIDELINES FOR THE DEVELOPMENT
OF DISTRICT LEVEL IMPLEMENTATION PLANS

January, 1979

Parole and Community Services Division
Department of Corrections

U.S. Department of Justice
National Institute of Justice

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FOREWORD

The California Department of Corrections is implementing a major revision in its method of supervising paroled felons and narcotic addict outpatients. The revision stems from a comprehensive three-year examination, conducted by the Parole and Community Services Division, of its policies, programs, procedures, and organizational structure. In July, 1973 the Director of Corrections, J. J. Enomoto, accepted the recommendation of the division to establish a new model of parole.

Planning for the implementation of the new model began with the formation of a task force composed of staff representing all segments of the division. The task force was given the dual charge of generating guidelines for the structure and operation of the new model and playing a key role in its implementation by the 16 parole districts. This document, written by the task force and comprehensively reviewed by division executive staff, describes the new model and presents guidelines for its implementation.

It is essential that each district now use these guidelines to develop a detailed implementation plan for the adoption of the new model. Because of the degree of change inherent in this revision and the complexity of some of the model's features, this will not be an easy task. It is only through a sustained commitment by each of us in the division that we can implement the new parole model in a careful, thorough, and expeditious manner, so as to provide the best possible delivery of controls and services to adult offenders under parole supervision.

Arlene M. Becker
ARLENE M. BECKER
Deputy Director

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I. INTRODUCTION

In April 1975 the Director of the California Department of Corrections placed a major responsibility on the newly appointed Deputy Director of the Parole and Community Services Division (P&CSD). This responsibility involved taking a hard look at the system for delivering controls and services to paroled felons and to narcotic addict outpatients in California and coming back with specific policy recommendations for improving the system.

In response to this charge, P&CSD recently completed an intense three-year examination of its policies, procedures, programs, and organizational structure. During these three years considerable effort was expended to discover "what works, for whom, when, and how well." Studies and special projects examined those programs which it was believed would favorably influence the adjustment of felon parolees and non-felon releasees to life in the community, reducing the prospects for involvement of these adult offenders in criminal and otherwise socially disruptive behavior. These studies and projects focused on the relatively neglected questions of the types of actions that should be taken, for which different kinds of parolees and releasees, the time at which those actions should best occur, and what kinds of persons should perform those actions. In addition to these experimental projects, important planning and procedural innovations were implemented to improve management of the Parole and Community Services Division. Both of these efforts were a response, in part, to the ongoing criticism of parole, but more

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importantly, they were part of a continuing attempt to improve the overall effectiveness and efficiency, as well as the equity, of California's parole process.

With respect to improving management within P&CSD, the three-year study effort revealed a number of significant planning and procedural deficiencies. These included: an unstructured and incomplete planning system; managerial controls which were sometimes weak; inadequate communications flows; unclear objectives and policy directions; and an emphasis on process monitoring rather than results evaluation.

In response to these discovered deficiencies the division undertook a series of corrective measures. Among other actions, the division:

- . Developed a program budgeting system emphasizing the basic objectives of the division and measures indicating achievement of those objectives.
- . Established an integrated decision-making process linking planning, program development, and analysis to budgeting, implementation, operations, monitoring, and evaluation.
- . Increased reliance on field staff input concerning policy changes.
- . Assigned increased responsibility and accountability to field supervisors for monitoring, auditing, and reporting, and for developing new resources within their jurisdictions.
- . Revised the Quarterly Management Review (QMR) system for parole operations, allowing comparisons of arrests, holds, employment, etc., across regions, districts, and units.
- . Improved the flow and quality of information on operations through periodic on-site visits to field offices and to community providers of services.

- . New techniques for rapid and certain testing for substance abuse, plus methadone maintenance, have significantly reduced narcotic use and associated behavior among non-felon addicts.
- . A strong investigative component in the controls area appears to be of considerable deterrent value.
- . Timeliness, certainty, consistency, and severity of punishment are important in the imposition of sanctions on adult offenders re-engaging in criminal behavior.
- . Extension of the parole period to 18 months or even longer appears warranted for high-risk parolees encountering difficulties.
- . The periods just after release from prison and just prior to discharge appear to be critical ones in determining parole outcomes. Stable and supportive residential and employment situations are particularly important at these times.
- . A significant number of identifiable parolees may require little or no supervision, or supervision for periods of less than a year.
- . There is no one method of supervision that is preferred for all adult offenders. The appropriate approach for each offender depends on careful initial and continual assessments of the offender's changing circumstances and related needs for controls and services.
- . Risk assessment procedures currently in use within the department (Base Expectancy Scores based principally on prior criminality) predict less than 20 percent of the differences in parole outcomes.
- . Assessment techniques are available, however, including parole field staff judgments, that are superior in predicting adult offenders' short- and long-term behavior and are effective in estimating their needs for controls and services.
- . Functional specialization on the part of parole field staff, in lieu of the traditional one agent - one case-load approach, increases the efficiency and effectiveness of the supervision process.
- . A new model of parole can be implemented that reduces risks to the public's safety and improves adult offender readjustments.

- . Streamlined the structure of the division by eliminating Region V, which supervised non-felons exclusively, and redirected the resources to other critical needs.

With respect to improving program effectiveness and favorably affecting parole outcomes, the division undertook four major efforts:

- . It commissioned a report by the former Deputy Director, Ernest Reimer, who conducted a thorough review of the parole literature available as of early 1975, prepared a critical summary, and drew a series of conclusions.
- . It undertook a continuing review of research studies done elsewhere and completed after the Reimer report.
- . It conducted a series of carefully evaluated experimental projects which grew out of suggestions made by parole field and headquarters staff, related agencies, and community groups.
- . It undertook an in-depth cost-effectiveness comparison of many of these experimental projects, to achieve a timely appraisal of differing methods of providing or securing controls and services for adult offenders under the division's supervision.

The experimental projects undertaken by P&CSD covered a wide variety of existing and new ideas, including Summary Parole, High Control, Accelerated Social Development (ASD), Enzyme Multiplying Immunoassay Technique (EMIT) testing, Vocational Rehabilitation, San Jose Parole Outpatient Clinic (San Jose POC), Team Supervision/Community Resources Management Team (CRMT), Restitution, Transportation Project, and Work Furlough. As a result of the individual evaluations of the experimental projects and the comparative cost/benefit appraisal, the division reached a number of significant conclusions. These included:

- . By internal redirection of resources the new model of parole can be implemented without additional state resources.

These findings, insights obtained from research undertaken outside P&CSD, and the experience of the last three years have resulted in substantial changes in the division's thinking about what constitutes an effective, efficient, and equitable model of parole supervision. This document describes the new model and presents guidelines for its implementation. It should be emphasized that this new model is not an add-on to what currently exists, but a major restructuring in the way the business of parole is to be conducted.

The following three sections of this document--Basic Principles, Organizational Options, and Operational Processes--describe what the division believes constitutes such a model. Sections V, VI, VII, and VIII--Implementation Procedures, Problems, Information and Systems, and Forms and Instructions--deal with the procedural aspects of implementing and monitoring the progress of the new model.

Section IX--Manual Revisions--discusses changes in the felon and non-felon procedures manuals that may be required to reflect the model's major policies and principles. (This document in no way replaces those manuals; the requirements specified therein and not modified by this document remain in effect.) The last section--Studies To Be Undertaken--identifies analytic efforts that can be initiated after implementation of the model. Appendix A identifies activities that are necessary to perform individual parole functions. Appendix B gives instructions for writing implementation plans to the 16 districts.

II. BASIC PRINCIPLES

The division has adopted a series of new programmatic and management principles that form the basis for the new model of parole. These principles (some of which are briefly discussed in Parole in California: A Three-Year Evaluation and Development of a New Model, pp. 18-20) are founded on the conclusions of the demonstration project evaluations, other research, and experience over the last three years.

A. The new program principles adopted by the division are as follows:

- . Undertaking frequent and comprehensive assessments. There are large variations in the personalities, backgrounds, and ages of adult offenders supervised by P&CSD, the types of crimes they have committed, their prison experiences, and the circumstances and problems they encounter while on parole. These variations affect the risks and needs of each offender during the period of parole/outpatient status. Prior to each adult offender's release from an institution, parole field staff will undertake a comprehensive and formal assessment of the offender's risks to the community and needs for assistance.

Risks assessments will identify, to the extent possible, the likelihood of each adult offender's engaging in criminal activity. Needs assessments will indicate the type and level of services required to lessen the prevalence and intensity of an offender's problems, meet his or her essential needs, and strengthen capabilities for self-sufficiency.

The initial risks and needs assessments will be reviewed and revised at scheduled intervals and when triggered by significant actions by the offenders or by changes in their situation.

- Developing and updating action plans. The assessments and reassessments will be used to develop action plans, which will formally and comprehensively specify the degree and range of controls and services to be provided or secured for each offender, along with the manner in which these controls and services will contribute to the specified case objectives. Because ongoing events and the progress made by each adult offender (as reflected in risks and needs reassessments) influence subsequent actions, these action plans will be reviewed and updated periodically.

The case objectives stated in each adult offender's action plan will determine activities to be undertaken by the adult offender and field staff. In most cases, achievement of these objectives will be possible only through a process of continual re-examination and through a timely response to observed changes.

- Providing or securing appropriate and effective controls and services. As a result of the differences in risks and needs posed by each adult offender, as well as changes in those risks and needs over time, there are substantial variations in the nature and scope of the services and controls that should be provided to offenders at different points in their period of supervision. No one program or mix of programs,

no one time pattern of application, and no one level of participation is appropriate for all or even a majority of adult offenders. Because of the complexity and intractability of the factors leading to recurrences of criminal behavior, it is doubtful that any mix of programs, patterns of application, or levels of participation can be developed that will be successful overall.

In-depth appraisals have shown, however, that certain interrelated controls and services are effective in improving the chances for successful parole outcomes for certain types of adult offenders at certain points in their parole/outpatient status. These controls and services programs are to be secured where appropriate; in addition, other effective programs are to be identified or developed.

- Providing differential supervision. The supervision provided for each adult offender should be based on the risks and needs posed by that offender as well as the levels of effectiveness of the various activities that can be undertaken by the offender and P&CSD to achieve case objectives. The depth, quality, and rapidity of services, controls, and case management activities that are undertaken should reflect those differences.

Because of the limited resources available for use within P&CSD, choices must be made within the division as to where its resources are best applied. The division's executive staff has decided to target resources primarily upon those adult offenders posing the greatest risks to the community. The second priority for resources are those persons with the

greatest needs. Those persons believed to present the least risks to the community and to have the fewest needs in terms of making a successful adjustment to life in the community will receive the least direct attention from the division.

The procedures to be followed, and the speed with which they are undertaken, will be improved for those cases posing high and immediate risks and needs. Use of specialized skills will be emphasized in these cases; greater use will be made of collateral and investigatory agencies. (Because of limited resources, the depth, quality, and rapidity of controls and services that can now be provided for offenders posing low risks and needs may have to be reduced. This problem can be remedied in part, however, by a greater reliance on the services of other agencies.)

In order to free the additional resources to be devoted to high risks and high needs cases, and in order to clearly identify the levels of risks and needs posed by offenders, each offender will be assigned to one of three overall forms of supervision: controls emphasis, services emphasis, and minimum supervision.

Controls emphasis stresses programs intended to prevent, detect, or interrupt actions and situations by which adult offenders are endangering or are likely to endanger the community or themselves. Such programs may include but are not limited to closer observation, investigation, substance abuse detection, and intervention. Although priority is placed on controls programs in this supervision mode, services also will be secured as needed.

The controls emphasis form of supervision should in no way be confused with the several experimental "high control" projects currently being

operated by the division. Following completion of the evaluations of the high control projects, some features of these projects may be included in the range of allowable controls activities.

Services emphasis stresses programs intended to lessen the difficulties faced by adult offenders and enhance their capabilities in adjusting to life in the community. Such programs include but are not limited to residential placement, employment referral, health care assistance, problem-solving training, and financial aid. Although priority is placed on services programs in this mode of supervision, controls also will be applied as needed.

For certain adult offenders, one services program (e.g., employment placement) may be sufficient. The majority of adult offenders, however, may require a number of differing services provided in a time-phased manner. The result of this "layering" of services may be greater than would be achieved by providing services independently.

Minimum supervision is the third form of parole/outpatient supervision to be employed in the new model. Adult offenders placed in a minimum supervision status are considered to pose little or no risks to the community and to have infrequent or low needs for services. Those minimal controls deemed necessary and those services requested by the adult offender will, however, be secured as appropriate.

Adult offenders may be placed in minimum supervision status at any point in their parole/outpatient status. For example, accomplishment by a given adult offender of the case objectives specified in his or her action plan may lead to a reassessment and action plan update calling for placement in minimum supervision status. Offenders may be removed from minimum supervision status at any time, based on immediate events or on the results of a reassessment.

Based on some preliminary calculations, it is believed that at the end of the operational shakedown period roughly 40 percent of all adult offenders currently under supervision will be given a controls emphasis form of supervision, 38 percent given a services emphasis, and 22 percent placed in minimum supervision. The actual figures may vary markedly among geographical areas.

Emphasis on outcomes, not activities. Traditionally, there have been substantial difficulties in measuring the impact of parole operations. As a result, the division had tended to pay an inordinate amount of attention to controlling and measuring parole agent activities, and not to the good effects those activities had been (or should have been) designed to achieve. For example, agents have traditionally been expected to maintain over a given time interval a minimum number of contacts, either with each adult offender in their caseloads or with their total caseload. The summary parole study, however, indicated that contacts per se contribute little if anything toward achievement of favorable parole outcomes for a large percentage of adult offenders.

During the operational shakedown period of the new model, therefore, minimum contact requirements and other activity standards (such as case conferences) that are currently specified in the felon and non-felon procedures manuals will be modified. Case supervision requirements during this period will be based on the action plan developed for each adult offender.

Measures of effectiveness have been developed for the programs conducted by the division (see Section VII). These measures can be used to assess the extent to which the case objectives identified for individual adult offenders in their action plans are being achieved, as well as the success of districts and the division as a whole in achieving their collective objectives. The emphasis is on outcomes; a set

of activity indicators will be used primarily as a means of determining the relationship between kinds and levels of activities in programs and observed results.

B. The new management principles adopted by the division are as follows:

Functional specialization by field staff. Division field staff will be placed in functional specialties. The division is committed to a change from the generalist to a specialist approach for two basic reasons. First, the majority of persons are better at--or enjoy more--certain tasks relative to other tasks; very few people are equally competent and interested in all areas related to the supervision of adult offenders. And second, as the tasks required of parole agents become more numerous and complex, a depth of knowledge, skills, and activities is required that mandates concentration; further progress in the "technology" of parole supervision requires functional specialization. The division is convinced that the majority of agents will perform their jobs better by concentrating on a few functional areas.

Various mixes of functional specialties are possible. Six basic specialties--which appear to incorporate all activities of case-carrying field staff--have been identified:

Managing Cases -- The process of ensuring that each adult offender is supervised in full accord with all of the policies and procedures of the parole system by: assuming legal responsibility; preparing reports and maintaining required records; discussing rights, duties, and conditions of parole; serving as a point of contact; arranging for and integrating the performance of all of the other parole functions; coordinating and scheduling routine and special case

reviews, reassessments, and action plan updates; and, when necessary, recommending changes in status.

Assessing and Reassessing Risks and Needs -- The process of obtaining, validating, interpreting, weighing, integrating, and drawing conclusions from background and current factual information, test results, and opinions relevant to an adult offender's potential for involvement in criminal and delinquent activity as well as to that adult offender's problems and needs.

Developing and Updating Action Plans -- Based on the results of initial assessments or reassessments, the process of specifying a graded progression of achievements and formulating an integrated set of activities to be undertaken by the adult offender as well as a related set of controls, services, and other actions to be provided or secured by parole staff in order to accomplish those achievements.

Applying or Securing Controls -- Based on the current action plan or on the immediate circumstances, a process of closely observing adult offenders, their associations, and their environments and of testing, imposing limitations on, correcting, or apprehending those adult offenders whose activities or situations are endangering or are likely to endanger the community or the adult offender.

Providing or Securing Services -- Based on the current action plan or on the immediate circumstances, a process of responding to problems and unmet needs of adult offenders, their families, and situations by strengthening adult offenders' capabilities for self-sufficiency, by lessening the prevalence and intensity of their problems, by making skilled referrals to or providing aid, and by obtaining material assistance required to meet their essential needs.

Preparing for Status Changes -- A process for expeditiously and equitably changing the parole status of an adult offender when achievement of the objectives in the adult offender's action plan, or significant failure to conform to it, suggests that such changes in status are desirable or necessary by: notifying adult offenders of potential changes in their status and providing information and counsel concerning their rights and privileges; scheduling, attending, and testifying at hearings; notifying and transporting witnesses; and preparing for and requesting actions on extensions, suspensions, revocations, and discharges.

It should be noted that the responsibilities for supervision of minimum supervision cases fall primarily under the case management function. In addition, it is expected that the functional specialties adopted for some field staff may include more than one of these functions (e.g., assessing/reassessing and action plan developing/updating).

The activities performed by staff specializing in one function will vary markedly in most cases from the activities required of staff specializing in the other functions. The activities expected to be performed by persons within each of the six specialties identified above are listed in an appendix to this document.

It is anticipated that the division's allocated resources will be utilized in a more efficient manner under the new model of parole, due in large part to functional specialization. In addition, the effectiveness of individual P&CSD programs and of the division itself is expected to increase. The availability of a full array of functions within each basic operational unit. As part of the new model, parole districts are able to choose a unique organizational arrangement for their staff and offices. (Possible arrangements are identified in Section III, Organizational Options.) Certain large districts, or districts having markedly different clientele or problems within geographical areas, may choose to sub-divide into two or more "basic operational units," each having a unique arrangement. Each basic operational unit (which can correspond to the district itself, an existing

unit, or an intermediately-sized set of staff and physical resources) must provide the full array of functions needed to ensure the public's safety and promote the adjustment of adult offenders to life in the community.

Thus, if a district adopts an organizational option that makes it the basic operational unit, all six of the functions identified above must be provided by that district. In other words, all of the activities listed in the appendix for each of the six functions must be achieved. Still another way of stating the same principle is that all of the items listed in the Supervision category in the division's program hierarchy chart (Figure 1, page 19) that are currently in operation must be provided by each basic operational unit.

Assumption of greater responsibility by field level management. Within policy guidelines, primary responsibility for ensuring the provision of the full array of functions and for resource allocation will rest with the basic operational units. In general, decision-making responsibility will be given to the lowest possible level.

Resource allocations will be a prime concern of field administrators and their staffs: careful choices of emphasis with respect to both functions and programs must be made in order to accomplish the division's objectives (as identified on the following pages) as well as the case objectives identified in each adult offender's action plan.

Assignment of field staff and evaluation of performance based on workload, not caseload. The number of factors that can cause variations in the level of work required of two

agents dealing with the same number of cases (including differences in functional specialty, forms and levels of supervision required, geography, movement of clients, frequency of reassessment, etc.) preclude caseload sizes being used as a determinant of activity assignment. An empirically-determined formula to be used in determining assignment levels will be developed.

The responsibility of distributing workload in the best possible manner within a unit will rest with the immediate supervisor; responsibility for distributing workload among units will rest with the district administrator.

Improvement of information systems. Even with the improvements made by the division in information collection and processing during the last three years, P&CSD is a long way from having available on a routine and timely basis the kinds of information necessary to ensure well-informed decisions. Four general uses of information--at all levels of the division--should be emphasized.

Monitoring -- Frequent checking to ensure that adult offenders are engaging in the activities prescribed in their action plans and are accomplishing the stated goals.

Auditing -- Periodic checking to ensure that field activities comply with division procedures and policies.

Evaluation -- Comprehensive and thorough reviews and interpretations to discover whether desired results are being achieved.

Budgeting -- Regularized review of the types and levels of funds to be distributed to different parts of the division to perform needed activities.

Information needs during the operational shakedown period will be great, to ensure that the new model is operating as intended and to indicate necessary changes.

A commitment has been made by executive staff to make major improvements in the division's information system without increasing the information gathering workload of field staff. Section VII, Information and Systems, details how this is to be accomplished.

Improvement of guidance and feedback from executive staff.

Clear policy guidelines, the refinement of overall division goals, improved communications among organizational levels, and a clearer understanding of expectations relative to field staff responsibilities and standards will be sought under the new model.

- C. The division has expended considerable effort in developing a set of interrelated objectives. The higher level statements of objectives--which, in effect, constitute a philosophical statement on the purposes of parole--are firmly based in current legislation. Section 5000, Article 1, Chapter 8 of the California Penal Code states that:

"The Legislature finds and declares that the period immediately following incarceration is critical to successful reintegration of the offender into society and to positive citizenship. It is in the interest of public safety for the state to provide for the supervision of and surveillance of parolees and to provide educational, vocational, family and personal counseling necessary to assist parolees in the transition between imprisonment and discharge."

Because of the redirection of P&CSD in the new parole model, a review of the previously approved program structure,

hierarchical objectives, and measures of effectiveness was undertaken. Changes in all three of these elements were found to be necessary to achieve consistency with the overall thrust of the new model.

