



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
PRISON/REENTRY/FIELD
FACILITY/SPANISH MANUAL

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POLICY

TITLE
RISK AND NEEDS ASSESSMENT PROCESS

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SUMMARY OF REVISION/REVIEW:


Major changes. Read carefully!

APPROVED:

Signature on file

CHERYL STRANGE, Secretary
 Department of Corrections

11/12/21
 Date Signed

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REFERENCES:


DOC 100.100 is hereby incorporated into this policy; [RCW 9.94A](#); [RCW 72.09.270](#); [RCW 72.09.585](#); DOC 300.380 Classification and Custody Facility Plan Review; DOC 310.100 Intake; DOC 320.010 Pre-Sentence Investigations and Risk Assessment Reports Ordered by the Court; DOC 320.180 Separation and Facility Prohibition Management; DOC 320.500 Youthful Offender Program; DOC 330.605 Boarder Agreements; DOC 350.200 Transition and Release; DOC 380.300 Supervision of Individuals on Conditional Release, Insanity Acquittal, and Supervised Appeal; DOC 380.370 Sexually Violent Predator/Less Restrictive Alternative; DOC 450.500 Language Services for Limited English Proficient Individuals; DOC 570.000 Sex Offender Treatment and Assessment Programs; [Washington ONE Interview Worksheet](#)

POLICY:


- I. The Department has established procedures for a norming period to adjust from using static risk and needs assessment tools to a dynamic Risk Need Responsivity (RNR) tool, which will be used to help identify and prioritize treatment, supervision strategies, targets for intervention, resources, and other needs of individuals under its jurisdiction to reduce recidivism and enhance public safety.
 - A. The norming period will be in effect until the RNR system can be fully incorporated and is intended to analyze and inform future determination of operations to reduce recidivism through case management.
- II. The RNR tool is a risk and needs assessment tool approved by the Washington State Institute for Public Policy. The RNR tool and other evidence-based tools will be used to determine and manage case plan goals and objectives, set expectations, and measure change over time.
- III. Custody classification levels will be assessed and determined per DOC 300.380 Classification and Custody Facility Plan Review.

DIRECTIVE:


- I. General Requirements
 - A. Each individual under the Department's jurisdiction will be assessed except those identified in:
 1. DOC 330.605 Boarder Agreements
 2. DOC 380.300 Supervision of Individuals on Conditional Release, Insanity Acquittal, and Supervised Appeal
 3. DOC 380.370 Sexually Violent Predator/Less Restrictive Alternative

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- B. During the norming period, the first risk and needs assessment conducted after the most recent Criminal Conviction Record(s) (CCR) has been completed will set the individual's Risk Level Classification (RLC) as one of the following:
1. High Violent Property and Drug (HVPD)
 2. High Violent Felony Risk (HV)
 3. High Property Felony Risk (HP)
 4. High Drug Felony Risk (HD)
 5. Moderate Felony Risk (MOD)
 6. Lower Felony Risk (LOW)
- C. The RLC will show in the individual's electronic file as the "Contact RLC". The Contact RLC is located on the Case Plan face sheet and is the official RLC for the individual.
1. The Contact RLC will be marked as "unclassified" or have an asterisk next to it if:
 - a. An assessment is conducted before the CCR is completed for individuals who have never been under Department jurisdiction or return from a break in being under Department jurisdiction,
 - b. It is a pending Out-of-State case that has not been accepted yet, or
 - c. The individual has not had a risk and needs assessment using the RNR tool.
 2. The case manager will inform the individual of the current Contact RLC and any time it changes.
- D. Additional assessments and screening will be conducted for individuals with a current/prior conviction with a sexual element per DOC 570.000 Sex Offender Treatment and Assessment Programs.
- E. Case management employees must successfully complete Case Management Academy training before conducting assessments using the RNR tool.
- II. Assessment Process
- A. The Criminal Conviction Records Unit will:
1. Complete a CCR within 5 business days of receiving sentencing documents or as a result of checking the daily manifest for new admissions.

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2. Use information to complete the static portion of the risk and needs assessment tool in the individual's electronic file obtained through:
 - a. Judgment and Sentence
 - b. National Crime Information Center (NCIC)
 - c. Federal Bureau of Investigation (FBI)
 - d. Washington Crime Information Center
 - e. Superior Court Management and Information System (SCOMIS)
 - f. District and Municipal Court Information System (DISCIS)
 - g. Juvenile Court Convictions
 - h. County Prosecuting Attorney's Statement
 - i. Electronic and hard copy records
 3. Determine if the Department will retain jurisdiction based on risk.
 4. Determine the appropriate Warrant Service Area in the event the individual fails to report for supervision.
 5. Scan documentation into the individual's electronic imaging file.
 6. Enter a Chronological Event (chrono) in the electronic file using a "Risk Assessment Issues" chrono type documenting the CCR is complete.
- B. Upon arrival at a Reception Diagnostic Center, if the individual has an Earned Release Date of 90 days or less, the individual will be processed as follows:
1. Individuals with supervision ordered will be provided reporting instructions and will have their release plan approved per DOC 350.200 Transition and Release before release.
 2. The RNR assessment will be completed per DOC 310.100 Intake unless it is a Monetary Only release per DOC 350.200 Transition and Release.
- C. If the Department will have jurisdiction for more than 90 days, case managers will conduct an assessment interview within 30 days of:
1. The CCR being completed,
 2. The individual reporting for the first time to a Field Office, or
 3. The individual becoming available for a face-to-face interview while in total confinement.
- D. The case manager will:
1. Before conducting an assessment interview:

