



**Department of Corrections and Rehabilitation**  
**NOTICE OF CHANGE**  
**TO DEPARTMENT OPERATIONS MANUAL**  
**Chapter 8, Article 49,**  
**Pre-Release Re-Entry Case Planning**

**Transmittal Letter Number:**

**16-08**

**Revision Date:**

**August 24, 2016**

The purpose of this document is to provide all staff with information regarding revisions to Department Operations Manual (DOM) Chapter 8, Article 49, Pre-Release Re-Entry Case Planning.

This revision provides a significant update to the existing parole policy in DOM. The revisions provide procedures for assessing the criminogenic needs of an inmate who is due to parole soon and to develop a re-entry plan for the inmate. Updates to Penal Codes 290.4 and 3020 have mandated the use of specific tools to assess inmates. This DOM revision also eliminates language which was outdated or no longer applicable and brings the Department's operational policy into compliance with current federal regulations.

Please inform all persons concerned of the contents of this Notice, which shall remain in effect until incorporated into the next edition of the DOM. Inquiries regarding the subject matter of these regulations may be directed to Roger Gold, Parole Agent III(a), at (916) 324-3253.

*Original signed by*

**GUILLERMO VIERA ROSA**  
Director  
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Attachment

## **Chapter 8, Article 49 Pre-Release Re-Entry Case Planning**

*Revised August 24, 2016*

### **86040.1 Policy**

The Department strives to reduce recidivism and the risk to the community after an offender is released from prison. Conducting evaluations using evidence-based assessment tools helps the Department to conclude what an offender needs to successfully reintegrate into society.

### **86040.2 Purpose**

The purpose of Re-Entry Case Planning is to identify the criminogenic needs/problems of inmates and provide goals, activities, and resources to address those needs after release. This article establishes the guidelines, necessary tools, and staff responsibilities to evaluate and assess inmates prior to release.

### **86040.3 Definitions**

**Adult Parole Offender Management Systems (APOMS)** - A database tool that triggers notifications to Community Transition Program staff of inmates nearing their earliest possible release dates, and identifies and tracks the completion of required pre-release planning tasks, assessments, and documents.

**California Static Risk Assessment (CSRA)** - A validated risk assessment tool that utilizes a set of risk factors which are most predictive of recidivism. The tool produces a risk number score (of one through five) that predicts the likelihood that an offender will incur a felony arrest within a three-year period after release to parole. The CSRA score is based on an offender's age, gender, history of criminal convictions, and history of parole and probation violations,

**Community Transition Program (CTP)** – The unit within DAPO that obtains and utilizes information about offenders in order to develop and implement effective and specific re-entry plans that maximize a parolee's opportunity to successfully reintegrate into the community.

**Correctional Offender Management Profiling for Alternative Sanctions (COMPAS)** – An automated needs assessment tool software program utilized by CDCR to document, store, analyze, and share risk and needs assessments, re-entry case plans, and other functions. COMPAS questions and assessments are created from nationwide surveys and evidence-based practices and follow adult offenders from their intake at the reception centers through the completion of their parole supervision requirements.

**Criminogenic Need** - An attribute of the inmate that is directly linked to criminal behavior.

**Female Sex Offender Risk Assessment (FSORA)** - A risk assessment of a female sex offender inmate's past to assess the likelihood that the inmate will commit another sex crime.

**Static-99R** - A risk assessment of a male sex offender inmate's past to assess the likelihood that the inmate will commit another sex crime.

### **86040.4 Assessment**

The pre-release process starts with an assessment of the parolee's criminogenic needs and probable risks to the community, which are used to assist the parolee with successful reintegration into the community and reduce the risk of recidivism.

APOMS notifies CTP staff of an inmate's upcoming release 210 days prior to their Earliest Possible Release Date, or 270 days if the inmate is a sex offender.

Upon notification from APOMS, CTP staff utilize the COMPAS system to document and archive the Re-Entry Assessment, Re-Entry Summary, Re-Entry Case Plan, Static-99R, FSORA, and manual CSRA.

Case Records staff at each institution shall notify CTP staff of any change to an inmate's status that will result in an unanticipated release on short notice, of any inmate whose release supervision status changes from Post-Release Community Supervision to DAPO.

CTP staff at each institution will review inmates' records in the Strategic Offender Management System (SOMS) and the Electronic Records Management System (ERMS) to determine eligibility for assessment. Assessments are not conducted on inmates who are Mexican Nationals and have an Immigration and Customs Enforcement detainer in place.

#### **86040.4.1 Re-Entry Summary**

A summary of the offender's case factors, to determine pertinent information regarding case planning and supervision strategies. The Re-Entry Summary shall utilize necessary data from existing records generated by or provided to the CDCR (probation officer's reports, police reports, parole violation reports, various mental health assessments, etc.). These records are accessed through ERMS and/or SOMS. The Re-Entry Summary will be entered into the COMPAS system by CTP staff.