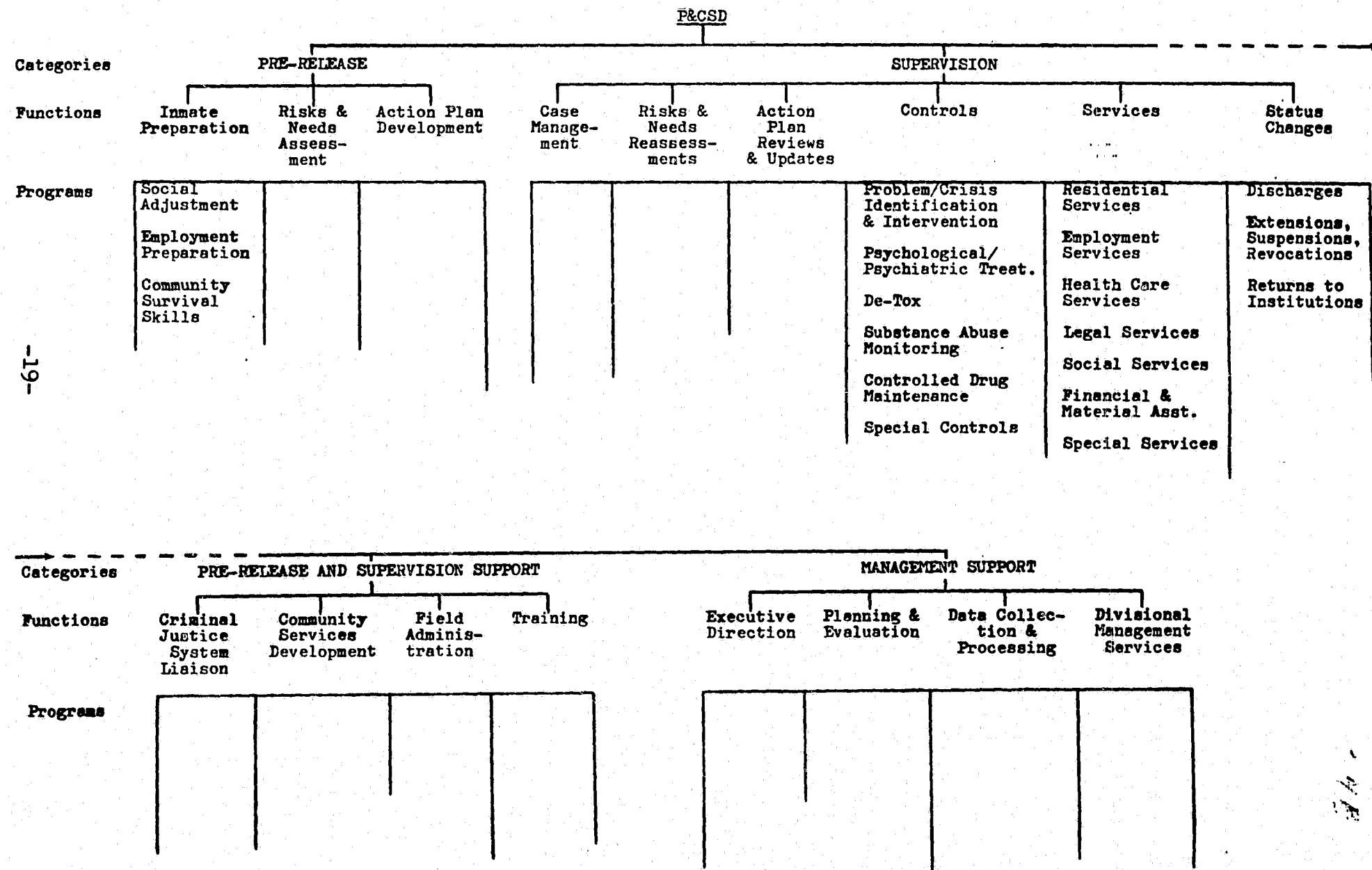
Four categories of programs are contained in the program structure (see Figure 1): Pre-Release, Supervision, Pre-Release and Supervision Support, and Management Support. Individual functions under Pre-Release are Inmate Preparation, Risks and Needs Assessment, and Action Plan Development. Individual functions under Supervision are Case Management, Risks and Needs Reassessments, Action Plan Reviews and Updates, Controls, Services, and Status Changes. Individual functions under Pre-Release and Supervision Support are Criminal Justice System Liaison, Community Services Development, Field Administration, and Training. Individual functions under Management Support are Executive Direction, Planning and Evaluation, Data Collection and Processing, and Divisional Management Services.

The objective statements developed for the functions, categories, and the division itself as a part of the new model of parole are as follows:

Overall Objective:

To reduce the frequency and severity of criminal behavior and to facilitate the adjustment to life in the community of adult offenders, fully recognizing their individual and changing circumstances and actions, by performing suitable pre-release, supervision, and support functions.

FIGURE 1
PAROLE & COMMUNITY SERVICES DIVISION (P&CSD)
PROGRAM HIERARCHY



Pre-Release:

To enable pre-releasees to cope more successfully with the transition to life in the community and, where necessary, to prevent or interrupt delinquent and criminal activities among pre-releasees in the community, by specifying timely and appropriate case objectives and an integrated set of related actions, and by securing timely and appropriate controls and services.

Inmate Preparation:

To enable pre-releasees to cope more successfully with the problems, circumstances, and needs they face or are likely to face in their transition to life in the community and, where necessary, to prevent or interrupt criminal and delinquent activities among pre-releasees in the community, by applying or securing institution- or community-based services and controls.

Risks and Needs Assessment:

To ensure that timely and appropriate case objectives and an integrated set of related actions can be specified in the initial action plan of each adult offender by a formal and comprehensive review of past and current behavior, circumstances, and problems.

Action Plan Development:

To ensure that the controls and services that will be provided or secured for each adult offender are timely and appropriate by formulating a series of case objectives and an integrated set of related actions to be undertaken by that offender and by field staff.

Supervision:

To prevent or interrupt criminal and delinquent activities as well as behavior and circumstances likely to result in these activities, and to maintain or enhance behavior or circumstances facilitating the adjustment of adult offenders to life in the community by applying or securing appropriate controls and services and by performing related functions.

Case Management:

To ensure that case objectives specified in each adult offender's current action plan as well as actions required by immediate circumstances are

accomplished by securing supervision in full accord with all of the policies and procedures of the parole system.

Risks and Needs Reassessments:

To ensure that timely and appropriate changes can be made in the action plan of each adult offender by a formal and comprehensive review of current behavior, circumstances, progress, and problems.

Action Plan Reviews and Updates:

To ensure that the controls and services being provided or secured for each adult offender are currently appropriate by reviewing and reformulating as necessary a series of case objectives and an integrated set of related actions to be undertaken by that offender and by field staff.

Controls:

To prevent or interrupt actions or circumstances of adult offenders that result in, or are likely to result in, delinquent or criminal behavior by applying or securing timely controls of the kind, frequency, and intensity specified in the offender's action plan or appropriate to the situation.

Services:

To lessen problems that hinder adjustment to life in the community, to continue actions or circumstances promoting adjustment, and to increase capabilities for self-sufficiency among adult offenders by expeditiously providing or securing services specified in the offender's action plan or appropriate to the situation.

Status Changes:

To ensure a form of supervision responsive to an adult offender's risks, needs, problems, and circumstances and to facilitate the transition to unsupervised life in the community or, where necessary, to an institution, by expeditiously and equitably changing the parole status of an adult offender when achievement of the case objectives, or significant failure to achieve them, warrants a change.

Pre-Release and Supervision Support:

To enhance the effectiveness and efficiency of the pre-release and supervision processes by utilizing criminal justice system resources, by developing community services and enlisting community support, by improving field operations, and by providing specialized training of staff.

(Objectives for the functions within this category will be developed subsequently.)

Management Support:

To improve the overall effectiveness, efficiency, and equity of the Parole and Community Services Division by providing clear executive direction, by conducting comprehensive policy and program planning and evaluation, by collecting and processing relevant data on a timely basis, and by providing a variety of division-wide managerial services.

(Objectives for the functions within this category will be developed subsequently.)

III. ORGANIZATIONAL OPTIONS

This is the second of the three sections that describe the new model of parole. Although there is only one model, adaptations in the structure of the basic operational units to unique geographical situations and resources are encouraged. (The basic operational unit is defined as the smallest organizational unit that provides the full array of controls and services.) Eight organizational options are presented here to provide guidance to the districts in their choice of a workable structure. These are the integrated unit, extended geography sub-unit, basic rural, functional specialist, team supervision, district supervision, case management, and resource specialist. Descriptions and organizational charts of each of these options are included in this section.

These are only illustrative cases; districts may use variations of these options or mix elements of two or more options. Considerable flexibility is already inherent in each of the options, however. For example, local workload assessment may dictate that a basic operational unit have proportionately more controls specialists or more services specialists; that an assessment/action plan specialist report directly to the supervisor; or that one or more functional specialties be expanded

or eliminated. These modifications would be consistent with the intent and principles of the new parole model and therefore would be acceptable.

The following illustrations of the options do not provide complete role definition or operational detail. The district implementation plans will necessarily have greater detail; these plans will define the roles of all staff as they relate to the proposed option and meet local needs.

The first option, the integrated unit, is shown in detail for illustrative purposes; the other options are abbreviated for the purpose of time and space. All options share many of the same features and are characterized by many of the same procedures as the first illustration. Indeed, many of these features and procedures are tied directly to the program and managerial principles stated in Section II, above, and are to be uniform throughout the state. For example, in all options cases pass through a case flow coordinator (usually at the region level), and in all options it is assumed that an assessment of risks and needs has been conducted prior to assignment of the case. None of the options address the regional structure, and any reference to regional structure is for the purpose of illustration only.

An additional position that could be added to most of the options would be a coordinator of criminal activity information.

This person would be located at either the regional or district level and would specialize in such information as gang activities, organized crime activity, or large-scale narcotic transactions.

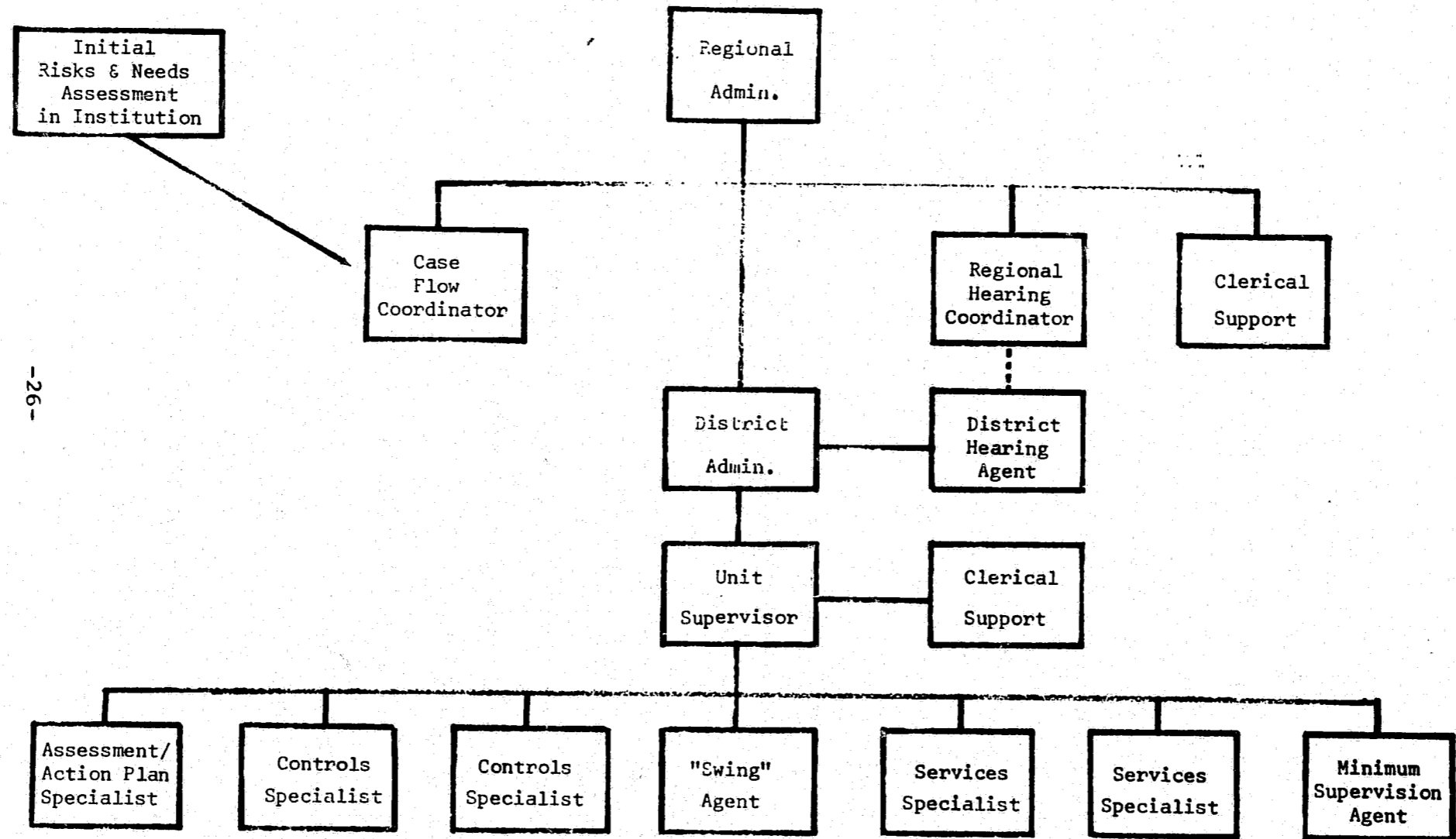
A. Integrated Unit

Each integrated unit (see page 26) would have both services and controls specialists. A "swing" agent would be assigned to provide assistance to specialists as dictated by workload. One agent would provide requested or emergency services and assistance to minimum supervision cases.

As in all options, the risks and needs assessments are to be undertaken--if possible--while the offender is still in the institution. The parole material, including the risks and needs assessment, will be sent to the case flow coordinator who will maintain a log of cases received, review the case file for completeness, and refer the case to the appropriate unit, based on geography and special case risks or needs.

Case flow coordinator here refers to a function, not necessarily a person or position. A designated person will assign each case to the assessment/action plan specialist, who will investigate and validate the release plan as indicated in the initial assessment of risks and needs. Upon completion of the pre-parole investigation,

INTEGRATED UNIT



a designated reviewer at the parole agent II level or above will determine tentatively whether the case falls into controls emphasis, services emphasis, or minimum supervision. The case will then be assigned to the appropriate specialist. The agent of record (i.e., the agent designated as having primary responsibility for the case), the unit supervisor, and the assessment/action plan specialist will then develop the initial action plan, including any special conditions of parole and make a final determination of the appropriate supervision emphasis based on the initial risks and needs assessments and the activities specified in the action plan.

Several variations relevant to the integrated unit are possible presuming there is a sufficient workload.

For example:

- . Risks and needs assessments can be completed for all cases in the district by adding a risks and needs assessment specialist to district staff.
- . The minimum supervision agent can be omitted, fulfilling that function with a case manager working with both the services and controls agents.
- . All arrest functions in the unit can be assigned to one controls agent.
- . Controls functions can be divided between two agents, one having case management responsibility, the other providing specialized controls such as surveillance, investigation, law enforcement liaison.

- . Services functions can be divided between two agents, one to provide supervision as the agent of record, the other to act as a resource development specialist without case management responsibility.
- . An assessment/action plan specialist can act as the agent of record, supervising those cases that are not clearly suited to either a controls or services emphasis for a limited and specific period of time until a specific determination can be made based on field experience.
- . Services and controls agents can function as a team to supervise jointly those cases having substantial levels of both needs and risks.

There are significant advantages to this option:

- . It can be done within existing budget.
- . The chain of command and flow of information is clear.
- . The span of control for district administrator/supervisor is limited to an easily manageable number of persons.
- . There is flexibility in adjusting the workload based on the demands for controls or services.
- . It increases the opportunity for staff mobility (rotation) and ability to shift resources as needed.
- . It facilitates monitoring of functions in both the unit and district.

There are also several disadvantages to this option:

- . It is difficult to implement in rural areas.
- . It has the potential for "slippage" into the former generalist approach.

B. Extended Geography/Sub-Unit

The extended geography/sub-unit option (page 30) is identical to the integrated unit option except that it permits one or more generalists in the unit. This option is limited to areas that cover a geography with mixed densities of cases. The generalist in this option would be an agent who is assigned to a predominantly urban/suburban unit but who has a rural area to cover (example: the Inyo/Mono County area served by the San Fernando Unit). This model would also be effective for a unit with an assigned sub-unit. The sub-unit would operate with a basic rural option (all generalists) or with an extended geography option, depending on the density of cases.

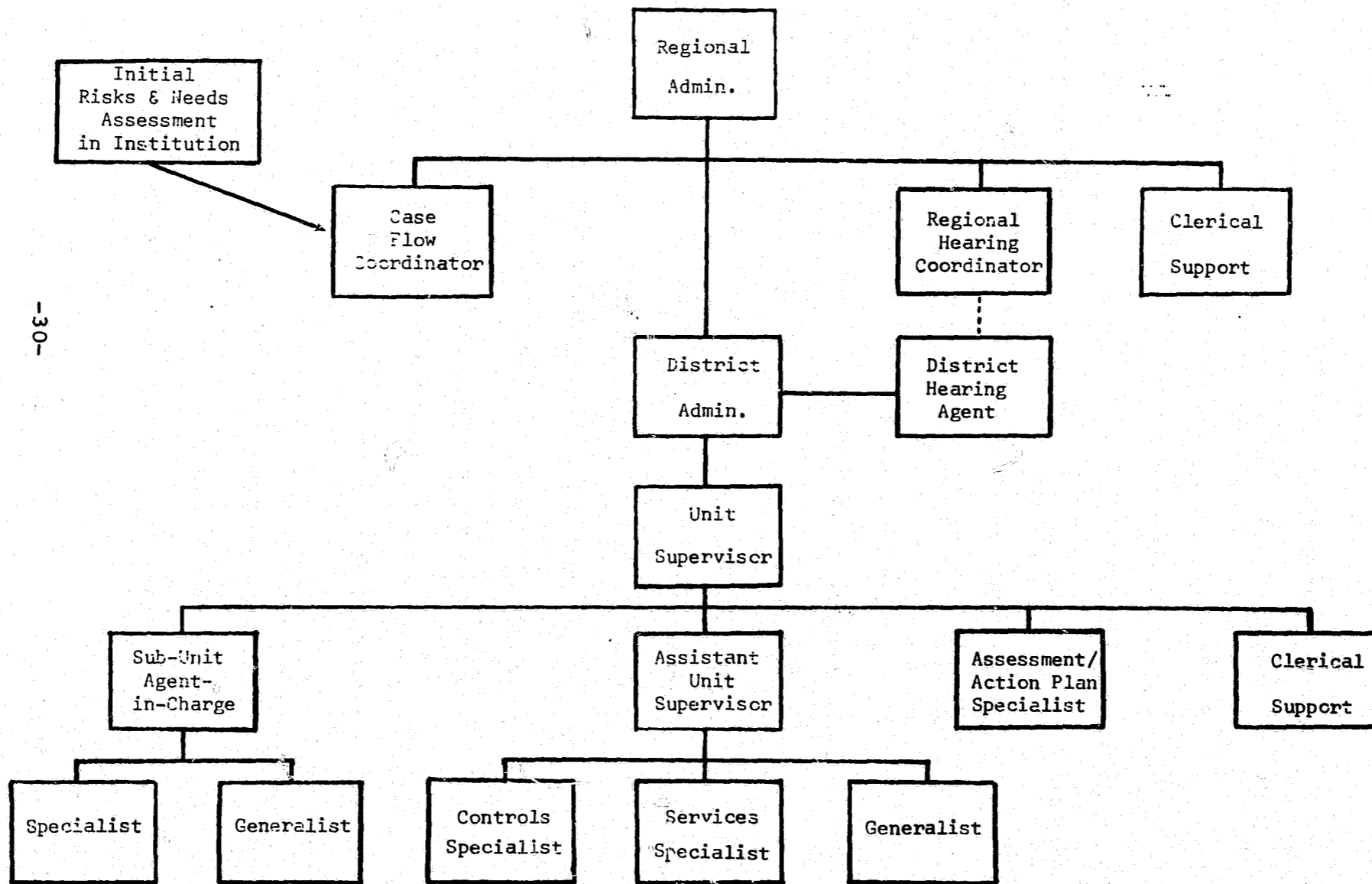
In this option, the generalist agent could develop and secure resources in the rural areas to assist with cases in either services or controls emphasis.

The advantages and disadvantages of this option are the same as with the integrated unit option.