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- a. Review the CCR for accuracy.
 - 1) The case manager will send an email to the [Criminal Conviction Records Unit](#) of any new sentencing information, possible incorrect data, and/or missing convictions to update the CCR upon verifying the information.
 - 2) If the CCR is not available, the case manager will email the Criminal Conviction Records Unit a request to complete the CCR.
- b. Obtain and review probable cause statement(s) and/or police report(s) and any other relevant documents/information for all current causes, and ensure they are added to the individual's electronic file.
 - 1) The case manager will attempt to obtain historical documents and/or other official descriptions when needed for a thorough assessment.
2. Complete a face-to-face conversation with the individual using the Washington ONE Interview Worksheet and document the completion in the Contacts section of the individual's electronic file.
 - a. For individuals who reside out of state, with written approval from the Community Corrections Administrator/designee, the assessment interview may be conducted by video conferencing or by phone, if video conferencing is unavailable.
 - b. Any other exception to a face-to-face interview requires written approval from the Appointing Authority.
 - c. A certified interpreter must be used for individuals when a language barrier exists per DOC 450.500 Language Services for Limited English Proficient Individuals.
3. Enter the assessment in the individual's electronic file based on information obtained in the interview and official documentation consistent with training and the Washington ONE Assessment & Interview Help Guide located on the Department's internal website.
4. Make a "Case Management Team" contact type entry in the individual's electronic file stating the results of the initial RNR assessment.

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5. Notify the individual of the assessment results, print out the case plan and have the individual sign it, provide a copy to the individual, and scan the original into the electronic imaging file.

a. At Reception Diagnostic Centers, written notification of the results will be used in lieu of the case plan to notify, have signed, and scanned into the electronic imaging file.

E. Assessments completed for a Pre-sentence Investigation or Risk Assessment Report for the current conviction will be documented in the individual's electronic file and per DOC 320.010 Pre-Sentence Investigations and Risk Assessment Reports Ordered by the Court.

III. Reassessments

A. Reassessments are conducted to measure change over time, reflect dynamic risk and needs, and assist in keeping the case plan current and relevant.

1. All narratives and assessment items must be validated/updated during the reassessment process.

B. Before conducting a reassessment, the case manager will review the assessment driving the Contact RLC.

1. If inconsistencies are identified, the case manager may request a review of the assessment by providing details in writing to the Correctional Unit Supervisor (CUS)/Reentry Center Community Corrections Supervisor/designee.

2. If the CUS/Community Corrections Supervisor (CCS)/designee agrees, they will forward the findings to the [Case Management Services Unit](#) and request a review.


C. The case manager will complete a reassessment within 30 days before an Assessment Due Date, in the same manner as the initial RNR assessment, and:

1. Within 30 days before a transfer to partial confinement.

2. Between 60 and 90 days before release to the community from a Reentry Center.

3. Within 30 days of any CCR update.

4. When required as part of a quality review process.

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- D. The case manager may complete a reassessment:
 - 1. Upon a guilty finding for a violation that demonstrates a pattern of behavior that interrupts/obstructs the individual's case plan, and
 - 2. Whenever the case manager determines it is beneficial to case management efforts.
- E. During the norming period, reassessments will only impact the Contact RLC when it follows an update to the CCR.

IV. Assessment Reviews

- A. Assessment reviews will be conducted by the Case Management Services Unit, including when:
 - 1. Part of an audit process.
 - 2. Requested by a CUS/CCS/designee.
 - 3. Requested by the Criminal Conviction Records Unit when the Contact RLC is required to determine supervision eligibility (i.e., Pre-Closure).
- B. Case Management Services will work with the current assigned case manager and their supervisor/designee, when necessary to complete a review and/or subsequent reassessment.

V. Appeals

- A. Individuals may appeal assessment results in writing to the Superintendent, Reentry Center Administrator, Field Administrator, or their designees within 7 days of receiving the results of an RNR assessment.
 - 1. The decision made by the Superintendent, Reentry Center Administrator, Field Administrator, or their designees is final.

DEFINITIONS:

The following words/terms are important to this policy and are defined in the glossary section of the Policy Manual: Partial Confinement. Other words/terms appearing in this policy may also be defined in the glossary section.

ATTACHMENTS:

None

DOC FORMS:



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DOC 14-029 Mental Health/Criminal Justice System Multi-Party Authorization for Release of Information