#### **86040.4.2 Re-Entry Assessment**

The Re-Entry Assessment is completed during a face-to-face interview with the inmate to determine criminogenic needs. The interview is generally conducted by CTP staff, however a designated staff member who has been specifically trained by CTP may also serve as the interviewer.

Prior to conducting an interview with an inmate or parolee, CTP staff shall review the inmate's or parolee's information in the Disability and Effective Communication System (DECS). CTP staff shall provide reasonable accommodations to ensure effective communication.

#### **86040.5 Criminogenic Needs**

The Re-Entry Assessment identifies the specific needs of each inmate. The COMPAS system will quantify the criminogenic needs of the COMPAS Re-Entry Assessment in bar chart form and each need is scored on a one-to-ten scale. For male inmates, the needs will be separated by category and identified as unlikely, probable, or highly probable. For female inmates, the needs will be separated by category and identified as low, medium, and high. High or highly probable scores are the criminogenic needs that are most likely to result in a parolee committing a new crime if not addressed.

### **86040.5.1 Criminogenic Needs for Males:**

- Anti-Social Personality or Temperament: an overall lack of adherence to the social mores and standards that allow members of a society to peaceably coexist.
- Anti-Social Cognitions: attitudes, values, beliefs, and rationalizations supportive of crime, with mental processes including emotional stages of anger, resentment, and defiance.
- Substance Abuse: the abuse of drugs and/or alcohol. Highly probable inmates have a lengthier and more severe history of substance abuse.
- Re-Entry Financial: the degree to which an inmate experienced poverty and financial problems.
- Employment and/or School: the degree of success or failure in the areas of work and education. Inmates with a highly probable score will need more support and assistance in finding work and education.
- Re-Entry Residential Instability: the degree to which an inmate has long-term ties to the community.

### **86040.5.2 Criminogenic Needs for Females:**

- Anti-Social Personality or Temperament: an overall lack of adherence to the social mores and standards that allow members of a society to peaceably coexist.
- Anti-Social Cognitions: attitudes, values, beliefs, and rationalizations supportive of crime, with mental processes including emotional stages of anger, resentment, and defiance.
- Substance Abuse: the abuse of drugs and/or alcohol. High score inmates have a lengthier and more severe history of substance abuse.
- Re-Entry Financial: the degree to which an inmate experienced poverty and financial problems.
- Employment and/or School: the degree of success or failure in the areas of work and education. Inmates with a high score will need more support and assistance in finding work and education.
- Re-Entry Residential Instability: the degree to which an inmate has long-term ties to the community.
- History of Mental Illness: whether an inmate has ever attempted suicide, been involved in prior counseling/therapy, taken medication, seen things or heard voices, been hospitalized, or been diagnosed with a mental illness.
- Experience of Abuse as a Child: the need to address physical and sexual abuse as a child and how the trauma of it affects an inmate's current state. Inmates with a high score indicate that the inmate experienced severe abuse.
- Experience of Abuse as an Adult: the need to address physical and sexual abuse suffered as an adult. Inmates with a high score indicate that the inmate experienced severe abuse as an adult.
- Mental Health-Current Symptoms of Depression or Anxiety: the level of depression or anxiety felt by the inmate at the time the assessment is conducted. A high score indicates that the inmate has a history of depression or anxiety.
- Mental Health-Current Symptoms of Psychosis: the frequency, if any, that the inmate is hearing voices or seeing images (hallucinating) while incarcerated.

- **Employment/Financial:** the degree of success or failure in the areas of work and education. Inmates with a high score will need more support and assistance in finding work and education.
- **Relationship Dysfunction:** the degree to which the inmate experienced relationship difficulties resulting in a loss of personal power. This also measures whether an inmate had a greater tendency to commit crimes while in a relationship.
- **Parental Stress:** the degree to which the inmate feels overwhelmed by parental responsibilities and the extent of support offered by family. A high score indicates that the woman has poor support from the child's father and feels overwhelmed.
- **Housing Safety:** the level of violence and safety experienced within her residence prior to incarceration. A high score indicates that the inmate has a history of living in unsafe environments.

### **86040.5.3 Strength Scales for Female Inmates**

Strength scales are scored low, medium, and high for female inmates. These strengths, when present, contribute to a lower risk of recidivism.

- **Self-Efficacy:** the degree to which the inmate feels they are capable of achieving their goals and handling problems.
- **Parental Involvement:** the degree to which the inmate maintains contact with her children, and how involved she will be in her child's life upon release.