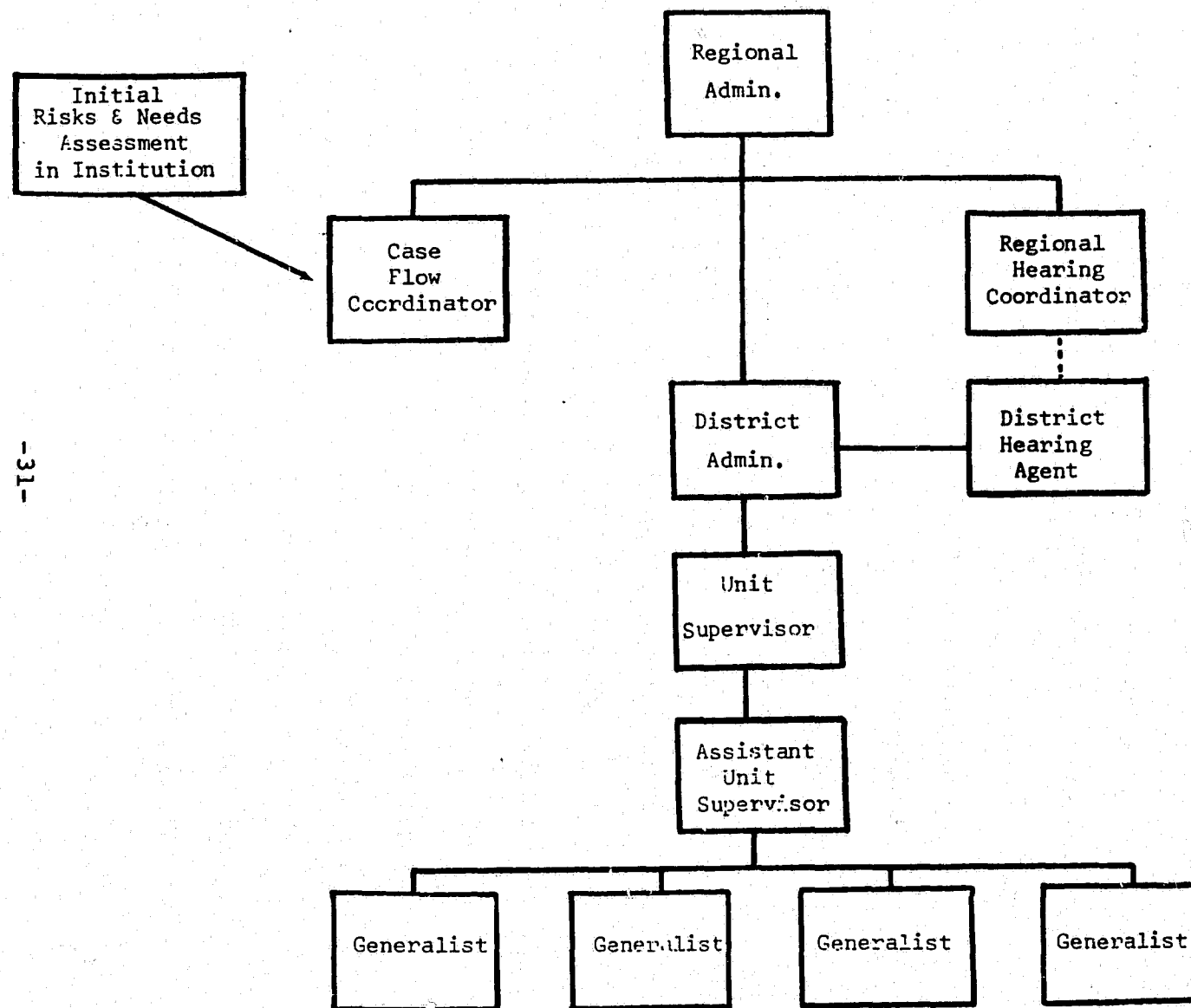
C. Basic Rural

The basic rural option (page 31) is designed for units that are so rural or where the parolee/releasee population is so dispersed that a specialist function

EXTENDED GEOGRAPHY SUB-UNIT



BASIC RURAL OPTION



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clearly is not possible. There may be only one or two basic operational units that will fit these criteria. (In order for this option to be selected for a unit, written justification in terms of specific geography, case dissemination, and clearly stated reasons why a specialist model could not be used must be submitted.)

Specialization will be focused on risks and needs assessments, reassessments, and on action plan development. The entire range of controls and services functions will, of necessity, be carried out by individual agents.

Case flow will be accomplished through the case flow coordinator and designated functional unit staff.

Parole agent I's will handle the full range of supervision tasks, such as revocation, discharges, and arrests, in addition to their specialized functions. The supervisor will concentrate on administrative functions such as monitoring, quality control, and data collection as well as being accountable for focusing upon specialized functions within a structure that previously emphasized the generalist approach.

The specialist parole agent II is a variation to this unit model. The specialist could be used for resource development/coordination in the unit. This has been a special problem in rural areas where there frequently are

few community resources and those available tend to be spread out. Having one person who is knowledgeable about resources throughout the unit's geography would be of great assistance to all agents. This specialist could also provide a number of other special functions such as investigation, training, law enforcement liaison, etc.

This option will allow units to concentrate on using resources effectively, recognizing the constraining factors of attempting to specialize in a rural area. However, the specialization of functional aspects will be emphasized in doing risks and needs assessments, reassessments, and action plan development/updating.

The advantages of the basic rural option are:

- . It is cost-effective, reducing the duplication of supervision in extremely rural areas.
- . Systems can be established under present resources.
- . The lines of authority are simple and clear.
- . The opportunity for the flow of information is good.
- . The size of the unit is flexible depending on geography, workload, etc.

The overriding disadvantage is that this is basically a generalist approach; it will be extremely difficult for any basic operational unit adopting this option to receive the major benefits of the new parole model.

D. Functional Specialist

In the functional specialist option (page 35), the district will be composed of three functional units and one integrated unit (or any reasonable combination that meets the needs of the district). These units may be housed together or separately.

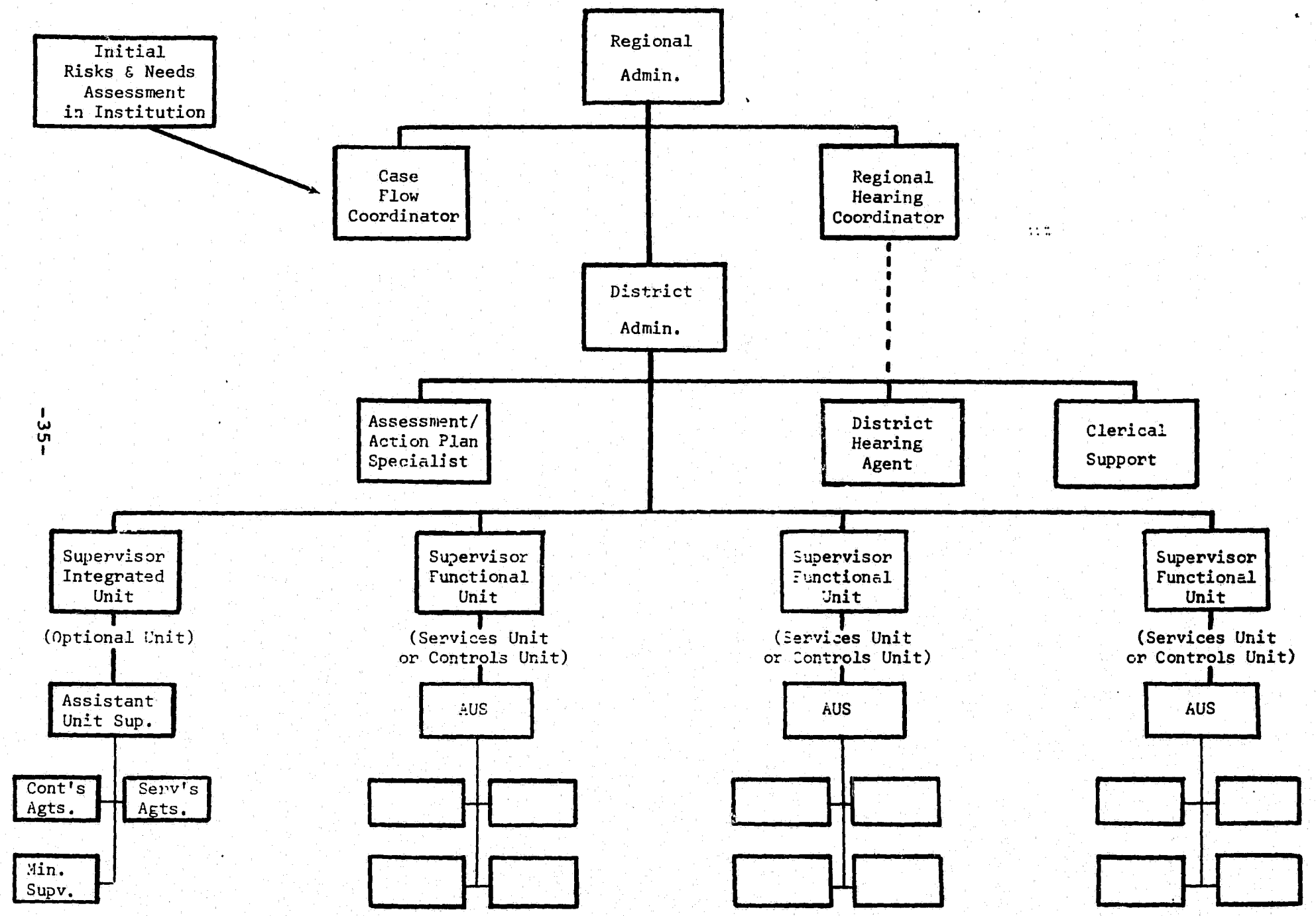
The region will maintain the responsibility of receiving cases from the institution, processing these cases, and assigning them to the appropriate district.

The assessment/action plan specialist(s) for a given case will be assigned at the district level. The pre-parole material will be investigated and referred to an appropriate unit for development of the action plan. Based on the supervision emphasis specified in the action plan, an appropriate agent of record will be assigned. If, for example, a case is initially assigned to controls emphasis, a controls specialist in the controls specialty unit or in the integrated unit will be the initial agent of record.

Variations:

- One variation is to create a deputy district administrator (at the parole agent III level) to supervise the district clerical, hearing agent, and assessment/

FUNCTIONAL SPECIALIST OPTION



-35-

Initial
Risks & Needs
Assessment
in Institution

Case
Flow
Coordinator

Regional
Admin.

Regional
Hearing
Coordinator

District
Admin.

Assessment/
Action Plan
Specialist

District
Hearing
Agent

Clerical
Support

Supervisor
Integrated
Unit

(Optional Unit)

Assistant
Unit Sup.

Cont's
Agts.

Serv's
Agts.

Min.
Supv.

Supervisor
Functional
Unit

(Services Unit
or Controls Unit)

AUS

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Supervisor
Functional
Unit

(Services Unit
or Controls Unit)

AUS

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Supervisor
Functional
Unit

(Services Unit
or Controls Unit)

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4/8
action plan specialists. That person may also be utilized to ensure quality control and resolve differences of opinions that may originate at the unit level.

- . The respective parole agent II's (assistant unit supervisors) assigned to the units may be assigned the minimum supervision cases within their unit's geography. They may also be utilized as "swing" agents to carry excess cases within the unit's function.
- . One person in a unit may be designated as an investigative/report-writing specialist.
- . The integrated unit may act as a "swing" unit and absorb cases from the other functional units as the workload demands evolve.

Advantages:

- . It has the flexibility of housing units in one building or four separate facilities.
- . This option has well-defined parameters of workload responsibilities. Because of the small numbers of people involved in each functional unit, communications problems may be eased.

- . The functional roles of the unit supervisors reduce district administrative problems and allow for a better allocation and reallocation of resources.
- . It facilitates the measurement and monitoring of results.

Disadvantages:

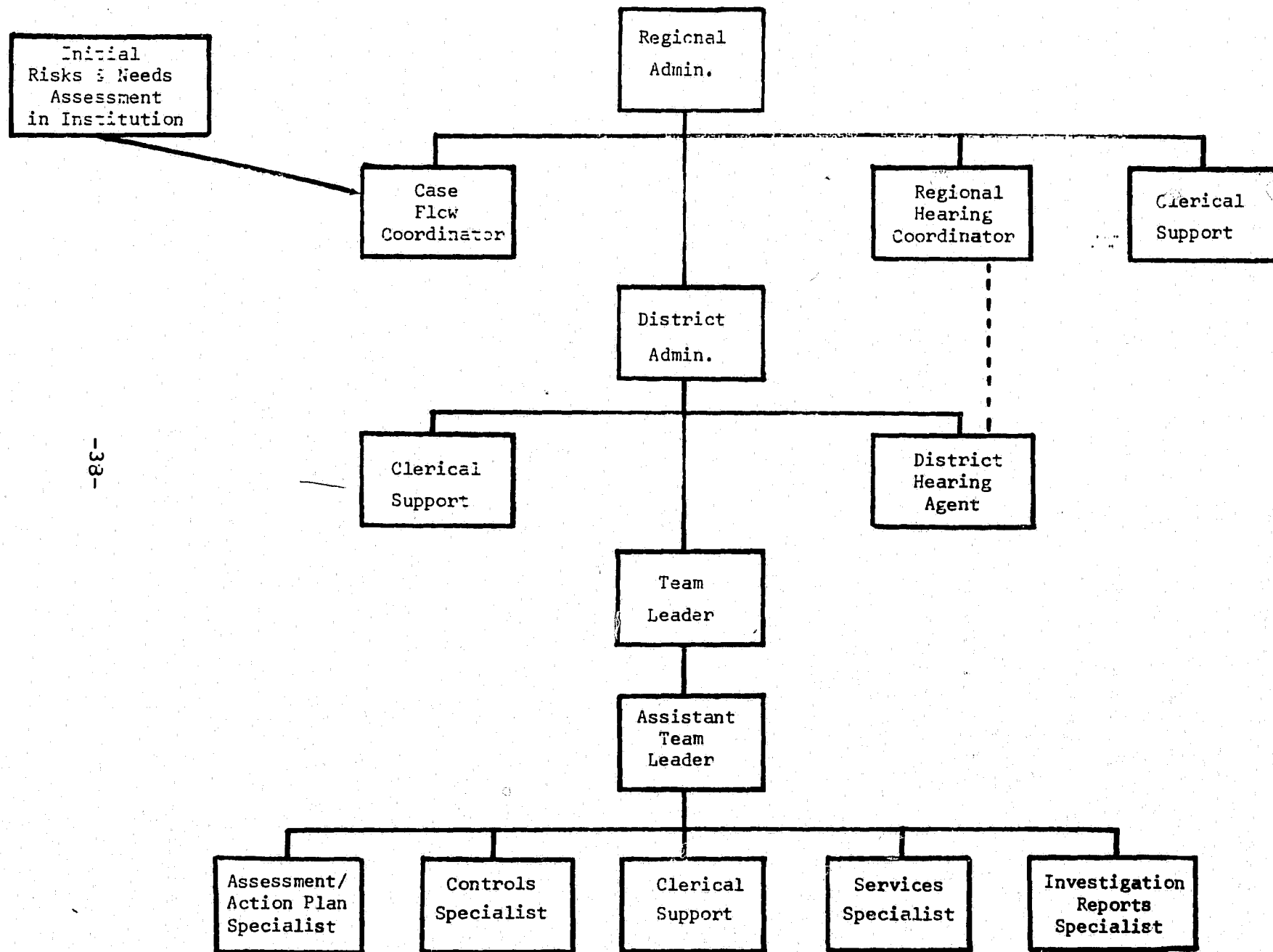
- . The assigned staff may have a negative reaction to being housed in one central facility, if that in fact does occur.
- . If housed separately, there may be a tendency for staff to feel isolated from staff specializing in the other functions. This may produce a "pecking order" as well as hamper communication about cases.
- . The adult offender may become confused when transferred to a different supervision emphasis and, as a result, to a different unit.

E. Team Supervision

In the team supervision option, (page 38), each member of the team has a specific specialized function. Major case decisions are based, where possible, on input from team members (case "staffing").

Upon reception in the unit, the pre-parole material is assigned to the assessment/action plan specialist. That

TEAM SUPERVISION



person completes the investigation and then, in a team conference, develops the initial action plan, including special conditions of parole.

A specialist on the team will assume primary responsibility for the case. The case can be supervised entirely by one specialist or by any number of combinations of team members. However, one person will be designated the agent of record for purpose of tracking the case and seeing that legal and policy requirements are met. Each team member specialist, who is designated to provide either the services function or controls function, will be both the agent of record and case manager.

Advantages:

- . It provides better flexibility for cases with services and controls needs at the same time.
- . It allows excellent information flow through frequent team conferences.
- . It provides case coverage during vacations, sick leave, etc.
- . There is excellent ability to shift resources as workload shifts.
- . It increases the opportunity for staff mobility and rotation.
- . Weaknesses of team members can be spotted easily.
- . Clerical staff may be part of team.

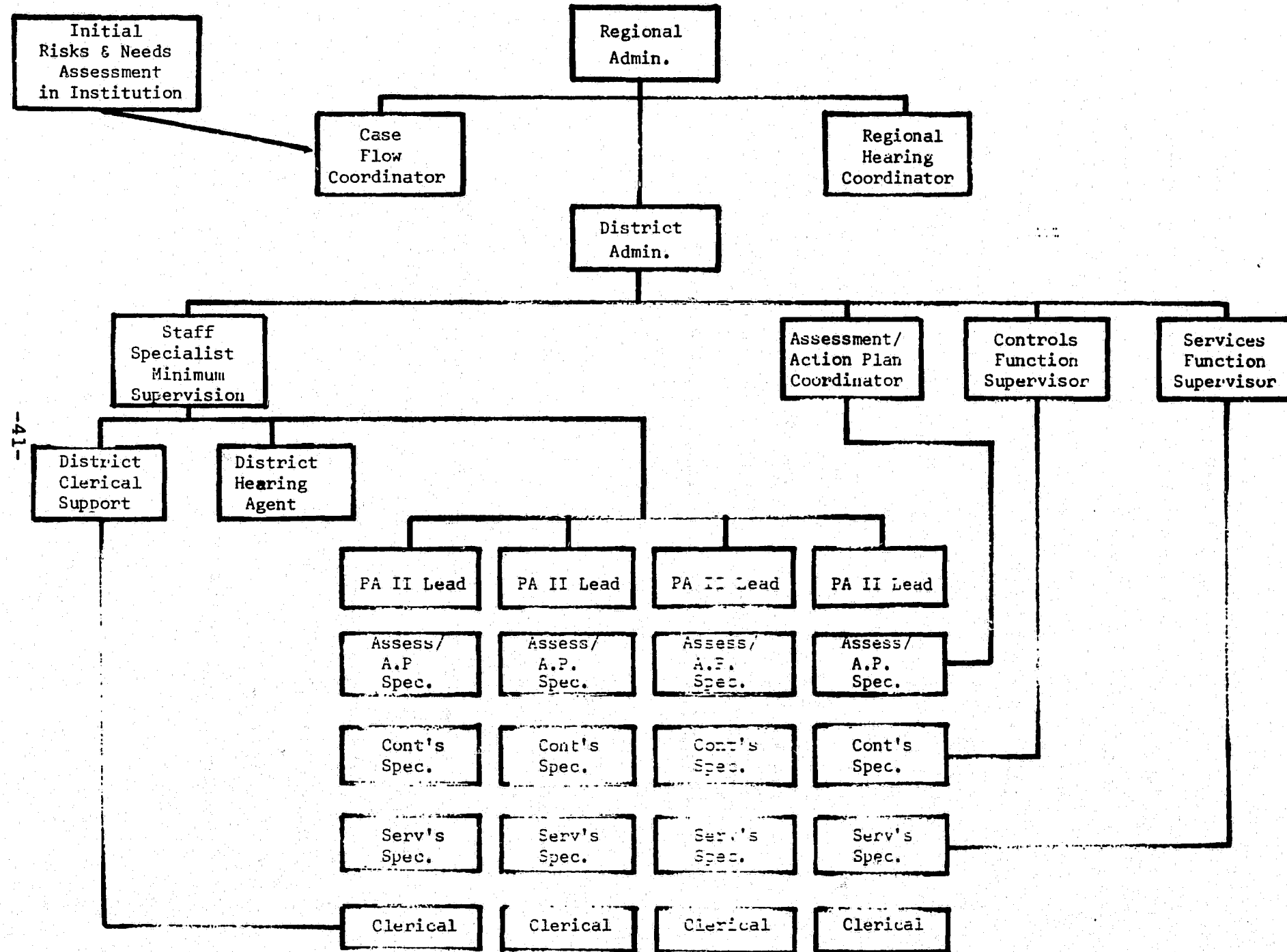
Disadvantages:

- . Many parole agents will not want to or be able to adapt well to team supervision.
- . Shifting of team members (leaving, bringing in new team members) may be difficult.

F. District Supervision

District supervision (page 41) allows for supervision of functions by supervisors at the district level. It is similar to the structure of business organizations where, for example, salespersons report to the district sales managers while working in an office that has other specialists reporting to different district specialist supervisors/managers. Cases are sent through the regional case flow coordinator to the assessment/action plan coordinator of the district office. The assessment/action plan coordinator assigns cases to the assessment/action plan specialist at the field office. The assessment/action plan specialist investigates the proposed release plan and, together with the assessment/action plan coordinator, classifies cases as controls emphasis, services emphasis, or minimum supervision. Action plans may be completed by the assessment/action plan specialist with input from other functional specialists or with the specialist supervisor. Other combinations of interaction also are possible.

DISTRICT SUPERVISION



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In this design all cases will be assigned to the district with case supervision responsibility assigned to an agent in a field unit. Each field unit will have a specialist in controls, services, assessment and action planning. The lead person would probably be a parole agent II. Each unit will have one clerical supervised by a person at the district level with coordination by the lead person.

The district office will include the district administrator, the controls functional supervisor, the services functional supervisor, the assessment/action plan coordinator, the staff specialist (probably at the parole agent III level), the district clerical pool, and a district hearing agent.

Roles of District Staff

District Administrator

The district administrator has overall administrative responsibility for the entire district. This person allocates and reallocates resources among field units and directly supervises the functional supervisors and the staff specialist. The district administrator is responsible for establishing a monitoring system for quality control, effectiveness, workflow, etc.

Functional Supervisor

The functional supervisor directly supervises the functional specialists in field units and assigns cases to controls specialists or services specialists in field units.

Assessment/Action Plan Coordinator

The assessment/action plan coordinator directly supervises assessment/action plan specialists in field units. This person assigns cases to field unit assessment/action plan specialists, and reviews assessments and action plans. Together the coordinator and specialists classify cases, complete assessments and pre-release papers, develop action plans, and assign cases to the appropriate functional supervisor.

Staff Specialist

The staff specialist supervises minimum supervision case carriers (parole agent II lead persons), the district clerical pool, and the district hearing agent, and fills in for an absent supervisor. This person also maintains the monitoring system for quality control.

Clerical Pool

Each unit has one clerical staff person; the remainder are assigned to the district office to be assigned on a roving basis to the field units as needed.

Advantages

- . It allows excellent supervision of specialist agents by functional supervisors that are also specialists.
- . An integrated field unit permits controls and services agents to work as a team as appropriate.
- . It has the flexibility of housing staff in either one large district complex, in current unit facilities, or in small mini-units ("storefront" operations).

Disadvantages

- . Housing supervisors separately from parole agent I's poses hurdles to communications as the span of control is spread out.
- . The lead person in the field unit would need to be an effective coordinator; control over other agents in the field unit are limited.
- . Establishing mini-units could be more expensive than current operations.

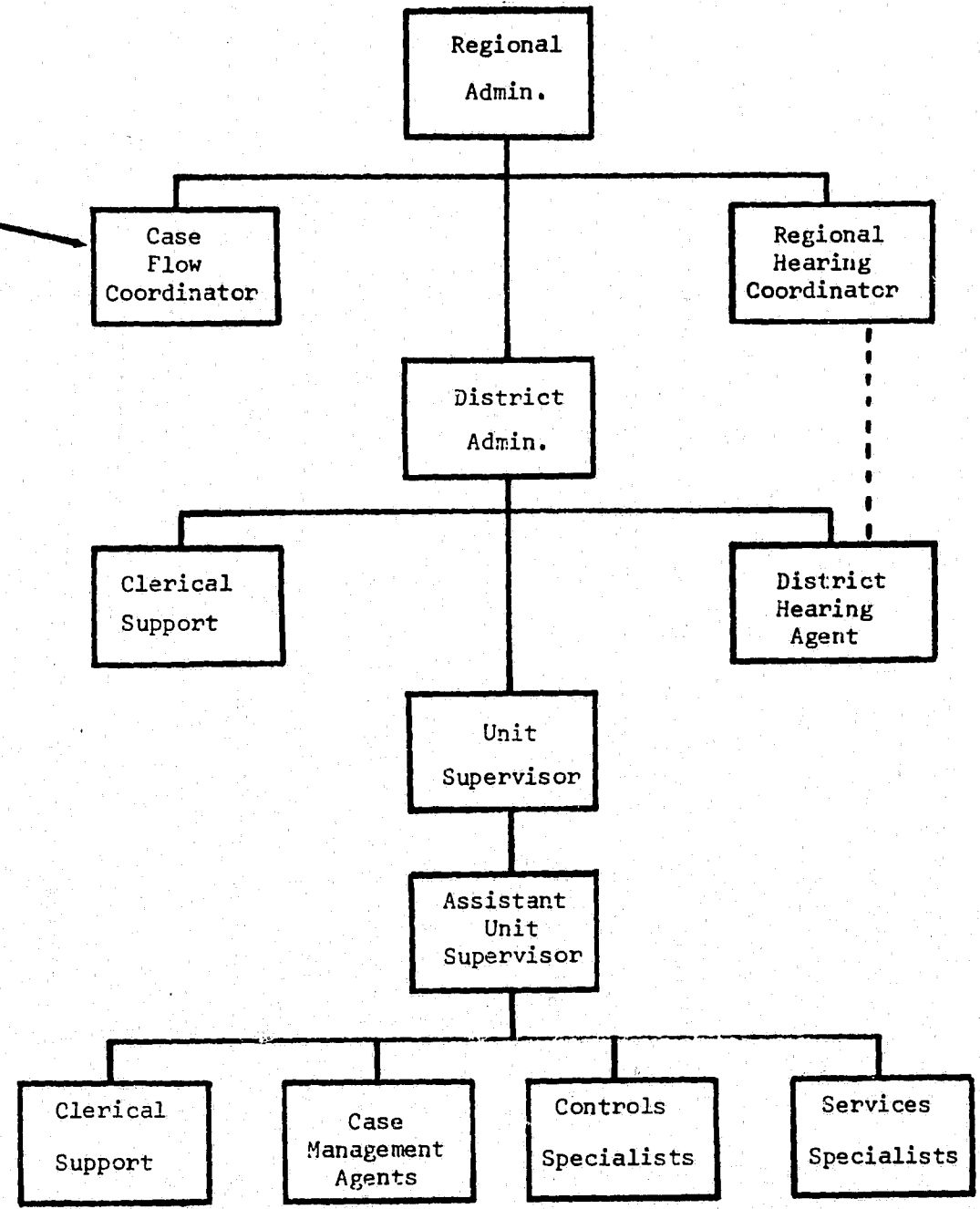
G. Case Management

All cases are assigned to case management agents.

Controls and services specialists do not become agents of record and do not carry caseloads; they do, however, provide controls or services specialist functions as requested by

CASE MANAGEMENT

Initial
Risks & Needs
Assessment
in Institution



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case management agents. While a given case is on referral to a specialist, the case remains assigned to the case management agent who continues to provide the ongoing case management functions (i.e., report writing, record keeping, routine supervision, including anti-narcotic testing). The controls or services specialists are involved in the case only as long as the need for services or controls remains.

The case is assigned through a regional case flow coordinator to the appropriate unit supervisor who, in turn, assigns the case to a case management agent. (A variation is to have a case management agent who specializes in assessment and action plan investigations.)

The case management agent conducts the assessment and pre-parole investigation and develops the initial action plan in conjunction with the unit supervisor or appropriate team leader(s). The initial action plan will call for the involvement of a services specialist or controls specialist (or both); otherwise, the case will be classified as a minimum supervision case.

Variation:

A variation is to organize a district into one case management group and two specialized teams (services and controls). One services specialist and one controls

specialist would jointly work cases on referrals from the case management agent. Team meetings would be held regularly to share information and to plan case supervision strategies. The team could be horizontal (i.e., a services specialist, a controls specialist, and the case management agent jointly involved in the case where there is a dual need) or vertical (i.e., some or all of the services or controls specialists involved in the case when needs for services or controls exist).

Advantages

- . Roles and case responsibilities are clearly defined.
- . Services and controls specialists are free to focus on their specialty; they do not have routine supervision responsibilities.
- . It lends itself to more qualitative measurements through ongoing reviews by the case management specialist.
- . It provides for team effort.

Disadvantage

- . Unless all staff are housed together, communication could be a problem (the need for good communication is critical).

H. Resources Specialist

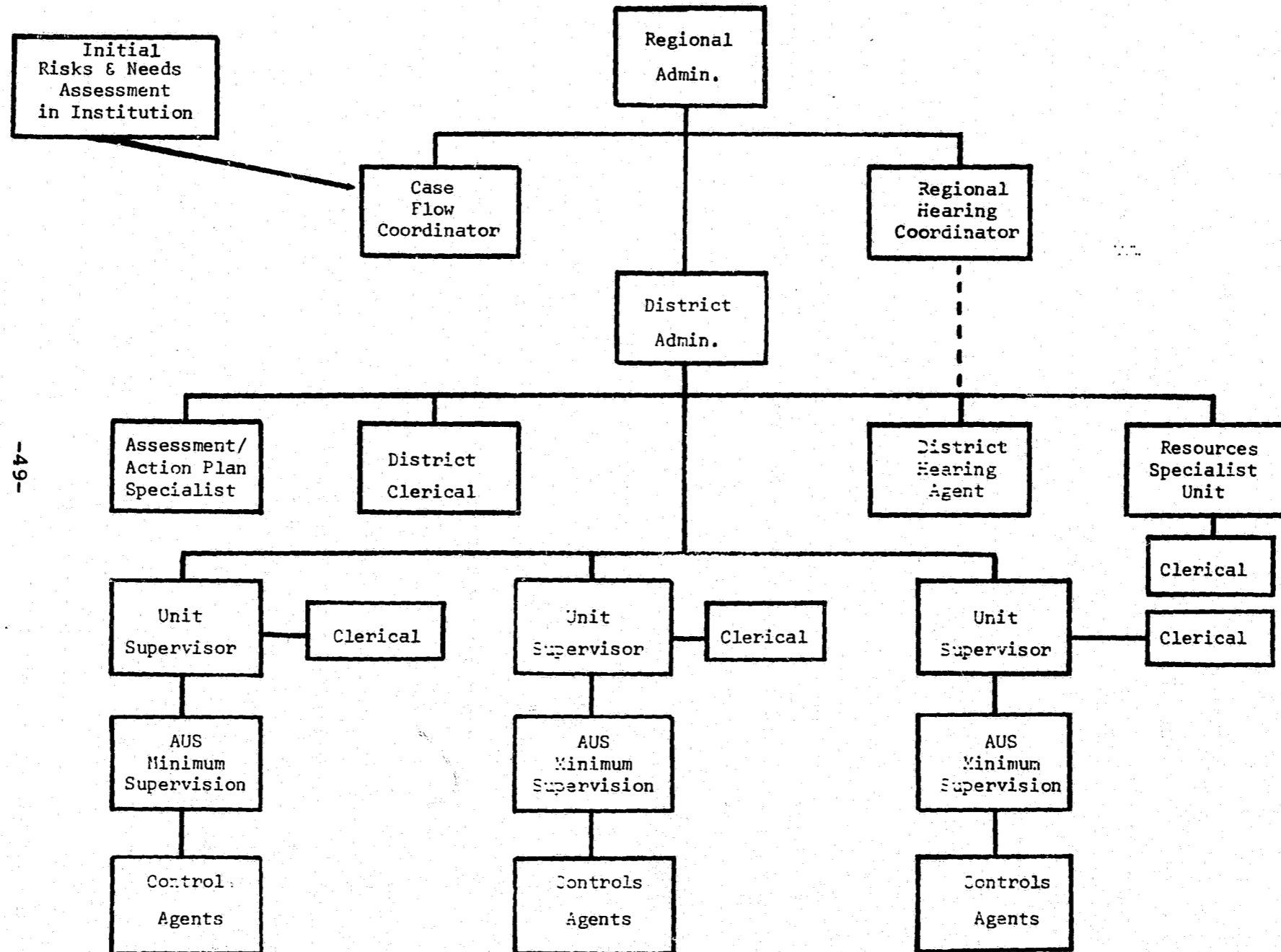
All cases will be assigned to controls agents for all case management functions. The action plan will be developed by the assigned controls agent in cooperation with the unit supervisor (or assistant unit supervisor). When a service need arises, the case will be referred by the controls agent to a services resources specialist who will help the adult offender secure the needed services. The services resource specialist will not become the agent of record; controls agents will retain full responsibility for the case while the services are being provided by the services resource specialist. Ongoing communication will be maintained between the controls agent who made the referral and the services resource specialist.

Cases are assigned through the regional case flow coordinator to the unit for the assessment, pre-parole investigation, and action plan development. A variation is to have a specialist at the district level to do all assessments, pre-parole investigations, and action plan development for the district.

Variations:

- . District Variation (page 49): The services resources specialist unit is located in the district office.

RESOURCES SPECIALIST - DISTRICT VARIATION



- . Functional Unit Variation (page 51): Requires two or more separate units (including one services resources specialist unit and one or more controls specialist units), preferably housed at the same location. All cases are assigned to the controls unit. Unit supervisors are also the functional supervisors of those units.
- . Integrated Unit Variation (page 52): Controls and services resources specialists are in the same unit. The assistant unit supervisor functions as the lead person for controls; the specialist parole agent II, or designated agent, functions as the lead person for the services resources specialist team.

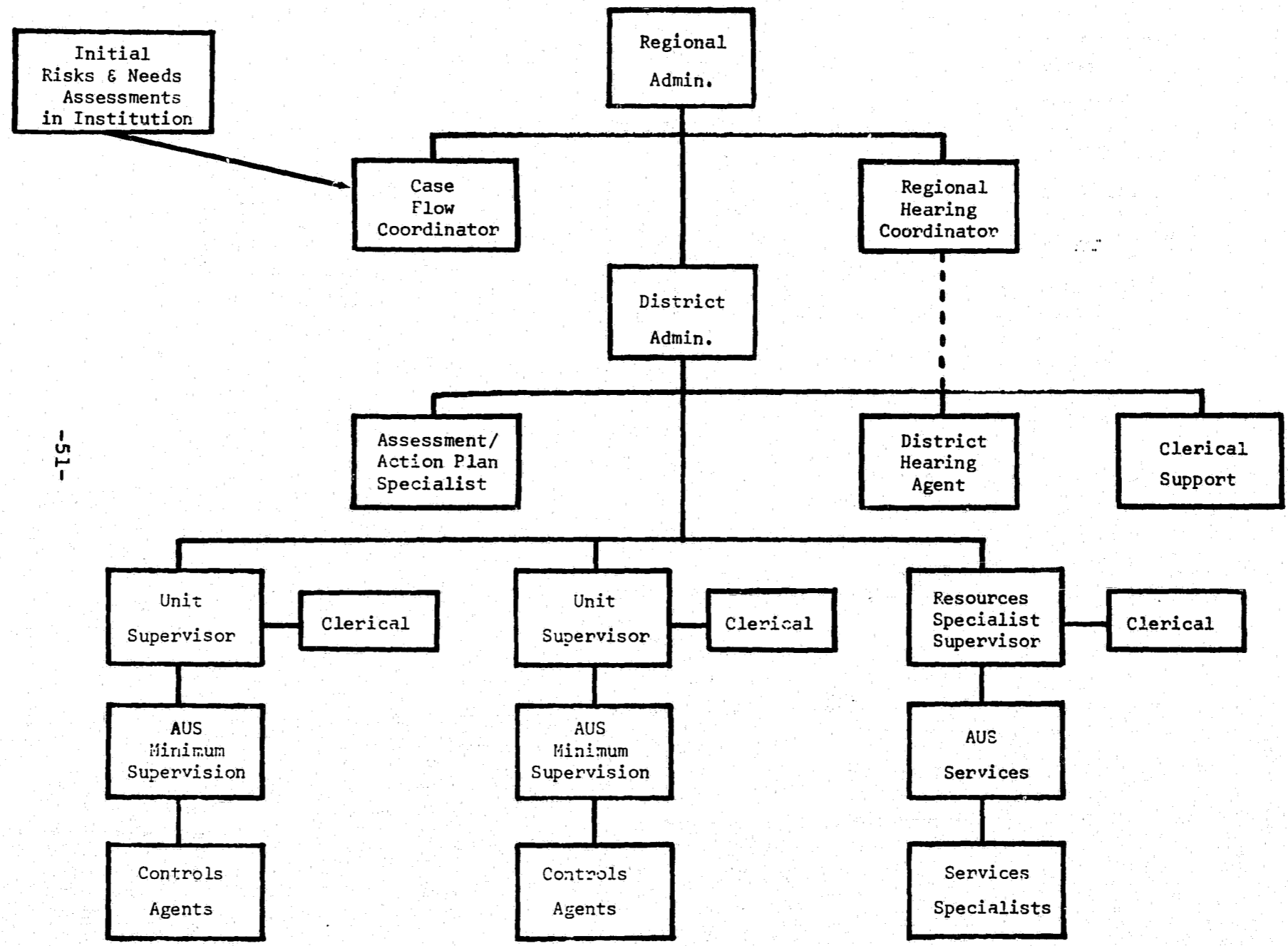
Advantages

- . Case responsibility is clearly defined.
- . Services specialists are free to develop resources and provide services. They do not have routine case management responsibility.
- . Roles are clearly defined.
- . In two of the variations (district and functional) supervisors are functional specialists, permitting them to focus in just one area.

Disadvantages

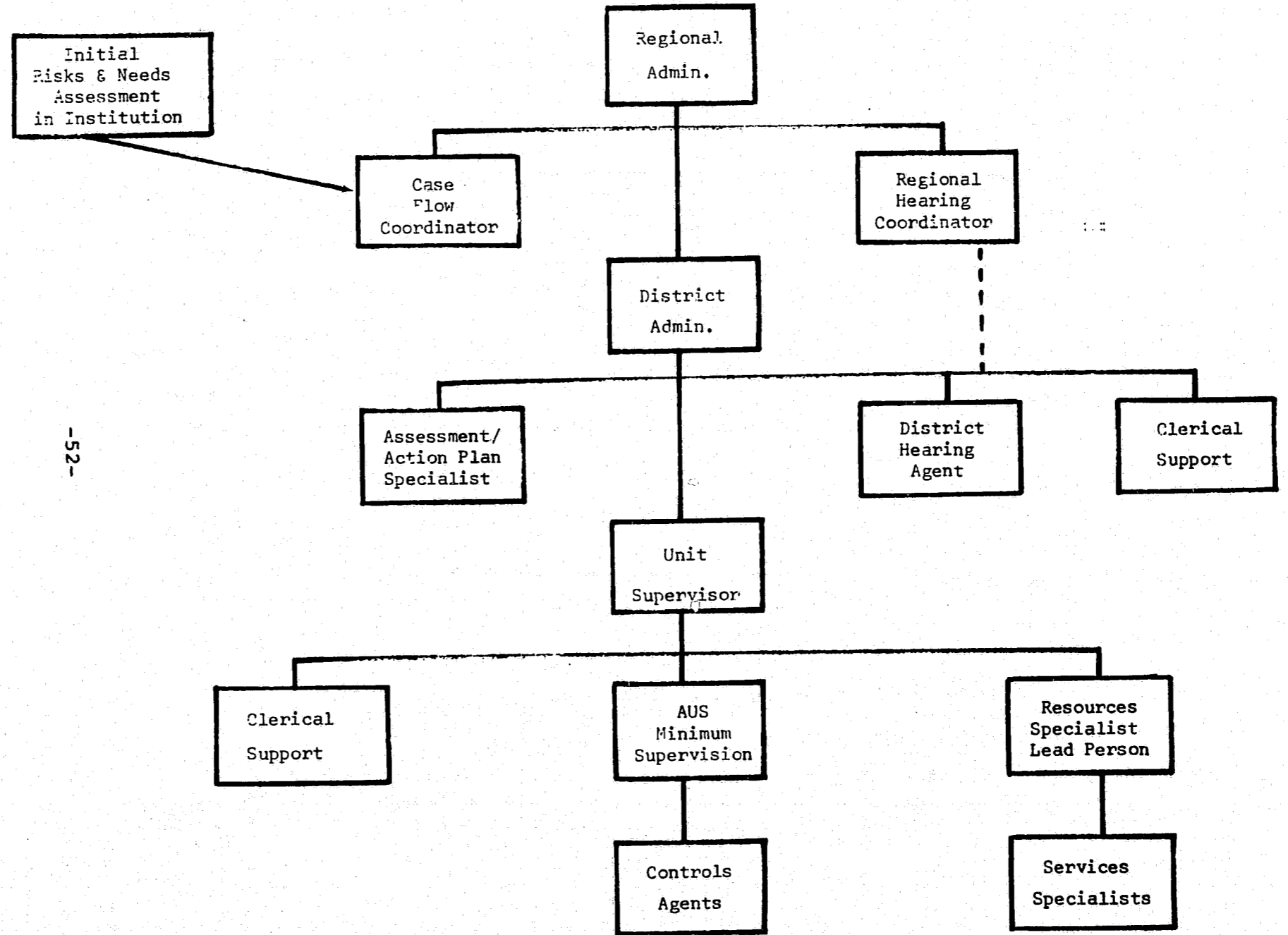
- . In two of the variations (district and functional) communications and teamwork between services and