### **86040.6 Re-Entry Case Plan**

The Re-Entry Case Plan is an interactive plan developed with the offender to address the criminogenic needs identified in the Re-Entry Assessment. The Re-Entry Case Plan will suggest programs and services based on goals, tasks, and geographical considerations in the inmate's County of Last Legal Residence to help address a specific criminogenic need. CTP staff shall select the appropriate programs and services for each goal and task identified in the Re-Entry Case Plan. The resources generated are based on the interview, case factors, and those specifically requested by the offender and then reviewed by the offender with CTP staff. A copy of the Re-Entry Case Plane shall be provided to the offender prior to exiting the instution.

#### **86040.6.1 Re-Entry Case Plan Procedures**

1. Field unit support staff will print the following documents from the COMPAS database and place them in the field file:
  - COMPAS Re-Entry Bar Chart
  - COMPAS Re-Entry Case Notes
  - COMPAS Re-Entry Summary
  - COMPAS Re-Entry Case Plan (two copies)
2. If the COMPAS system does not have a Re-Entry Case Plan and the inmate is due to parole within 60 days, the parole agent shall contact the CTP unit to request completion of the Re-Entry Case Plan. (Moved up from line 5.)
3. The parole agent shall review the COMPAS documents in the field file.
4. After release, the parole agent shall review the Re-Entry Case Plan with the parolee and instruct the parolee to sign one copy of the Re-Entry Case Plan. The parole agent will sign

the same copy. If the parolee refuses to sign, the parole agent will note that on the Re-Entry Case Plan.

5. The parole agent shall give one copy of the Re-Entry Case Plan to the parolee and file the signed copy in the field file.
6. The parole agent shall ensure the field file contains all of the documents listed above.

#### **86040.7 Static-99R and Female Sex Offender Risk Assessment**

The Static-99R is a numerical scale that identifies the likelihood of a male sex offender to commit another sex crime. A male inmate who scores four (4) or higher is defined as a High Risk Sex Offender (HRSO).

The FSORA is an evaluation of the factors of a female sex offender's criminal history and behavior. A female inmate who is rated as "Moderate Risk" or "High Risk" is defined as a HRSO.

CTP staff, under the direction of the CTP Parole Administrator, are the sole entity within the CDCR responsible for completion of the Static-99R and the FSORA. Prior to conducting these assessments, CTP staff must complete training conducted by experts in the field of risk assessment and the use of actuarial instruments in predicting sex offender risk. This training shall occur at least every two years.

The Static-99R and FSORA risk scores determined by CTP staff shall be used by CDCR for supervision purposes, identifying HRSOs, and for reporting to the California Department of Justice.

CTP staff will complete the Static-99R or the FSORA, and input the assessments into the COMPAS system. The parole agent shall review these assessments and provide them to the Sex Offender Treatment program when the parolee is referred for treatment.

#### **86040.8 Risk Assessments and Re-Entry Case Plans After Release**

There are several reasons a parolee would not have a Case Plan post-release:

- A hold/warrant was placed on the inmate and was cancelled just prior to release.
- The inmate's release date was adjusted at the last minute as a result of a court ordered resentencing.
- A parolee that has returned to an institution for a new prison term receives a new Case Plan. Upon discovery of a parolee who does not have a completed Re-Entry Case Plan, Re-Entry Assessment, Re-Entry Summary, CSRA, Static-99R or FSORA if applicable, the following lines of responsibility shall occur:
- Within 45 days of release, the Agent of Record (AOR) shall contact the CTP Call Center via electronic mail at [CTPCallCenter@cdcr.ca.gov](mailto:CTPCallCenter@cdcr.ca.gov). Include the parolee's name, CDC number, current location, and the AOR's contact information. The AOR shall submit one electronic mail per offender.
- If the parolee has returned to custody (county jail, prison, detained in another state, Department of State Hospitals, etc.) and needs only the Re-Entry Assessment, the AOR shall contact the CTP Call Center via electronic mail at [ParoleCOMPASReEntry@cdcr.ca.gov](mailto:ParoleCOMPASReEntry@cdcr.ca.gov). Include the parolee's name, CDC number, current location, and AOR's contact information. The AOR shall submit one electronic mail per offender.
- The interview shall normally be conducted at the parole unit with the AOR present. In the event a parolee resides in a remote geographical area or is physically unable to come into the

parole unit for a phone interview, the AOR may make arrangements with CTP staff to complete the interview and Re-Entry Case Plan via a different telephone.

- CTP staff will conduct the interview and complete the questionnaire.
- CTP staff shall create a Re-Entry Case Plan in the COMPAS system.
- The AOR shall complete the Re-Entry Case Plan with the parolee present. The AOR shall address all highly probable and probable criminogenic needs with a minimum of one goal, one task, and one service provider for each need.
- The AOR shall issue the parolee a copy of the Re-Entry Case Plan and have the parolee sign a copy as described in this article.

**86040.9 Revisions**

The DAPO Director, or designee, shall ensure that this section is current and accurate.

**86040.10 References**

PC 290.04, PC 3020, PC 3015(b)(1), PC 3008, PC 9003.