RESOURCES SPECIALIST - FUNCTIONAL UNIT VARIATION



Initial Risks & Needs Assessments in Institution

RESOURCES SPECIALIST - INTEGRATED UNIT VARIATION

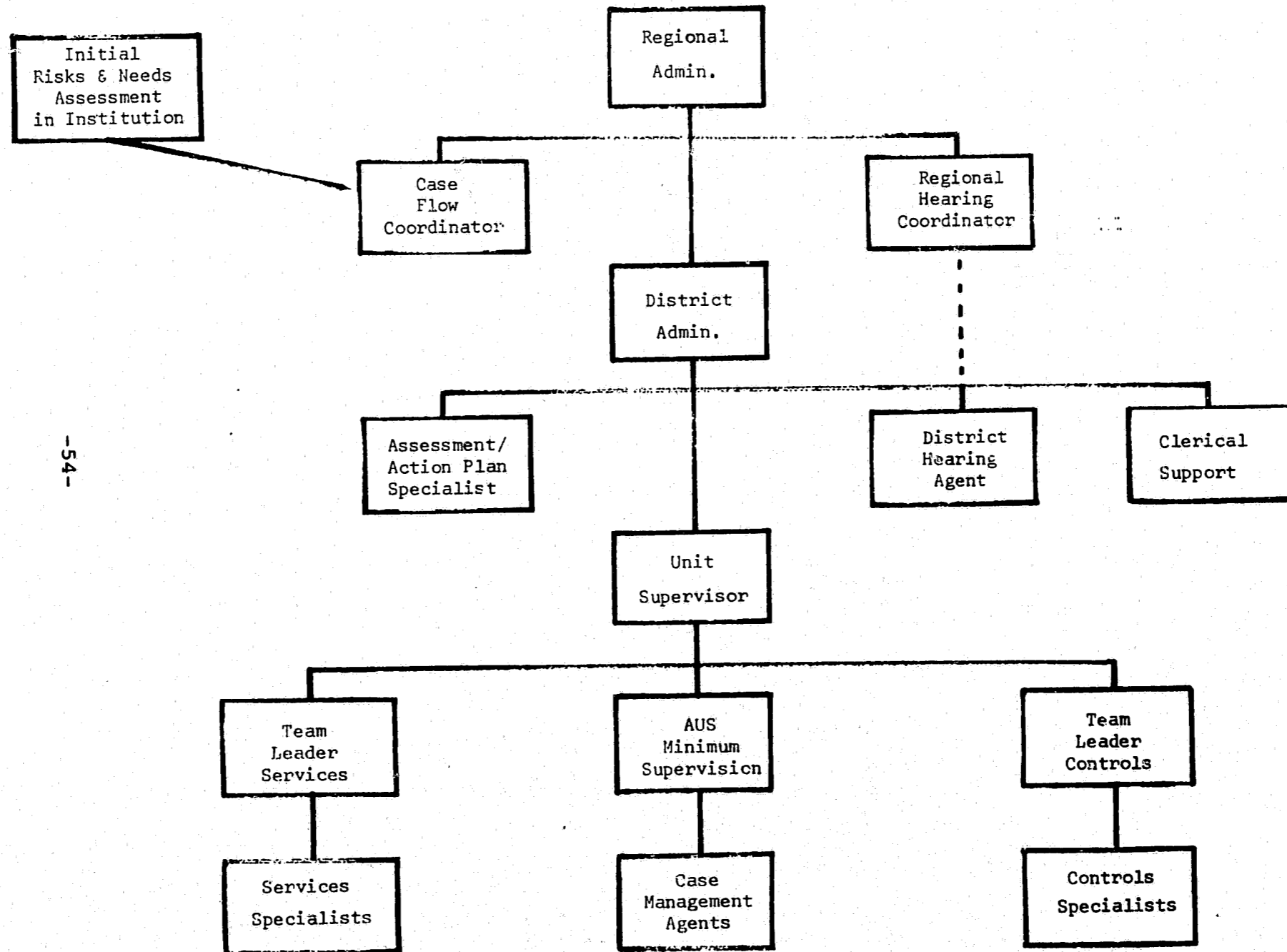


controls agents will be difficult if services resources specialists are housed in separate locations.

- . It will be difficult to implement in rural areas.
- . There is potential for slippage to a generalist approach if the controls agents do not refer cases for services when appropriate.

In addition to the different possible variations within each of the above eight options, mixes of the options are possible. The Team Supervision and Case Management options (pages 38 and 45), in particular, can be mixed with any of the other options. The following chart (page 54) presents one possible mix of options, that is, Case Management/Team Supervision.

CASE MANAGEMENT/TEAM SUPERVISION



IV. OPERATIONAL PROCESSES

This is the third of the three sections that describe the new parole model. Consistent with the organizational option selected by a basic operational unit, the new model will require an integration of new and current processes, functions, and responsibilities. Several of the new processes will necessitate modification of portions of the Parole Procedures Manual and the Narcotic Addict Outpatient Program Manual. Although the precise nature of these modifications remains to be determined, some of the more apparent changes are discussed in Section IX.

An interrelated set of processes covering assessment and action plan development, case assignment, coordination of casework activities, ongoing review and reassessment, action plan revisions, and reassignments are associated with the new model. This section provides an overview of the processes in general and describes the forms and procedures that are to be used uniformly throughout the division, regardless of the organizational options that are selected.

A. Risks and Needs Assessments

The parole operations process starts prior to release to parole/outpatient status, with an initial assessment of the offender's probable risks to the community based on past community and insitutional record and needs for

assistance. The initial risks assessment will be developed from information provided primarily by institutional staff. Each pre-releasee will provide much of the information required for the needs assessment. Parole staff will validate and coordinate the collection of information and will interact directly with the institutional staff and the inmate wherever possible. The assessment documents will be included in the pre-release packages, if they have been completed at release.

There is a standardized format to be used for the initial assessments. (See Initial Risks Assessment and Initial Needs Assessment, pages 100 and 106.) The initial risks assessment has four major categories of information: latest commitment offense; patterns of criminal behavior; history of crime-related substance abuse, psychological problems, and circumstances or situations leading or contributing to criminal behavior; and history of major negative incidents under custody/supervision. Most essential information for the risks assessment will be obtained from the probation officer's report, rap sheet, cumulative case summary, and California Youth Authority records, wherever possible.

The initial needs assessment describes the areas where it is expected that there will be needs for assistance either prior to or after release to the community. Major categories of the initial needs assessment are: residence; means of support; health conditions; transportation needs; community survival skills; and other critical needs.

Each category on the risks and needs assessments has been weighted by a factor indicating its importance to the overall assessment score. However, there is discretion left to the rater to determine the degree of risks or needs associated with a particular category. Scores from zero to ten will be assigned to each category by the agent having the responsibility for conducting the assessments; a combination of these scores and the weights determine the total scores. These total risks and needs scores allow the case to be categorized as either: low, moderately low, moderately high, or high, in each of the areas, risks and needs.

If the score-based risks or needs categorizations do not seem appropriate in view of other relevant factors, the agent may override either category by substantiating the judgment with factual information and selecting an adjusted category that may be higher or lower than the score-based category.

Since the assessment (and reassessment) process represents a significant departure from the existing procedures, the instruments that have been developed will be field-tested to establish their reliability and validity. Training will be provided to field staff having these responsibilities so that consistency and uniformity in scoring the various elements will be achievable. If, as a result of the field tests, modifications of certain elements are judged essential, they will be incorporated into the instruments.

B. Action Plan Development

Based on the information contained in the initial risks and needs assessments, an action plan will be prepared by parole staff with offender input wherever possible. The action plan format is standardized. (See pages 116-118.) The essential features of the action plan are as follows:

- . Identification of the controls and services that will be needed for each case, and the reasons for these controls and services.
- . Establishment of immediate and long-term case objectives. Immediate objectives are those specific outcomes to be accomplished before the next scheduled reassessment. Long-term objectives

are the overall good effects to be achieved during the expected period of parole supervision.

- . Specification of the actions to be taken (that is, the process by which the objectives are to be accomplished), the persons who will perform those actions, and the intervals and time frames for performance of the actions.

- . Determination of the special conditions of parole for this individual.

The assessment and the action plan development processes will be accomplished by the basic operational unit, and will replace the previous requirement for an initial case conference. Each basic operational unit must designate a level for review of the action plan prior to implementation. The agent of record and other parole staff having primary responsibility for securing controls or services will be involved in the review process. If differences of opinion occur in the review process, the next higher level (parole agent II, or above) will have the responsibility for resolving differences. Final approval of the action plan also is the responsibility of the next higher level.

C. Assignment to a Supervision Emphasis

There are three overall supervision emphases: controls, services, and minimum supervision. In the absence of other

factors, the scores obtained on the risks and needs assessment will determine the supervision emphasis to which individual adult offenders will be assigned.

Three additional factors must be considered in making assignments, however: overriding reasons stated in the assessments, workload as determined in the action plan, and exclusionary criteria as explained subsequently.

Table 1 identifies the supervision emphasis indicated by the various possible risks and needs assessment scores. For example, if a given adult offender has a needs score of 5.5 and a risks score of 7.1, in the absence of other factors that person would be assigned to a controls emphasis. (It should be noted that there are likely to be changes over time in the cut-off points to each category, resulting from the division's experience with persons being assigned to the different supervision emphasis.) Table 1 also can be used in the presence of override factors. If the adult offender with the 5.5/7.1 scoring has a needs override factor that leads the rater to adjust the adult offender's needs category from "Moderately High" to "High" (see the bottom of the Initial Needs Assessment form), then the adult offender tentatively would be assigned to a services emphasis. As the figure

illustrates, some offenders with a moderately low risks score and a moderately low needs score may qualify for minimum supervision.

TABLE 1
ASSIGNMENTS TO SUPERVISION EMPHASIS

Risks Scores	High 7.5-10.0	CE	CE	CE	CE	CE = Controls Emphasis SE = Services Emphasis MS = Minimum Supervision
	Moderately High 5.0-7.49	CE	CE	CE	SE	
	Moderately Low 2.5-4.99	CE	CE	SE	SE	
	Low 0-2.49	MS	MS SE	SE	SE	
		Low	Moderately Low	Moderately High	High	
		0-2.49	2.5-4.99	5.0-7.49	7.5-10.0	
		<u>Needs Scores</u>				

Workload factors, however, also must be considered. If few actions need to be accomplished (see page 1 of the action plan) or if there is little total workload required of P&CSD staff to accomplish the stated case management objectives, an adjustment can be made to the tentative supervision emphasis.

Minimum supervision is a special form of supervision employed for those adult offenders (i.e., felon parolees and narcotic addict outpatients) considered to pose little or no risks to the community and to have infrequent or low needs for services. Minimum supervision differs from other forms of supervision (provided to adult offenders placed in controls emphasis or services emphasis) in both its overall approach to supervision and in the frequency and kinds of contacts occurring between the adult offender and the agent(s) having responsibilities for the case. The following are considered to be the essential elements of and procedures for providing minimum supervision.

1. Placement in minimum supervision status should occur immediately upon release from an institution for all felon parolees and non-felon outpatients whose initial risks and needs assessment scores, after the application of any appropriate overrides and underrides, are less than or equal to 3.75, unless one or more of the following exclusionary criteria apply:

- . Most recent commitment for murder first or for sex crime(s);
- . One or more special conditions of parole/ release in effect;

- . Substantiated gang membership or gang affiliation during the most recent commitment;* or
- . Release-to-hold or out-of-state release.

Placement in minimum supervision is prohibited in the presence of one or more of these initial exclusionary criteria.

2. Placement in minimum supervision also may occur at subsequent points during parole/outpatient status after the application of all appropriate overrides and underrides. Such placement shall occur whenever the average of the initial risks assessment score and all subsequent risks reassessment scores, as well as the average of the initial needs assessment score and all subsequent needs reassessment scores, are both less than or equal to 3.75. Such placement is prohibited, however, if one or more special conditions of parole/release remain in effect; special conditions of parole/release constitute the only continuing criterion for exclusion from minimum supervision.

*During the start-up period of the operational shakedown only, for those adult offenders already on parole status for whom the initial exclusionary criteria still apply (see Instructional Memo 79/19, dated July 9, 1979), this criterion should be expanded to include substantiated gang membership or affiliation while on this parole.

3. Prior approval must be obtained from the Narcotic Addict Evaluation Authority (NAEA) before any non-felon may be transferred from controls emphasis to minimum supervision. Such approval is to be obtained by submitting to the NAEA the most recent risks and needs reassessment and action plan (i.e., the reassessment and action plan revision leading to the request for transfer). A vote sheet and CDC Form 1521 will be added to the risks and needs reassessment and action plan. (See proposed NAOP Manual changes, Chapter 4, Section 417.) The package will be forwarded to Region Records for processing as a regular part of the NAEA calendar. Any action on the proposed transfer will be recorded by the NAEA in the miscellaneous action portion of the vote sheet for return to the unit.
4. Upon placement of an adult offender into minimum supervision, whether immediately upon release from an institution or after a reassessment, only two contracts between the adult offender and P&CSD staff are required. The first contact is required to explain the characteristics and requirements of minimum supervision, the second to complete a discharge review. Routine or check-up contacts with the adult offender are not permissible.

5. Further contacts with the adult offender may be initiated by P&CSD staff only if adverse information concerning renewed involvement by the adult offender in criminal activities is obtained by the agent-of-record. When such information is received, it should be investigated and evaluated to determine if either a reassessment or consideration for revocation is warranted. Based on the results of a reassessment, an adult offender may be removed from minimum supervision; consideration for revocation is to be accomplished by submitting a violation report.
6. Those minimal controls deemed necessary will be applied or secured, as appropriate. Services will be provided or secured only at the request of the adult offender.
7. All conditions of parole and release remain in effect.
8. Non-felon addicts will undergo urinalysis testing as follows: 1) according to frequency established by the NAEA through a Special Condition; or 2) not less than frequency established by appropriate manual provisions.

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1 OF 2

9. To the extent possible, routine rap sheet checks with the Bureau of Identification (BID) will be conducted every 90-120 days. This will be accomplished in one of two ways.

- . Arrest histories for approximately 40 percent of all adult offenders are now included in the Department of Justice Automated Criminal History System (ACHS). All adult offenders in this system can be identified by the "A" preceding their BID number. These histories can be accessed on the teletypes at regional records offices through QHY (Personal Data Record) and QHS (Crime Summary Inquiry). Each region should establish a schedule to be followed by units in submitting a master list to regional records of all adult offenders in minimum supervision whose crime histories are automated, in order to perform the records check at the appropriate interval.
- . Rap sheets for all other adult offenders in minimum supervision should be obtained in the current manner using form CDC 1580. The number of such adult offenders not on the automated system will decrease over time.

10. At agent's discretion and with unit supervisors approval, adult offenders in minimum supervision may be required to report any change of residence within 24 hours and mail in reports--similar to the previous monthly reports--at two-month or greater intervals (i.e., reports may be requested every two months, three months, four months, etc.).

D. Implementation of the Action Plan

Action plans will be developed prior to the release of an adult offender to parole or outpatient status. Release procedures for felons as stated in the Felon-Parole Procedures Manual, Chapter III remain in effect. Those portions of the action plan relating to special pre-release objectives will be implemented by the parole agent of record as required.

The release procedures for civil addicts remain essentially the same with the following additional requirements: the parole agent of record will include the supervision emphasis (i.e., CONTROL, SERVICE, MINIMUM SUPERVISION) to which a releasee is assigned in the parole agent's comments section of the release program study form. The parole agent of record will attach a copy of the Initial Risks and Needs Assessment forms and a copy of the completed (except for page two, section b) Action Plan to the institution's copy

either directly provide or secure the appropriate and timely controls and services as specified in the action plan. The agent of record will also be responsible for following case progress and coordinating case activity. All staff involved with the case activities will inform the agent of record of the activities and the results of those activities. For all adult offenders posing significant risks to the community, an acting agent of record will be designated if the regular agent of record is unavailable for case management duties.

The agent of record will maintain the case record. All staff, regardless of functional specialty, will record on the Record of Supervision (see pages 122-123) any information or action that is pertinent to the case. The Record of Supervision will replace the record of interview sheet now in use. The supervisor in charge of the basic operational unit will ensure that case records are maintained accurately and that the case records are transferred in a correct and timely manner. It should be anticipated that the rate of accomplishment of case objectives related to services functions may differ greatly from the rate of accomplishment of case objectives related to controls functions. The difference between

these two rates may be even greater when comparing services emphasis cases with controls emphasis cases. The supervisor or other designated staff will review problems in the accomplishment of case objectives with the agent of record. The basic operational unit supervisor will resolve problems among staff in accomplishing case management objectives and will assign tasks to staff as necessary.

E. Reassessments and Action Plan Reviews and Updates

Events such as participation in a detoxification program, achievement of a case objective, a change in employment status, or suspected participation in delinquent or criminal activities will occur throughout each offender's period of supervision. The agent of record should examine the latest risks and needs assessment to determine if a reassessment is warranted. If the event was fairly minor, a review and update (slight revision) of the action plan may be all that is necessary. All action plan reviews will be recorded on the action plan form, indicating the date, the purpose of the review, the recommendation, and reviewer's signature. Whenever possible, the adult offenders should be involved in action plan reviews.

If, however, the event was fairly major, a reassessment may be warranted. A reassessment of risks and needs, like an initial assessment, is a formalized process using standardized forms that are similar to the initial assessments forms.

(See pages 110 and 111.) Reassessments focus on recent behavior of the adult offender in the same or similar categories as in the initial assessment, and may or may not lead to an updating of the action plan. When there is a scheduled or unscheduled event that triggers a reassessment, four work-days are allowed between the awareness of the event or the scheduled date and the completion of the reassessment, revision of the action plan, if necessary, and assignment to an appropriate supervision level.

Reassessments are mandatory at regularly scheduled intervals and when certain unscheduled events occur. Reassessments may also be initiated when requested by parole staff after a review of case progress. Reassessments and action plans are to be approved by the basic organizational unit supervisor (or a designee no lower than a parole agent II) prior to implementation of the revised action plan.

Scheduled reassessments are required under the following circumstances:

1. Elapsed time on parole:
 - a. Between 75 and 105 days after initial release to parole or outpatient status unless an unscheduled event necessitated reassessment within the last 30 days. This reassessment replaces the 90-day case conference.

b. No less than 30 days prior to a mandated discharge date:

(1) Review dates for felon cases will occur following completion of continuous parole for the number of months listed:

(a) Cases sentenced under Senate Bill 42:

8 months if non-life sentence

24 months if life sentence

(b) Cases sentenced under Senate Bill 1057:

10 months

34 months

(2) Review dates for civil narcotic addicts will occur following completion of continuous outpatient status for the number of months listed:

24 months (drug free)

36 months (eligible methadone cases)

82 months (prior to expiration of commitment)

2. At the date scheduled in the action plan unless an unscheduled reassessment occurred within 30 days of a scheduled date. In any event a scheduled reassessment will occur annually.

Unscheduled reassessments are required under the following circumstances:

1. After a change in the agent of record upon receipt of a transferred case.
2. Before a change in the agent of record within a given unit if there is to be a change in the supervision emphasis.
3. Upon reinstatement of felon cases and return of releasees-at-large (RAL's) to outpatient status.
4. Prior to release from a 30-days-or-more custody period.
5. Following completion of major case objectives specified in the action plan.

Reassessments may be initiated by parole staff after a review of case progress. This shall occur under, but is not limited to, the following circumstances:

1. Suspend/reinstatements of non-felon cases to outpatient status.
2. An arrest or alleged criminal behavior, including active involvement in gangs or organized crime.
3. After a major violation of conditions of parole or outpatient status.

4. When the parolee/outpatient is unavailable for parole supervision or has absconded and is declared a parolee-at-large (PAL) or RAL.
5. If there is evidence of serious deterioration in the emotional or physical condition of the parolee/outpatient.
6. When there has been a major change in the standard of living or in the personal relationships of the offender.
7. If the parolee or narcotic addict outpatient requests a change in the major immediate or long range objectives of the action plan.

When an action plan update is indicated in the reassessment, a new plan will be developed that states the present case objectives and the processes by which they will be accomplished. After a new action plan is developed, the case either remains in the same supervision emphasis or is reassigned to a different emphasis.

Prior approval must be obtained from the Narcotic Addict Evaluation Authority (NAEA) before any non-felon may be transferred from controls emphasis to service supervision. Such approval is to be obtained by submitting to the NAEA the most recent risks and needs reassessment and action plan (i.e., the reassessment and action plan

revision leading to the request for transfer). A vote sheet and CDC Form 1521 will be added to the risks and needs reassessment and action plan. (See proposed NAOP Manual changes, Chapter 4, Section 417.) The package will be forwarded to Region Records for processing as a regular part of the NAEA calendar. Any action on the proposed transfer will be recorded by the NAEA in the miscellaneous action portion of the vote sheet for return to the unit.

It will be important to minimize unnecessary transfers within and between units, especially during the implementation shakedown period of the new parole model. It will take some experience with this process in the field to determine exactly when and under what circumstances a reassignment is necessary.

Implementation of a revised action plan will require appropriate actions to secure controls and services. These actions may include preparation of discharge review, placement in custody, and reporting to the Community Release Board or the Narcotic Addict Evaluation Authority. If a case is closed, the agent of record will complete case recording of the unit file and send legal notification of discharge to the adult offender. The basic operational unit supervisor is responsible for verifying that the appropriate closing entries are made on the unit file, the files are purged, required materials are sent to the central files, and arrangements are made for destruction of the unit case file.

F. Additional Processes

Certain additional processes must be provided in every region: case flow coordination, monitoring control, and overall staff assignment. Case flow coordination includes the following: (1) ensuring that the case material is complete (including the cum sum and package, probation reports, rap sheet, medication need, risks and needs assessments, action plans, records of supervision); (2) providing a communications link between institution of release and field, establishing networks within and among

field regions; (3) developing and maintaining a locator system for all active cases, suspended cases and pre-parolees, noting the geographical unit to which the case is assigned and the primary agent; (4) making the assignment of pre-parolees to the basic operational unit and facilitating transfers by indicating the proper receiving unit. Assignments and transfers will be made based upon geography and special case needs.

The supervisor of the basic operational unit or his or her designee will review the assessment and action plans for both new releases and cases that have been transferred. This involves: checking for appropriate routing; returning to the region or sending unit for reassignment if routing is inappropriate because of geography or special case need; and notifying the institution and region of the transfer. The unit will be responsible for: assignment of a case to an agent of record; coordination, validation, and completion of risks and needs assessments; action plan development; assignment to a supervision emphasis; reviews; reassessments; action plan revisions; and reassignments.

Monitoring and evaluation are essential processes in the new parole model. These activities, however, will be discussed in greater detail in Section VII, Information and Systems.

Staff assignment involves: (1) determining the number of authorized staff based on the total estimated workload; and (2) deploying staff to comply with each district's specific implementation plan. Staff assignment is discussed in greater detail in Section VII, C, Staffing Patterns.

V. IMPLEMENTATION PROCEDURES

The process of implementing the new parole model will start on January 2, 1979, the earliest date for accepting submission of each district's (or basic operational unit's) detailed implementation plans. Regional review procedures are left to the discretion of each regional administrator. The plans will be checked for completeness, feasibility, and conformance with the guidelines included here before being transmitted to the Deputy Director for final approval. All plans must be submitted to the Deputy Director, P&CSD, not later than April 30, 1979.

Regional planning task force members and headquarters staff will be available to assist in the formulation, preparation, and revision of the district plans. All districts will be required to use the specified implementation plan format. (See Appendix B)

Review for approval at the division level will take up to one month. After each district has received approval for implementation, that district will be allowed a six-month operational shakedown period before it is considered fully operational. During this period there will be periodic reviews and feedback by headquarters and executive staff. If the selected plan is not working well, there will be provision

during the shakedown period to shift gears and make adjustments. Only if absolutely necessary will a change to a completely different variation be considered, based on formal submission of a revised implementation plan. The shakedown period will end after six months or upon headquarters approval. All districts must be fully operational with a tested organization and procedures by December 31, 1979.

After several months experience in the shakedown period, data collection will begin. The information to be collected will encompass data needed to measure program effectiveness, managerial performance, and basic operational unit activity. In general, sampling techniques will be used and standardized reporting forms and procedures will be issued by headquarters prior to implementation. Program forms may employ carbon copies for use by the various groups needing the information.

A sub-group of the planning task force will explore the use of electronic data collection, retrieval, and processing for operational management, monitoring, and program evaluation purposes. Ultimately, such a system will make additional information and more current information available to both field and headquarters personnel and with a smaller data management burden than at present. In the interim, while manual methods must be employed, every effort will be made through selectivity,

sampling, and good systems design to minimize the additional data collection effort.

The planning task force will be continued throughout the implementation phase to assist in orienting field staff to the new parole model, in writing implementation plans, and in training field staff in the new forms of supervision. A new task force will be assembled to propose revisions to the Parole Procedures Manual and the Narcotic Addict Outpatient Program Manual.

Prior to a district submitting its specific implementation plan, district staff who will be preparing the plan will receive an orientation to the new model. This orientation will be coordinated by each regional training coordinator, utilizing the regional members of the planning task force as primary trainers. Training or assistance in the preparation of implementation plans also will be available.

When the district implementation plans have been approved, the regional training team will conduct training for all district staff. This training will include, but is not necessarily limited to, the following areas:

- . Results of the division's three-year self-evaluation effort.
- . Rationale for and development of the new model of parole.
- . Operation of the model:
 - Conducting assessments,
 - Developing action plans,

- Providing services/controls,
- Monitoring, auditing, and evaluation.

. Information on the district's chosen organization variation.

Once the initial orientation and training have been completed, more specialized training will be developed for controls, services, and other specialists. Management training for supervisors and administrators may be warranted during the shakedown period.

In summary then, the training schedule will be approximately as follows:

<u>Phase</u>	<u>Times</u>
Orientation to The New Model	To be determined
Preparation of District Implementation Plans	
Orientation to District's Chosen Option	
Skills for Functional Specialists	
Skills for Management Personnel	

Preceding each of these training phases, there will be a session to train the regional trainers.

VI. PROBLEMS

In undertaking such a major programmatic and managerial change as implied by the new model of parole, it is inevitable that problems, conceptual and practical, major and minor, will arise. These can and will be solved. But, forewarned is forearmed, and a careful review of the possible constraints and problems in implementing the new parole model should be recognized by each district in the preparation of its implementation plan. Additional local constraints and problems not listed here may also apply.

- . Current statutes and policies affecting both the felon and non-felon programs may reduce discretion in initial case assignment and subsequent reassignment to particular supervision emphases. For example, Section 3151 of the Welfare and Institutions Code states that addicts released to outpatient status are "subject to all rules and regulations adopted by the [Narcotic Addict Evaluation Authority], and subject to all conditions imposed by the authority." Furthermore, W & I Code Section 3152 mandates close supervision of outpatients. This statute will require careful interpretation in order to allow civil addicts to be placed in minimum supervision status.

- . Legislation such as SB 42, AB 471, and SB 1057 complicate parole operations, as the total parole population is not subject to the provisions of one law.
- . Liaison with the State Personnel Board will be necessary in order to maintain administrative discretion in shifting staff resources, if and when the need arises.
- . The impact of collective bargaining is still, to a large extent, unknown.
- . Staff time and resources must be carefully apportioned among the various required functions. During the start-up period, risks and needs assessments and action plan preparation will require a large commitment of staff time.
- . A valid, acceptable measure of agent workload that will permit administrators to assign staff still must be developed and tested. Resource allocations in the interim will be based on a set of general guidelines (see Section VII, C, "Staffing Patterns").
- . Current methods of allocating support and grant funds will probably have to be revised in order to ensure the most effective or efficient means of providing services. Delays recently experienced in contract processing must be overcome so that delivery of services to adult offenders will not be hampered.

- . Significant reductions in state spending could also reduce parole effectiveness and adversely affect implementation of the new parole model.
- . The necessary reliance for the immediate future on a manual data collection system may result in substantial additional work or less complete and reliable information. (High priority, urgent action on a carefully designed EDP system should greatly alleviate this problem.) Furthermore, the basic data system to be implemented may not be equally effective with all variations and may over-meet or under-meet information needs at a given organizational level.
- . All of the required changes to the policy and procedure manuals will not have been made prior to implementation of the operational shakedown phase by many districts. As a result, until such changes have been completed, some procedures may not be uniform among districts. (See Section IX for a discussion of required changes.)
- . It will be essential to meet data reporting schedules in order not to delay decision-making and hinder efficient operation of the new model.

- . A special effort by headquarters and regional staff will be needed to ensure that orientation and training for the new parole model will be available in all cases prior to implementation by individual districts. Specialized training programs for each of the major specialty functions, however, have not yet been developed.
- . Effort will also be required to establish a uniform but flexible system for the movement of staff among the various functional specialties.

VII. INFORMATION AND SYSTEMS

In order for informed decisions to be made at all levels of division management, a body of information will have to be routinely and uniformly collected. In addition to assisting day-by-day decision-making, the collection and processing of relevant and timely data will allow the division to monitor and evaluate progress in implementing and operating the new parole model, as well as its results. A large amount of information is required. However, by using data sampling, by collecting data on a selective basis, by regulating the frequency at which the information is collected, and by using existing sources of information wherever possible, total staff time required for data collection and processing can be kept at an acceptable level. The development of electronic data processing capabilities is being examined.

The six basic classes of information that will need to be regularly collected and presented are: measures of program effectiveness; measures of managerial performance; target group characteristics; staffing patterns; output and activity indicators; and costs. This section outlines each of these six types. In addition, short-term methods for collecting and processing these data are briefly discussed as well as a long-term, more comprehensive and efficient solution.

A. Measures of Program Effectiveness

To assess how well the new parole model is working, both substantively and procedurally, a full array of measures of effectiveness is required. One of the distinguishing characteristics of the new model of parole is a shift in emphasis from measuring activities of staff to measuring results among adult offenders. This means that the intended good effects of P&CSD programs must be validly and precisely stated (the revised objectives presented earlier) and the indicators of the degree to which they have, are being, or are planned to be achieved also have to be validly and precisely spelled out. A selection of the more important of these measures of program effectiveness (MOE's) associated with the division's overall objective is given below. In addition, measures related to objectives for each of the categories and functions of the division will be included in an updated version of the division's Program Structures, Hierarchical Objectives and Measures of Effectiveness. This document will be distributed subsequently.

The measures of program effectiveness that are shown below represent essential information concerning the overall intended good effects of P&CSD programs. The specification of these measures has been guided by several

considerations. First, emphasis is placed on both criminality measures and on adjustment measures, since narrowly defined recidivism measures cannot fully capture the purposes of the parole system. Second, emphasis is also placed on summarizing the distribution of outcomes by focusing on the end intervals of these distributions, since these favorable and unfavorable intervals best convey essential information on accomplishment, or lack thereof. Third, measures reflect events relative to a specified time period; generally, information will be collected on a quarterly basis although a longer time period is relevant to certain measures. Fourth, summary measures should allow disaggregation to a relevant level of detail; levels of detail include forms and categories of supervision, specific criminal and delinquent activities, and organizational units as examples.

Details on collecting the information required for the measures of program effectiveness and the specific sources of such information (assessment forms, action plans, record of supervision) will be provided at a later date. Until an electronic data processing capability is secured, sampling techniques will be employed extensively. The details of these procedures, the specific reporting period, and the format for transmitting the desired information also will be provided at a later date.

The relevant measures of program effectiveness associated with the overall objective of the division are as follows:

- . The number of adult offenders who are discharged and had experienced no convictions, arrests, or major incidents as compared with the number of adult offenders who have their parole status extended for cause.
- . The number of adult offenders who are discharged but had experienced arrests or major incidents not leading to revocation of status as compared with the number of adult offenders who are convicted and returned to the institution, returned for a violation of parole conditions, committed to a state hospital, or declared PAL/RAL.
- . The number of adult offenders who are stably employed and are in a fully supportive living situation as compared with the number of adult offenders who are unemployed and are in an unstable or unfavorable living situation.
- . The number of adult offenders who remain assigned to controls emphasis because of adverse circumstances and problems as compared with the number of adult offenders who are reassigned to services emphasis or to minimum supervision.
- . The number of adult offenders who remain assigned to services emphasis because of problems and needs as compared with the number of adult offenders who are reassigned to controls emphasis or to minimum supervision.
- . The number of adult offenders who remain assigned to minimum supervision as compared with the number of adult offenders who are reassigned to controls emphasis or to services emphasis.

- . The number of adult offenders who at first reassessment have lower risks and lower needs scores as compared with the number of adult offenders who at first reassessment have higher risks and higher needs scores.
- . Mean number of days from release to first occurrence of a major incident leading to a reassessment for adult offenders participating in pre-release programs as compared with the mean number of days from release to first occurrence of a major incident leading to a reassessment for adult offenders not participating in pre-release programs.
- . Mean number of custody-free days (time on parole less time in local jails) for adult offenders not arrested for new felon crimes, not returned for violations of parole conditions, and not declared PAL/RAL as compared with the mean number of custody-free days for adult offenders arrested for new felon crimes and returned to prison, returned for a violation of parole conditions, committed to a state hospital, or declared PAL/RAL.
- . The number of adult offenders who are arrested for a felon crime within one year after discharge as compared with the number of adult offenders who are arrested for a felon crime within two years after discharge.

Definitions for words and phrases stated in these measures (e.g., fully supportive living arrangement, major incidents) as well as procedures and forms for collecting the required data will be provided. It should be emphasized that the raw data collected for these measures will be in a markedly simpler format. These data will then be combined and processed in order to achieve the above measures.

B. Measures of Managerial Performance

In addition to measures of program effectiveness, a related group of indicators of management performance need to be collected and evaluated in assessing how well the new model of parole is working. These indicators include:

- . Number of cases in which the initial assessments were completed at time of release compared to the total number of initial assessments.
- . Number of cases in which the scheduled reassessments were completed within the prescribed time limits compared to the total number of reassessments.
- . Percent of assessments or reassessments in which an independent scoring of elements of risks and needs yields similar scores.
- . Percent of assessments and reassessments in which the overrides are judged appropriate by independent reviewers.
- . Number of cases in which the initial action plans were completed at time of release compared to the total number of cases.
- . Number of cases in which the updated action plans resulting from scheduled reassessments were completed within the prescribed time limit compared to the total number of updated action plans resulting from scheduled reassessments.
- . Number of cases in which the time between an event requiring a reassessment and the completion of an updated action plan is less than one week compared to the total number of completion of unscheduled action plan updates.

- . Number of initial or updated action plans that contain all significant information concerning case management objectives and actions to be taken compared to the total number of action plans.
- . Number of cases in which established procedures for developing initial or updated action plans are met compared to the total number of cases.
- . Number of cases in which services are secured or provided by someone other than a services specialist.
- . Number of cases in which controls are secured or applied by someone other than a controls specialist.
- . Number of cases in which recent legal and new policy requirements are violated by type of requirements.
- . Number of record of supervision forms that are completely and accurately filled out compared to the total number of record of supervision forms that should have been filled out.
- . Number of basic operational units that have a current index of controls and services available in that unit.
- . Number of basic operational units that are in compliance with the implementation plans submitted by district administrators and approved by the executive staff.
- . Number of basic operational units that submit complete and accurate information on effectiveness measures within the prescribed time limit.
- . Number of district administrators who submit the required information on effectiveness measures within the prescribed time limit.
- . Number of regional administrators who submit the required information on effectiveness measures within the prescribed time limits.

C. Target Group Characteristics

In the preparation of its implementation plan, each district must make projections of the number of adult offenders that will require various levels of supervision. It is anticipated that, on a statewide basis, an average of about 10,685 felons and about 4,400 civil addicts will be on active parole/outpatient status during calendar year 1980. These numbers are expected to slowly increase in subsequent years.

Although the number of adult offenders in supervision and their distribution among the forms of supervision are uncertain at this time (especially when weighing the impact of legislative change and the future impact of Proposition 13 on county subvention programs), estimates for calendar year 1980, after operational shakedown problems have been fully resolved, are presented in Table 2.

TABLE 2

ESTIMATED AVERAGE DAILY POPULATION OF FELONS AND NON-FELONS WITHIN THE VARIOUS RISKS AND NEEDS CATEGORIES IN CALENDAR YEAR 1980

Risks Scores

High 7.5-10.0	CE 600	CE 375	CE 300	CE 225	CE = Controls Emphasis SE = Services Emphasis MS = Minimum Supervision
Moderately High 5.0-7.49	CE 1210	CE 755	CE 600	SE 450	
Moderately Low 2.5-4.99	CE 1210	CE 760	SE 1210	SE 905	
Low 0-2.49	MS 3390	SE 905	SE 905	SE 680	

Low Moder- Moder- High
 ately ately
 Low High
 0-2.49 2.5-4.99 5.0-7.49 7.5-10.0

Needs Scores

Based on these estimates, 6,035 felons and non-felons (or 40 percent of the total) will be placed in a controls emphasis. Similarly, 5,660 (or 33 percent) will be assigned to a services emphasis; and 3,390 (or 22 percent) will be placed in minimum supervision. These numbers are only estimates. They are, however, based on the results of a large number of studies, including the summary parole

evaluation. They represent our best current predictions of the "steady state" situation, after the new model's operational shakedown period is completed.

Provisions also must be made to process a minimum set of information on each adult offender assigned to an agent within the district.

- Name
- CDC number
- Age (year of birth)
- Race
- Commitment offense
- County of commitment
- Time served
- Agent
- Special conditions
- Residential situation
- Education background
- Vocational skills
- Employment situation
- Physical/mental problems
- Gang affiliation
- History of substance abuse
- Risks assessment category
- Needs assessment category
- Supervision emphasis

Opportunities for providing the majority of these data elements are provided on the risks and needs assessment forms.

D. Projected Field Staff Assignments

Based on the projected numbers and kinds of cases that will be assigned statewide in calendar year 1980, a preliminary estimate of the number of parole agents or person-year equivalents needed to perform the various functions is as follows:

TABLE 3
ESTIMATED FIELD STAFF REQUIREMENTS BY FUNCTION

Function	Number of Field Staff or Person-Year Equivalents	Percent of Total Available Person-Years
Managing Cases	65	19
Assessing and Reassessing Risks and Needs	38	11
Developing and Updating Action Plans	19	5
Applying and Securing Controls	112	32
Providing and Securing Services	74	21
Preparing for Status Changes	12	3
All Other Requirements*	30	9
Total	350	100

*Including training, vehicle maintenance, development of community resources, criminal justice liaison, information collection, etc.

It is estimated that, given the assignments to supervision emphases indicated in Table 2, applying and securing controls will require almost one-third of all available field staff person-years. Providing and securing services is the second most demanding function, requiring slightly more than one-fifth of all available person-years. Managing cases requires another one-fifth. The rest of the available time is absorbed to a lesser degree by the other functions.

These figures will be used for planning purposes by each district in the formulation of the activity levels in the district's implementation plan. There may be some variations among districts as these are statewide averages. In addition, the ratios may change somewhat as better workload measures are obtained.

All agents will be expected to be qualified, trained, and capable of performing all functions. Movement among specialties is encouraged; it is of concern to executive staff that employees not stay in any one functional specialty for an inordinate length of time. Agents familiar with other specialties will be better able to perform their own specialty and interact with other field staff. Disadvantages of remaining too long in one functional specialty include loss of perspective, unawareness of some of the aspects of the other specialties, and possible loss of peace officer status. Basic operational units will be expected to provide for the movement of staff.

It is also of concern to executive staff that the purity of functional specialties be maintained; agents in a controls emphasis, for example, should not routinely be performing services functions.

Agents will be asked for their preferences in the types of specialties to which they wish to be assigned initially. This interest will be considered when initial selections are made, recognizing that all functions must be performed within each basic operational unit and that workload must be distributed evenly.

E. Activity Indicators

As part of the ongoing monitoring and auditing process, information pertaining to activities and outputs needs to be collected. While the primary focus of management under the new model will be on results, it still is necessary to have activity and output information for both evaluation and budgeting purposes. A review of the information that is included in the current monitoring and auditing system has not been completed. However, it appears that the information requirement includes the following:

- Number of agent grievances
- Number of adult offender grievances
- Number of initial assessments
- Number of reassessments
- Number of initial action plans
- Number of action plan updates
- Number of evaluations conducted
- Number of field units visited
- Number of cases carried, by type
- Number of field staff hours, by function
- Number of new cases received, by type
- Number of discharges
- Number of revocations, by cause
- Number of institutional visits, by location

Number of adult offenders assigned to an agent of record, by supervision emphasis
Average number of hours expended per month on an adult offender in satisfying legal and policy requirements, by supervision emphasis
Average number of hours expended per month on an adult offender in satisfying the direct requirements for controls and services as identified in the action plan, by supervision emphasis and by type of controls and type of services programs.
Average number of contacts per month with the local criminal justice system and with community resources providers, by agent specialty.

F. Costs

Cost information is essential in making any judgments concerning program efficiency or cost-effectiveness and is a fundamental part of every resource allocation decision. Implementation of this new model of parole will result in added costs from limited purchases of new equipment (e.g., EMIT machines), the needed training for functional specialists, relocations, augmented monitoring and evaluation, and additional controls and services.

It is anticipated that these added costs can be offset by savings arising from a more effective utilization of community resources, redirection of administrative and operating funds, and through the use of resources freed by placing persons with relatively low risks and needs on minimum supervision status.

It should be noted, however, that since the division's resources are principally in personnel, conversion of resources is limited mainly to positions that can be redirected to other functions. If necessary, however, administrative and other operating funds will be redirected to implement this model.

It appears, therefore, that at least for the next two fiscal years, the proposed changes in parole operations can be achieved within existing budget levels through a redirection of internal resources and through the use of available grant monies from the Office of Criminal Justice Planning.

Detailed cost estimates for each of the major functions (see Section II, Basic Principles) should be provided with every implementation plan. Where it is at all possible, costs should be distinguished into the two major categories related to the kinds of goods or services they purchase: investment costs and operating costs. It should be noted that investment costs cover more than just facilities and major items of equipment. All one-time costs associated with creating an initial capability should be shown. Similarly, all operating costs must be accounted for, even if aggregation of some of the cost

categories by object of expenditure must be undertaken.

Where services are generated using internal resources, the equivalent money cost must be calculated and entered in the appropriate place.

Where the funds to pay for the costs are coming from are to be shown in the second cost section, "Funding By Source." This section will be completed by headquarters staff.

Finally, all of these data should be displayed for the current year (in this case, fiscal year 1979), the period of transition and shakedown (fiscal year 1980, subdivided into two segments, July 1 to December 31, 1979 and January 1 to June 30, 1980) and the period of more-or-less stable operations thereafter (fiscal year 1981).

FIGURE 2

COSTS

	<u>New Model</u>		
	<u>Current</u> (FY 1979)	<u>Transition</u> <u>Period</u> <u>(Fiscal Year 1980)</u> (Jul-Dec) 1979	<u>Steady</u> <u>State</u> (FY 1981) (Jan-Jun) 1980
<u>Funding by Object of Expenditure:</u>			
Investment			
Facilities			
Rent/Lease			
Purchase			
Major Equipment			
Rent/Lease			
Purchase			
Planning			
Relocation			
Recruitment			
Initial Training/Orientation			
Sub-Total			
Operating			
Personnel (Include: wages & salaries, fringe benefits, and retirement)			
Professional (Staff, Line)			
Para-Professional (Staff, Line)			
Clerical/Administrative			
Blue Collar			
Contract Personnel			
Supplies			
Minor Equipment			
Utilities			
Maintenance			
Reproduction/Communications			
Travel/Transfer			
Other			
Contractual Services			
Sub-Total			
Grand Total			
<u>Funding by Source:</u>			
Grand Total			
Federal			
State			
Local			
Reimbursements			
Contributions			
Other			

G. Collecting and Processing Data

It is clear from the preceding pages of this section that substantial amounts of information will have to be regularly or periodically collected by each basic operational unit, either in toto or on a sample basis.

Detailed procedures and forms to be used in collecting and processing this information have not yet been developed.

It is realized that field units already collect and process large amounts of data, some of which are being asked for here. The entire problem of more efficient and responsive data collection and processing has been generally overlooked within the division for many years. Improvements to these processes will take much time and effort, and while they cannot be made all at once, efforts to systematize and automate data collection, processing, and presentation have high priority and are already underway.

Grant funds for a feasibility and subsequent systems design study are being sought. A task force composed of field and headquarters staff has been created to study this major problem.

VIII. FORMS AND INSTRUCTIONS

This section presents the standardized forms and instructions to be used statewide during the operational shakedown phase. Subsequent changes may be made, depending upon experience:

- . Initial Risks Assessment
- . Initial Needs Assessment
- . Risks Reassessment
- . Needs Reassessment
- . Action Plan
- . Record of Substance Abuse Testing
- . Record of Supervision

Initial Risks Assessment:

There are four major categories included on the initial risks assessment; all are designed to evaluate the type, frequency, and severity of criminal behavior and provide indicators of the individual's propensity for further criminal involvement (see next page). Assign each category a score of zero to ten, with higher scores representing more serious crimes, circumstances, and risk. Multiply each score by the predetermined weight of the category to obtain the weighted score for the category and enter the score in the right hand column. Weighted scores in the categories will be added to obtain the total risks score.

Complete the heading on the form (Last name, first name, middle initial, age and CDC number of offender.)

- A. Latest Commitment Offense(s): This category is to assess the dimensions of the commitment offense, i.e., situations and circumstances surrounding the crime. (The sources of

INITIAL RISKS ASSESSMENT

Name _____ Age _____ CDC # _____
 (Last) (First) (Middle Initial)

A. Latest Commitment Offense(s): _____
 Person ; property ; narcotics ; other .
 . Type _____
 . Mitigating circumstances: _____

 . Aggravations: _____

 . Other relevant information: _____

 . Number of filed charges associated with this commitment: _____; most serious charge _____ .25 _____

B. Criminal Behavior Pattern. Indicate the number of offenses: _____
 Arrested but not convicted (exclude "deemed not arrested")

	Convicted		Arrested but not convicted	
	Juvenile	Adult	Juvenile	Adult
Person				
Property				
Narcotic				
Other				

By type of offense, identify the major patterns, trends, frequency, and severity:

 _____ .30 _____

C. Prior Patterns of Crime-Related: _____
 Moderate Severe Occasional Frequent

. Drug use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
. Alcohol use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
. Psychological problems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
. Association with undesirable people/places	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Describe above and add other situations not covered:

 _____ .20 _____

D. Prior Patterns of Response to Custody/Supervision: _____
 Indicate, by type, the number of major negative incidents as a juvenile and adult under custody (escapes and new crimes; disciplinaries and other incidents; gang involvement), or under supervision (suspend/reinstate; parole violations; limited placements; CSTCU). Use back of page if necessary:

 For each type, identify major patterns or trends:

 _____ .25 _____

Risks Score (the sum of the four weighted scores). _____
 Score-Based Risks Category:
 Low ; Moderately Low ; Moderately High ; High .
 Override Reasons, if any: _____
 _____ Score Assigned _____

Final Risks Category:
 Low ; Moderately Low ; Moderately High ; High . Final Score _____
 Prepared by: _____ Date _____
 Reviewed by: _____ Date _____

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information about commitment offense are the probation officer's report(s) and the cumulative case summary.)

- Check the type of offense(s): Person, property, narcotics or other. If there is more than one type of commitment offense, check both. If this is a parole violation with a new commitment, the new commitment is the latest offense. Also include additional commitments received from offenses committed prior to this incarceration. Earlier commitments should be entered in Sections B or D. Enter the Penal Code designation(s) for the specific offense(s) and name(s) of the offense(s).
- Describe circumstances that mitigate, that is, tend to make the punishment for the crime inappropriate or would lessen the degree of the subject's responsibility. Examples are defense of self or property, or defense of someone else, or of another's property. Other examples include those situations where there appears to be a rational basis for the crime such as speeding to take an injured person in for emergency medical care.
- List aggravations, if any. An aggravation is an action of the adult offender during the commission of crime such as use of force that results in physical injury to the victim, or that results in the apprehensiveness

(fear of harm or physical violence) of the victim; and the use of firearms in conjunction with the commission of a robbery, assault or burglary as defined in the Penal Code.

- . List other relevant criminal information that allows a more accurate judgment of the severity of the commitment offense or allows better action plan development. For example, a peculiar modus operandi or series of events leading or related to the crime may be critical factors or cues for the supervising parole agent.
- . Enter the number of charges filed by the district attorney against the offender that were associated with the commitment offense, indicating the most serious of those charges.

Considering all factors of the commitment offense, assign a score from zero to ten that best fits the seriousness of the offense.

- B. Criminal Behavior Pattern: Review all previous convictions as a juvenile and as an adult that are shown on the "rap sheet" and probation reports. Count the number of each type, i.e., person, property, narcotics, other, for which the offender was convicted and for which there was an arrest but no conviction (exclude

arrests that were "deemed not arrested"). By type of offense, identify the major patterns, trends, frequency and severity and describe.

Assess the overall criminal behavior of the offender in terms of the extensiveness and degree of seriousness. Considering the offender's history and propensity for reinvolvement in criminal activity, score this category from zero (none) to ten.

C. Prior Patterns of Crime-Related Substance Abuse/

Psychological Problems/Associations: Using the probation officer reports and the cumulative case summary:

- . Indicate the incidence and degree of drugs use or alcohol use, directly related to criminal behavior (moderate/severe; occasional/frequent). Describe the type of substance and the relationship to criminal behavior.
- . Indicate if there is a documented history of crime-related psychological problems. Describe the specific problem, the duration of the condition, and the present status, if known.

Indicate if there are associations with undesirable persons/places that tend to lead to criminal behavior.

Score this category from zero to ten depending on the presence and degree of seriousness of any problem which may result in renewed criminal involvement.

D. Prior Patterns of Response to Custody/Supervision: Review

the cumulative case summary disciplinary report and enter the number of incidents or crimes committed during any incarceration that required either court or board action; if any, list the year and type of offense.

If the offender has been under prior community supervision, list negative behavior and parole or outpatient status violations. For each type listed, identify major patterns or trends.

Score this section from zero to ten depending on the seriousness of prior behavior and the expected adjustment to parole/outpatient status.

Calculate the risks score by adding the weighted scores in the right hand column. Check the score-based risks category: 0-2.49, Low; 2.5-4.99, Moderately Low; 5.0-7.49, Moderately High; 7.5-10.0, High. If the score-based risks category does not seem appropriate in view of other relevant factors, list reasons that justify an override/underide of the risks score. Enter the numerical value assigned to the override/underide. Check the final risks category: Low, Moderately Low, Moderately High, High, and enter the final score (the sum/remainder of the risks score and the override score).

Sign the form and indicate the date of this assessment.

There is a space for higher level approval of the initial risks assessment.

Initial Needs Assessment:

The initial needs assessment is based on the proposed release plan and other factors that will require attention in the action plan (from pre-release to the first scheduled reassessment (see next page). Assign each category a score from zero (none) to ten based on the degree of need for assistance in that area. Multiply each score by the predetermined weight of the category to obtain the weighted score for the category and enter the score in the right hand column. Weighted scores in the categories will be added to obtain the total needs score.

Complete the heading on the form (Last name, first name, middle initial and CDC number of offender).

A. Residence: Indicate with whom the offender plans to reside by name and relationship. Assess the suitability of this arrangement to the initial adjustment on parole/outpatient status. Describe past residential patterns and other relevant information.

Rate the need for residential assistance from zero (none) to ten.

B. Means of Support:

Indicate the likelihood of employment; if there is a firm commitment for employment, state occupation, expected duration of the job, hourly wage and status, full-time or part-time.

INITIAL NEEDS ASSESSMENT

Name _____	CDC # _____	
(Last) (First) (Middle Initial)		
Note: Assess the <u>expected</u> situations and needs from pre-release to the first scheduled reassessment only.		Score (0 to 10) x Weight = Score
A. Residence:		
. With whom: Name: _____ Relationship: _____		
. Suitability: Positive <input type="checkbox"/> ; marginal <input type="checkbox"/> ; negative <input type="checkbox"/> ; unknown <input type="checkbox"/>		
. Past pattern: _____		
. Other relevant information: _____		.25
B. Means of Support:		
. Likelihood of employment: Firm commitment <input type="checkbox"/>		
Occupation: _____ Duration: _____		
Hourly wage: \$ _____ Full-time <input type="checkbox"/> ; part-time <input type="checkbox"/>		
Good prospects <input type="checkbox"/> ; some leads <input type="checkbox"/> ; none <input type="checkbox"/>		
. Past pattern: _____		
. Employability:		
Specific skills: _____		
Significant experience: _____		
If unable to work, give reason and duration: _____		
. Other sources of income: _____		
Monthly amount: \$ _____		
. Total monthly income: \$ _____		
. Other relevant information: _____		.30
C. Health:		
. Physical problems:		
None <input type="checkbox"/> ; slight <input type="checkbox"/> ; moderate <input type="checkbox"/> ; serious <input type="checkbox"/>		
. Psychological problems:		
None <input type="checkbox"/> ; slight <input type="checkbox"/> ; moderate <input type="checkbox"/> ; serious <input type="checkbox"/>		
Describe: _____		.15
D. Transportation needs: Fully met <input type="checkbox"/> ; marginally met <input type="checkbox"/> ; not met <input type="checkbox"/>		
Describe: _____		.05
E. Community Survival Skills:		
Adequate <input type="checkbox"/> ; minor deficiencies <input type="checkbox"/> ; severe problems <input type="checkbox"/>		
Describe: _____		.10
F. Other Important Needs: _____		.15
Needs Score (the sum of the six weighted scores)		
Score-Based Needs Category:		
Low <input type="checkbox"/> ; Moderately Low <input type="checkbox"/> ; Moderately High <input type="checkbox"/> ; High <input type="checkbox"/>		
Override Reasons, if any: _____		Score Assigned _____
Final Needs Category:		
Low <input type="checkbox"/> ; Moderately Low <input type="checkbox"/> ; Moderately High <input type="checkbox"/> ; High <input type="checkbox"/>		Final Score _____
Prepared by: _____		Date _____
Reviewed by: _____		Date _____

- . Describe past employment pattern.
- . Assess employability factors stating: specific skills, significant experience. If unable to work, state reason and expected duration.
- . List other sources of income and the monthly amount of income from other sources.
- . State total monthly income from both employment and other sources.
- . Include all other relevant information about the means of support.

Considering all the factors of the means of support, rate the offender's need for assistance from zero (none) to ten.

- C. Health: Unlike the risks assessment, this section includes all health problems whether or not crime-related.
- . Check the presence and degree of physical problems. Describe the problem and specify the type of assistance needed.
 - . Check the presence and degree of psychological problems. Describe the condition and specify the type of assistance needed.
- Rate the need for health assistance from zero (none) to ten.
- D. Transportation needs: Indicate the need for transportation and describe the type of assistance needed.
- Rate the need for assistance from zero (none) to ten.

- E. Community Survival Skills: Indicate the individual's abilities to fulfill basic needs in the community, i.e., secure clothing, food, residence, and employment; manage finances; communicate effectively; live independently, etc. Describe specific deficiencies.
- Score the need for training or assistance in this area from zero (no need) to ten.
- F. Other Important Needs: Describe any other important needs that will require assistance or provision of services such as vocational/academic education; legal assistance; marital counseling, etc.
- Rate this category from zero (no need) to ten depending on the need for assistance.

Calculate the initial needs score by adding the six weighted scores in the right hand column. Check the score-based needs category: 0-2.49, Low; 2.5-4.99, Moderately Low; 5.0-7.49, Moderately High; 7.5-10.0, High. If the score-based needs category does not seem appropriate in view of other relevant factors, list reasons that justify an override/underide of the needs score. Enter the numerical value assigned to the override/underide and check the final needs category: Low, Moderately Low, Moderately High, High. Indicate the final score (the sum/remainder of the needs score and the assigned override/underide score).

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Sign the form and indicate the date of this assessment.

There is a space for higher level approval of the initial needs assessment.

Risks Reassessment:

The risks reassessment form is to be used at mandatory scheduled intervals or unscheduled intervals when deemed necessary to re-evaluate the offender's risk based on significant new behavior or information. Scheduled reassessments are required under the following circumstances:

1. Elapsed time on parole:
 - a. Between 75 and 105 days after initial release to parole or outpatient status unless an unscheduled event necessitated reassessment within the last 30 days. This reassessment replaces the 90-day case conference.
 - b. No less than 30 days of a mandated discharge date:
 - (1) Review dates for felon cases will occur following completion of continuous parole for the number of months listed:
 - (a) Cases sentenced under
 - 8 months if non-life sentence
 - 24 months if life sentence
 - (b) Cases sentenced under Senate Bill 1057:
 - 10 months
 - 34 months

RISKS REASSESSMENT

Name _____ CDC # _____
 (Last) (First) (Middle Initial)

Months since last (re)assessment: _____
 Scheduled ; Unscheduled ; Reason _____
 A. Criminal activities: None ;
 suspected or alleged involvement ;
 parole violation ; new crime .
 . Type: _____
 . Circumstances: _____

 . Other relevant criminal information: _____

B. Developing or Continuing Patterns of: _____ .30 _____

	Moderate	Severe	Occasional	Frequent
. Drug use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
. Alcohol use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
. Psychological problems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
. Association with undesirable people/places	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

 Describe above and add other situations not covered:

C. Adherence to Action Plan Objectives: _____ .35 _____
 Excellent ; fair ; poor .
 Describe: _____

D. Parolee/Outpatient Attitude and Motivation: _____ .20 _____
 Excellent ; fair ; poor .
 Describe: _____

_____ .15 _____

Reassess Risks Score (the sum of the four weighted scores) _____
 Composite Risks Score:
 _____ + _____ + _____ + _____ = _____ ÷ _____ = _____
 Initial All Reassessed Risks Scores Total Number of Scores
 Risks Score

Composite Score-Based Risks Category:
 Low ; Moderately Low ; Moderately High ; High .
 Override Reasons, if any: _____
 _____ Score Assigned _____

Final Risks Category:
 Low ; Moderately Low ; Moderately High ; High . Final Score _____
 Action Plan Revision Recommended: Yes ; no .
 Reasons: _____

Prepared by: _____ Date _____
 Comments of agent of record: _____
 Approved by: _____ Date _____

- (2) Review dates for civil narcotic addicts will occur following completion of continuous outpatient status for the number of months listed:
- 24 months (drug free)
 - 36 months (eligible methadone cases)
 - 82 months (prior to expiration of commitment)
2. At the date scheduled in the action plan unless an unscheduled reassessment occurred within 30 days of a scheduled date. In any event a scheduled reassessment will occur annually.
- Unscheduled reassessments are required under the following circumstances:
1. After a change in the agent of record upon receipt of a transferred case.
 2. Before a change in the agent of record within a given unit if there is to be a change in the supervision emphasis.
 3. Upon reinstatement of felon cases and return of releasees-at-large (RAL's) to outpatient status.
 4. Prior to release from a 30-days-or-more custody period.
 5. Following completion of major case objectives specified in the action plan.
- Reassessments may be initiated by parole staff after a review of case progress. This shall occur under, but is not limited to, the following circumstances:
1. Suspend/reinstatements of non-felon cases to outpatient status.

2. An arrest or alleged criminal behavior, including active involvement in gangs or organized crime.
3. After a major violation of conditions of parole or outpatient status.
4. When the parolee/outpatient is unavailable for parole supervision or has absconded and is declared a parolee-at-large (PAL) or RAL.
5. If there is evidence of serious deterioration in the emotional or physical condition of the parolee/outpatient.
6. When there has been a major change in the standard of living or in the personal relationships of the offender.
7. If the parolee or narcotic addict outpatient requests a change in the major immediate or long-range objectives of the action plan.

Major areas in the reassessment parallel those of the initial assessment. The categories are criminal activities that occurred since the last evaluation; developing or continued patterns of drug use, alcohol use, psychological patterns, associations; adherence to action plan objectives; and attitude and motivation. As in the initial risks assessment, assign scores from zero to ten based on the type, frequency and severity of the behavior and the offender's probable risk of reinvolvement in criminal activities. Multiply scores in each category by the predetermined weight of the category to obtain the weighted scores and enter scores in the

right hand column. Weighted scores are added and this total is averaged with all of the offender's previous risk scores (initial and all reassessed scores) to obtain a new overall total risk score.

Complete the heading on the form (Last name, first name, middle initial, CDC number of the offender.) State number of months since last risks assessment. Indicate the type of reassessment, scheduled, unscheduled. If unscheduled, state reason.

A. Criminal Activities: Indicate if there has been involvement and type.

- . Describe the type of crime or parole violation.
- . Describe the circumstances of the offender's involvement in criminal activities. Specify dates, location, and describe behavior.
- . List other relevant criminal information that allows a more accurate rating of the activities or allows better action plan development. Include information obtained from collateral contacts/investigations. Note if there appears to be a criminal pattern developing or continuing. Describe the behavior indicating critical factors.

Considering all the factors of criminal activity, rate from zero (if none) to ten depending on the type, frequency, and

severity of the activity as well as the offender's risk of reinvolvement in criminal activities.

B. Developing or Continuing Patterns of Drug Use, Alcohol Use, Psychological Problems, Associations:

Indicate the degree and frequency of any of the above named problems. If drug use is indicated, describe the substances. Describe the nature of other areas indicated and any other situations jeopardizing parole or outpatient status.

Rate this category from zero to ten depending on the frequency and severity of the problem and the risk of criminal reinvolvement.

C. Adherence to Action Plan Objectives:

Indicate the degree to which the offender has cooperated with/performed the action plan objectives for both controls and services activities. Describe actions.

Rate adherence from zero (excellent) to ten (very poor).

D. Parolee/Outpatient Attitude and Motivation:

Assess the offender's response to supervision, i.e., attitude and motivation toward successful completion of parole/outpatient status.

Rate this category from zero (excellent) to ten (very poor).

Calculate the reassessed risks score by adding the four weighted scores in the right hand column. Calculate the composite risks score by averaging the initial risks score and all subsequent reassessed risks scores including the present score. (Add the scores and divide the total by the number of scores.) Indicate the composite score-based risks category: 0-2.49, Low; 2.5-4.99, Moderately Low; 5.0-7.49, Moderately High; 7.5-10.0, High.

If the composite score-based risks category does not seem appropriate in view of other relevant factors, list reasons that justify an override/underide of the composite risks score.

Enter the assigned numerical value of the override/underide and check the final risks category: Low, Moderately Low, Moderately High, High. Enter the final score (the sum/remainder of the composite score and the assigned override/underide score).

Indicate if an action plan revision is recommended, and state the reasons for the revision such as higher or lower levels of controls to be obtained.

Sign the form and indicate the date of this reassessment.

There is a space for comments of the agent of record if different from the reassessor and there is a space for higher level approval of the risks reassessment.

Needs Reassessment:

The needs reassessment occurs at scheduled intervals or whenever it is necessary to re-evaluate the offender based on the progress in accomplishing the immediate case management objectives in the action plan. (See page 110, risks reassessment.) The needs reassessment covers exactly the same categories as the initial needs assessment. Each category is scored from zero (no need) to ten depending on the need for assistance in that area. Scores are multiplied by the pre-determined weight of the category to obtain the weighted scores of the category.

Coding instructions for the needs reassessment are the same as for the initial assessment, but the needs reassessment indicates the actual status of the offender rather than the anticipated status.

After coding, calculate the reassessed needs score by adding the weighted scores. Calculate the composite needs score by averaging the initial needs score with all subsequent reassessed needs scores. (Add the scores and divide the total by the number of scores.)

Indicate the composite score-based needs category: 0-2.49, Low; 2.5-4.99, Moderately Low; 5.0-7.49, Moderately High; 7.5-10.0, High. If the score-based needs category does not seem appropriate in view of other relevant factors, list reasons

NEEDS REASSESSMENT

Name _____ CDC # _____
 (Last) (First) (Middle Initial)
 Scheduled ; Unscheduled ; Reason _____
 Note: Assess the current and expected situation and needs from this point until the next scheduled reassessment. Score (0 to 10) x Weight = Score

A. Residence:
 . With whom and duration: Name: _____
 Relationship: _____
 . Suitability: Positive ; marginal ; negative .
 . Number of times residence changed this period: _____
 . Other relevant information _____ .25

B. Means of Support:
 . Employment: Employed duration _____; firm commitment .
 Occupation: _____
 Hourly wage: \$ _____ Full-time ; part-time .
 Good prospects ; some leads ; none .
 Number of times job changed this period: _____
 . If unemployed, assess employability:
 Specific skills: _____
 Significant experience: _____
 If unable to work, give reason and duration: _____
 . Other sources of income: _____
 Monthly amount: \$ _____
 . Total monthly income: \$ _____
 . Other relevant information _____ .30

C. Health
 . Physical problems:
 None ; slight ; moderate ; serious .
 . Psychological problems:
 None ; slight ; moderate ; serious .
 Describe: _____ .15

D. Transportation needs: Fully met ; marginally met ; not met .
 Describe: _____ .05

E. Community Survival Skills:
 Adequate ; minor deficiencies ; severe problems .
 Describe: _____ .10

F. Other Important Needs: _____ .15

Reassessed Needs Score (the sum of the six weighted scores)
 Composite Needs Score:
 _____ + _____ + _____ + _____ + _____ = _____ ÷ _____ = _____
 Initial Needs Score All Reassessed Needs Scores Total Number of Scores
 Composite Score-Based Needs Category:
 Low ; Moderately Low ; Moderately High ; High .
 Override Reasons, if any: _____
 _____ Score Assigned _____
 Final Needs Category:
 Low ; Moderately Low ; Moderately High ; High . Final Score _____
 Action Plan Revision Recommended: Yes ; no .
 Reasons: _____

 Prepared by: _____ Date _____
 Comments of agent of record: _____
 Reviewed by: _____ Date _____

that justify an override/underide of the composite needs score.

Enter the assigned numerical value of the override/underide and check the final needs category: Low, Moderately Low, Moderately High, High. Enter the final score (the sum/remainder of the override/underide score).

Indicate if an action plan revision is recommended, and state reasons for a revision.

Sign the form and indicate the date of this reassessment.

There is a space for comments of the agent of record if different from the reassessor and there is a space for higher level approval of the needs assessment.

Action Plan:

Action plans are to be completed for newly released parolees/outpatients and whenever there are significant changes in supervision status, objectives and actions. Updates (minor changes) to existing action plans are to be processed through an action plan review. (See record of action plan review, page 119.)

Complete heading as indicated on the form.

- . Enter the adult offender's name, age, and CDC identification number.
- . Specify the type of action plan: initial or revised; if revised, indicate whether scheduled or unscheduled and reason for the unscheduled revision.
- . If this is a revised action plan, indicate the degree to which previous action plan case objectives were met. If the objectives were not fully met, specify reasons.

Enter final risks score and needs scores and categories: Low, Moderately Low, Moderately High, High. Check the areas of controls and services for which actions are indicated by the risks and needs assessments/reassessments. For each category checked, briefly list major concerns as indicated by the latest assessment.

ACTION PLAN

Name _____ Age _____ CDC # _____

Initial ; Revised ; Scheduled ;
Unscheduled ; Reason _____

Previous Action Plan Objectives Met: Fully ; Moderately well ; Poorly ; Not at all .

Specify reasons if not fully met: _____

Final risks score _____

Risks Category:

Low ; Moderately Low ;
Moderately High ; High .

Controls:

- Criminal activities
- Pattern of arrests and convictions
- Developing or continuing crime-related patterns:
 - Drugs
 - Alcohol
 - Psychological
 - Undesirable associations
- Pattern of behavior under custody/supervision
- Other, specify: _____

Final needs score _____

Needs Category:

Low ; Moderately Low ;
Moderately High ; High .

Services:

- Residence
- Means of support
 - Employment
 - Employability
 - Other means of support
- Health
 - Physical
 - Psychological
- Transportation needs
- Community survival skills
- Other important needs, specify: _____

For each category checked above, briefly list major concerns as indicated by the latest assessment:

Controls:

Services:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

ACTION PLAN (Continued)

Case objectives for the adult offender:

a. Immediate objectives--specific intended accomplishments before next scheduled reassessment.

Controls:

Services:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

b. Longer-term objectives--specific intended accomplishments between next scheduled reassessment and subsequent scheduled reassessment.

Controls:

Services:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Special conditions of parole/outpatient status:

I have read and understand the above action plan and the relationship of this plan to my parole/outpatient status and conditions of parole/release.

Signature of Parolee/Outpatient

Date

ACTION PLAN (Continued)

Actions to be taken by field specialists to ensure that the immediate intended accomplishments are met. Specify by whom, when, and why the actions are to be performed.

Controls:

Services:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Considering final risks and needs scores, workload, and exclusion factors, indicate the supervision emphasis for this person:

Controls ; Services ; Minimum Supervision .

Identify reason(s) for such placements: _____

Date of next scheduled reassessment: _____

Preparer's Signature and Date

Agent-of-Record Signature and Date

Approval Signature and Date

RECORD OF ACTION PLAN REVIEW

Purpose of review: _____

Action Plan: Update; Revision (new plan prepared).

If update: actions added:

Controls:

Services:

_____	_____
_____	_____
_____	_____

Actions deleted:

Controls:

Services:

_____	_____
_____	_____
_____	_____

Date of next scheduled reassessment: _____

Preparer's Signature and Date

Agent-of-Record Signature and Date

Approval Signature and Date

Purpose of review: _____

Action Plan: Update; Revision (new plan prepared).

If update: actions added:

Controls:

Services:

_____	_____
_____	_____
_____	_____

Actions deleted:

Controls:

Services:

_____	_____
_____	_____
_____	_____

Date of next scheduled reassessment: _____

Preparer's Signature and Date

Agent-of-Record Signature and Date

Approval Signature and Date

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Identify the case objectives for the adult offender in both controls and services:

- Immediate objectives: specific intended accomplishments before the next scheduled reassessment.
- Long-term objectives: specific intended accomplishments between next scheduled reassessment and subsequently scheduled reassessment.

List special conditions of parole/outpatient status.

The objectives of the action plan and special conditions of parole are to be explained to the parolee/outpatient, who should then sign page two of the action plan (page 117).

List the controls and services actions to be taken by field specialists to ensure that the immediate intended accomplishments are met. Specify by whom, when and why the actions are to be performed.

Considering final risks and needs scores, workload, and exclusion factors, indicate the supervision emphasis for this person: controls, services, minimum supervision. Identify the reasons for the placement using the following criteria:

Assignment to a Supervision Emphasis:

There are three overall supervision emphases: controls, services, and minimum supervision. In the absence of other factors, the scores obtained on the risks and needs assessment will determine the supervision emphasis to which individual adult offenders will be assigned.

Two additional factors must be considered in making assignments, however: workload as determined in the action plan, and exclusionary criteria as explained subsequently. Table 1 identifies the supervision emphasis indicated by the various possible risks and needs assessment scores. For example, if a given adult offender has a needs score of 5.5 and a risks score of 7.1, in the absence of other factors that person would be assigned to a controls emphasis. (It should be noted that there are likely to be changes over time in the cut-off points to each category, resulting from the division's experience with persons being assigned to the different supervision emphasis.) As the figure illustrates, some offenders with a moderately low risks score and a moderately low needs score may qualify for minimum supervision.

Risks Scores

TABLE 1

ASSIGNMENTS TO SUPERVISION EMPHASIS

High 7.5-10.0	CE	CE	CE	CE
Moderately High 5.0-7.49	CE	CE	CE	SE
Moderately Low 2.5-4.99	CE MS	CE MS SE	SE	SE
Low 0-2.49	MS	MS SE	SE	SE

CE = Controls Emphasis
 SE = Services Emphasis
 MS = Minimum Supervision

Low	Moderately Low	Moderately High	High
0-2.49	2.5-4.99	5.0-7.49	7.5-10.0

Needs Scores

Workload factors, however, also must be considered.

If few actions need to be accomplished (see page 3 of the action plan) or if there is little total workload required of P&CSD staff to accomplish the stated case management objectives, an adjustment can be made to the tentative supervision emphasis.

Certain cases are to be excluded from consideration for minimum supervision emphasis at initial release to parole even when the initial risks and needs scores are low. All of these cases may be eligible for

placement in minimum supervision at the first and subsequent reassessments unless there are continuing exclusionary factors.

Exclusionary criteria for initial placement in minimum supervision are:

1. Commitment offense
 - a. Murder (1st)
 - b. Sex crime(s)
2. Special conditions of parole
3. Documented active gang membership or affiliation
4. Release-to-hold or out-of-state.

Continuing exclusionary criteria at reassessment includes all special conditions of parole.

Enter the date of the next scheduled reassessment (see page for schedule).

The action plan is to be signed by the preparer, the agent of record, and approved by a higher level designee.

The last page of the action plan is the "Record of Action Plan Review." This document is to be used for periodic reviews of progress and whenever there is an action plan update (minor changes) or revision (major changes, new plan). To be stated on this form are: the purpose of the review; and if an action plan update, the additions and deletions to the present action plan; and the date of the next scheduled reassessment. If this is a revision, briefly state reasons, and prepare a new action plan.

Record of Testing for Substance Abuse and Record of Supervision:

The two documents that will be used to record case activities are the record of testing for substance abuse and the record of supervision.

The record of testing for substance abuse is used to briefly record the dates and location of the collection of urine samples and other evidence of use as well as the results of urinalysis, type of substance, patterns and circumstances of use. Also included are the number of attempts and length of time expended to secure the urine sample and other evidence of use (no calls, etc.).

All other case activity is to be recorded on the record of supervision. For each activity state the date and location, the specific purposes, the specific accomplishments, and the number of attempts and time expended to achieve the activity/contact. Specify the actual contact time (face-to-face or on the telephone) in the boxes 0-15 min., etc. The form is to be signed by the agent that performed the activity.

These forms may also be used to record events/activities such as placing holds, sending "all-points-bulletins," writing IER's, board reports, and emergency case conferences.

RECORD OF TESTING FOR SUBSTANCE ABUSE

Subject's Name _____ CDC # _____
(Last) (First) (Middle Initial)

Date of test: _____; Location: office; field; Date of last test _____
Result: negative; positive; confirmed; type _____
Pattern, circumstance, and other evidence of use: _____

Number of attempts and time expended to secure urine sample/other evidence: _____

Date of test: _____; Location: office; field; Date of last test _____
Result: negative; positive; confirmed; type _____
Pattern, circumstance, and other evidence of use: _____

Number of attempts and time expended to secure urine sample/other evidence: _____

Date of test: _____; Location: office; field; Date of last test _____
Result: negative; positive; confirmed; type _____
Pattern, circumstance, and other evidence of use: _____

Number of attempts and time expended to secure urine sample/other evidence: _____

Date of test: _____; Location: office; field; Date of last test _____
Result: negative; positive; confirmed; type _____
Pattern, circumstance, and other evidence of use: _____

Number of attempts and time expended to secure urine sample/other evidence: _____

RECORD OF SUPERVISION

Subject's Name _____ CDC # _____
(Last) (First) (Middle Initial)

Specific purposes of this activity: _____

Specific accomplishments associated with case activity: _____

Number of attempts and time expended to achieve this activity/contact: _____

Location of this activity: field; office; telephone.

Date of activity: _____.

Length of contact: 0-15 min; 16-30 min.
 31-45 min; 46-60 min.
 other. Specify: _____

Signature of agent(s) and
Specialty

IX. MANUAL REVISIONS

The following types of changes in the Parole Procedures Manual-Felon probably will be necessary to reflect the policies and procedures of the new model.

Chapter 1 - Administrative Information

- . A section is needed in this chapter to describe the organization of field staff into functional specialties. A statement on the purpose and impact of rotation by field staff among these specialties also should be considered. Specifying a method for accounting when agents are assigned to each specialty may also be useful.
- . Article 4, Section 140(a): a change may be required in this section if different types of equipment are provided staff within each specialty.

Chapter 3 - Release Procedures

- . Article 6 will need to be changed to incorporate assessment and action plan procedures.

Chapter 5 - Supervision

- . Articles 1 through 4 will have to be completely revised to include the notion that supervision activities will be based on the approved action plan. A section outlining the reassessment

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process also must be included. Reassessment schedules and events triggering reassessment should be identified.

- Transfer and case count procedures also may need modification. The ideas of case management responsibility and designating an agent of record should be included here.

Chapter 6 - Supervision of Addicts

- Article 2, Section 624 (a) and (b): a change may be needed to delete minimum frequency for anti-narcotic testing. Sub-section (b) should indicate that the action plan will specify the level of testing to be maintained.

Chapter 8 - Arrest, Search and Seizure, Parole Holds

- A statement indicating that these functions are primarily the responsibility of controls specialists should be included.

Chapter 10 - Revocation and Placement Hearing Procedures

- Section 1014 (c): specific instructions relative to who must attend the revocation hearing may be needed in this section in order to reduce confusion and ensure that the division is properly represented.
- Section 1025: references to parole agents should be made clear (perhaps by identifying the agent of

record) so that district hearing agents will know whom to contact.

- Section 1031: same as Section 1025.

Chapter 11 - Discharge and Pardon

- References to parole agents in this chapter should be changed to agents of record. This chapter might also include reference to assessment of risks and needs in determining suitability for discharge.

Chapter 12 - Interstate

- A section should be included to identify the effect of the new model on cooperative cases. This section should specify which, if any, cooperative cases are to be placed in one of the supervision emphases and how risks and needs assessments will be performed.

The Narcotic Addict Outpatient Program Manual is currently being revised. Although changes in the manual similar to those specified above for the felon manual probably will be necessary, they cannot yet be specified.

X. STUDIES TO BE UNDERTAKEN

Because of the complexities involved with the adoption of the new parole model and the many as yet unanswered questions relating to it, a series of analytic studies will be undertaken, as resources permit. Some of the issues amenable to analysis that currently appear to be of greatest concern include:

- . Determination of the appropriate numbers and types of persons to be placed in a minimum supervision status;
- . The proper length of parole/outpatient status;
- . The feasibility and structure of a high services program;
- . The relative value of high investigation and intensive supervision activities; and
- . Direct discharge.

If, after appropriate analytical appraisal, a field test of any of these programs appears worthwhile, a demonstration project may be implemented within one or more districts.

APPENDIX A

FIELD STAFF ACTIVITIES

The list presented below divides required field staff activities within the six functions identified in Section II, Basic Principles: managing cases, assessing and reassessing risks and needs, developing and updating action plans, applying or securing controls, providing or securing services, and preparing for status changes. For two reasons, however, a one-to-one correspondence of types of activities and functions is not possible in all cases:

- . Some activities will be performed either by the specialists in services or the specialists in controls, depending upon circumstances. (This category of activities is identified below as "situational controls/services" activities.)
- . Activities not directly related to the supervision of a given adult offender may be performed in furtherance of most, if not all, of the six functions.

The list presented below identifies activities to be performed by field staff under the new model of parole, grouped within nine different types. Given particular organizational options, or the distribution of functions among staff specialties, certain activities could be changed from one type to another (for example, controls and services specialists will probably perform some case managing functions, if only on an intermittent basis).

Case Managing

- Recording contacts and other case activities
- Maintaining required records and preparing reports
- Discussing rights, duties, and conditions of parole with the adult offender
- Serving as a point of contact
- Arranging for and integrating the other parole functions
- Coordinating and scheduling routine case reviews, reassessments, and action plan updates
- Recognizing the need for special case reviews, reassessments, and action plan updates
- Recommending changes in status

Assessing and Reassessing Risks and Needs

- Maintaining liaison with institution staff and pre-releasees
- Obtaining, validating, interpreting, weighing, integrating, and drawing conclusions from background and current information, test results, and opinions

Developing and Updating Action Plans

- Validating assessment and reassessment results
- Specifying a graded set of achievements for the offender
- Formulating an integrated set of activities to be undertaken by the offender
- Formulating a related set of controls, services, and other actions to be provided or secured by parole staff

Preparing for Status Changes

- Notifying adult offenders of actual or potential changes in their classification, legal or policy status, or special conditions
- Providing information and counsel to adult offenders concerning their rights and privileges
- Scheduling, attending, and testifying at hearings and court proceedings
- Notifying and transporting witnesses
- Preparing for and requesting actions on extensions, suspensions, revocations, and discharges
- Transporting offenders

Indirect Case Support

- Maintaining liaison with other criminal justice agencies (including courts, police departments, probation offices, institutions, and work furlough programs)
- Developing community resources

Management Requirements

- Completing personal administrative reports (including expense claims, mileage logs, absence requests, and accident reports)
- Filling out miscellaneous reports and requests
- Performing vehicle maintenance
- Preparing Proposed Issue Papers (PIP's)
- Undertaking officer-of-the-day duties
- Performing acting assignments
- Compiling Quarterly Management Review (QMR) and audit information
- Completing special data requests
- Participating in training
- Attending meetings

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Applying or Securing Controls

Verifying registration
Observing behavior
Obtaining psychological and psychiatric treatment
Conducting and testing physical examinations
Monitoring medication
Closely observing, with and without contact
Investigating prior to intervention
Securing mandatory detoxification
Placing adult offenders in a structured program
Searching for and seizing evidence
Handling evidence
Intervening in crises
Making or participating in arrests
Placing holds

Situational Controls/Services

Making contacts with the adult offender, including group and individual counseling
Achieving contacts with other persons, including:
 Families and friends
 Employment, residence, and other service providers
 Other private and public resources
Undertaking case conferences

Providing or Securing Services

Providing subsistence and material/financial assistance
Developing, providing, and referring adult offenders to the following services:
 Residence/housing
 Vocational training
 Employment
 Health care
 Transportation
 Legal assistance
 Others
Arranging medication
Arranging non-mandatory detoxification
Undertaking or achieving post-discharge contacts

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APPENDIX B

FORMAT FOR THE IMPLEMENTATION PLANS

I. ORGANIZATIONAL ARRANGEMENT

A. Structure of the Basic Operational Unit

(Provide a short description of the unit's structure and the advantages of that structure under the new parole model. Include organizational charts and accompanying text that clearly indicate the chain of command and flow of information.)

B. Basic Operational Unit and Office Boundaries

(Identify geographic areas of responsibility.)

C. Functional Specialties

(Indicate the functions to be performed by each functional specialty selected.)

II. STAFFING

A. Staffing Patterns

(Identify all staff positions and personnel classifications. Provide detailed statements of day-to-day activities for each position, including clear responsibilities and areas of involvement.)

B. Personnel Actions

(Indicate any actions -- such as reclassifications or transfers -- that will be required.)

III. OPERATIONAL PROCESSES

A. Within the Basic Operational Unit

(Identify how the functions -- and the various activities required for each of those functions -- are to be performed. For example, indicate how the initial assessment is to be completed and validated, identify any variations caused if the assessment is not completed until after release.

In addition to this general discussion, provide some illustrative felon and non-felon case flows, including in these cases most of the major case dynamics.)

B. Between the Basic Operational Unit and Other Units

(Identify activities involving other units. For example, indicate how cases are to be transferred in and out of the unit. Identify variations in the transfer processes, as well as in other processes, resulting from differences in the levels of risks and needs presented by each case.)

C. Between the Basic Operational Unit and Outside Agencies

(Identify the types of interactions with institution staff and the pre-releasee. Discuss relations with other private and public criminal justice and social service groups.)

IV. Target Group/Workload

A. Supervision Emphases

(Provide estimates of the initial numbers of felon and non-felon cases in each category of risks and needs and each of the three forms of supervision: controls emphasis, services emphasis, and minimum supervision. Provide a rationale for these estimates. Indicate any expected changes in these figures over time.)

B. Workload Distribution

(Identify procedures for allocating work among staff.)

C. Initial Staff Assignments

(Indicate criteria and procedures for assignment of staff to the selected functional specialties.)

V. PROBLEM MANAGEMENT

(Identify problems that may arise as a result of implementation of the new model and the methods for resolving these problems.)

VI. POLICIES

(List the major policies affecting the operation of the basic operational unit.)

VII. IMPLEMENTATION/SCHEDULE

(Identify scheduled activities for the period of changeover from current operations to the new model. Include, among others, training and the initial categorization of cases.)

VIII. COSTS

(Provide cost estimates for each of the major functions. See pages 95-97 of the "Guidelines" for instructions on preparing the cost tables.)

END