



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
PRISON/WORK RELEASE/FIELD
OFFENDER MANUAL

REVISION DATE
12/15/17

PAGE NUMBER
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NUMBER
DOC 320.400

POLICY

TITLE
RISK AND NEEDS ASSESSMENT PROCESS

REVIEW/REVISION HISTORY:

- Effective: 9/1/93
- Revised: 8/1/99
- Revised: 6/26/02
- Revised: 4/15/03
- Revised: 9/19/05
- Revised: 12/10/06
- Revised: 4/30/07
- Revised: 11/28/07 AB 07-034
- Revised: 8/4/08
- Revised: 9/4/09
- Revised: 12/15/17

SUMMARY OF REVISION/REVIEW:

Major changes to include the incorporation of a 2-year norming period for the new risk and needs assessment tool and case management processes. Read carefully!


APPROVED:

Signature on file

STEPHEN SINCLAIR, Secretary
Department of Corrections

12/14/17

Date Signed

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REFERENCES:


DOC 100.100 is hereby incorporated into this policy; [RCW 9.94A](#); [RCW 72.09.585](#); [DOC 300.380 Classification and Custody Facility Plan Review](#); [DOC 320.010 Pre-Sentence Investigations and Risk Assessment Reports Ordered by the Court](#); [DOC 320.500 Youthful Offender Program](#); [380.300 Supervision of Offenders on Conditional Release, Insanity Acquittal, and Supervised Appeal](#); [380.370 Sexually Violent Predator/Less Restrictive Alternative](#); [DOC 570.000 Sex Offender Treatment and Assessment Programs](#)

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 effective for at least 2 years and is intended to:
 1. Replicate current operations as closely as possible in order to allow the Department to evaluate and plan for potential impacts of transitioning while minimizing changes to operations.
 2. 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 DOC 380.370 Sexually Violent Predator/Less Restrictive Alternative and DOC 380.300 Supervision of Offenders on Conditional Release, Insanity Acquittal, and Supervised Appeal.

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B. During the norming period, the first risk and needs assessment conducted after the most recent Criminal Conviction Records (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 (M)
6. Lower Felony Risk (L)

C. The RLC will show in the electronic file as the "Contact RLC". The Contact RLC will always reflect and be used as the official RLC during the norming period.

1. The Contact RLC will have an asterisk next to it if the individual has not had a risk and needs assessment using the new RNR tool.

D. Additional assessments and screening will be conducted for individuals with a current sex offense conviction to include enhancements or incarcerated on a registerable sex offense per DOC 570.000 Sex Offender Treatment and Assessment Programs.

E. Additional assessments will be conducted for youthful offenders committed as adults per DOC 320.500 Youthful Offender Program.

F. The Office of the Deputy Secretary will develop risk and needs assessment training and testing that case management employees must successfully complete before conducting assessments using the RNR tool.

II. Assessment Process

A. The CCR Unit will:

1. Complete a criminal conviction record within 5 business days of receiving sentencing documents or as a result of checking the daily manifest for new admissions,
2. Use information to complete the static portion of the risk and needs assessment tool in the individual's electronic file obtained through:
 - a. Judgement and Sentence
 - b. National Crime Information Center (NCIC)
 - c. Federal Bureau of Investigation (FBI)
 - d. Washington Crime Information Center



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- 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, and
 6. Enter a chronological event (chrono) in the electronic file using a "Risk Assessment Issues" chrono type documenting the CCR is complete.
- B. If the Department will have jurisdiction for more than 90 days, case managers will conduct an assessment interview with the individual using the [Interview Worksheet](#) within 30 days of the CCR being completed or the individual reporting for the first time to a Field Office.
- C. The case manager will:
1. Review the initial assessment and update it as needed when an individual arrives at a parent facility or prior to intake.
 2. Review the CCR for accuracy.
 - a. If the CCR is not available, the case manager will email [DOC CCR Unit](#) a request to complete the CCR.
 3. Complete the dynamic portion of the assessment tool in the individual's electronic file using:
 - a. Results from the interview,
 - b. Self-reported information from the individual, and
 - c. Other relative documentation.
 4. Make a "Case Management Team" contact type entry in the individual's electronic file stating the results of the initial RNR assessment.
 5. Notify the individual of the assessment results, print out the case plan and have the individual sign it, and scan it into the electronic imaging file.

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a. A copy of the case plan will be printed out and provided to the individual.

6. Review CCRs for accuracy annually or on the anniversary of an individual's Earned Release Date (ERD).

D. 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.

1. The RLC will be entered as "unknown" until the CCR can be completed.

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.

B. The case manager will complete a reassessment:

1. Every 6 months for incarcerated individuals
2. Within 30 days prior to a Work Release
3. Between 60 and 90 days before release to the community from a Work Release
4. Whenever the CCR is updated


C. In addition to system/time-driven assessments, 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.

D. During the norming period:

1. The only reassessment that will reset the Contact RLC, used to set minimum contact standards, is when a CCR is updated.
2. Minimum contact standards will not change unless:

a. There is a change to a Sex Offender Risk Category, registration requirement, mental health status, or Offender Reentry Community

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Safety (ORCS)/Drug Offender Sentencing Alternative (DOSA) status.

- b. A manual system change is made by the case manager due to a change in homeless status, mental health conditions, or inpatient/outpatient status.
- c. A contact override is requested and approved.

IV. Court-Ordered Services

- A. When conducting an assessment, the case manager will:
 - 1. Ask the offender if s/he is currently subject to court-ordered services for mental health or substance use disorder.
 - a. The case manager may issue an infraction/violation if the offender refuses to disclose court-ordered services.
 - 2. Have the offender sign DOC 14-029 Mental Health/Criminal Justice System Multi-Party Authorization for Release of Information.
 - 3. Request records for court-ordered mental health services or substance use disorder from the service providers with or without the offender's signed release.

V. Updates

- A. The case manager will notify the CCR Unit of any new sentencing information, possible incorrect data, and/or data not previously captured by emailing [DOC CCR Unit](#). The CCR Unit will update the CCR upon verifying the information.

VI. Appeals

- A. Individuals may appeal assessment results in writing to the Superintendent/Work Release Administrator/Field Administrator or their designees within 48 hours of receiving the results of an RNR assessment.
 - 1. The decision made by the Superintendent/Work Release Administrator/Field Administrator or their designees is final.

DEFINITIONS:

Words/terms appearing in this policy may be defined in the glossary section of the Policy Manual.



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ATTACHMENTS:

None

DOC FORMS:

[DOC 14-029 Mental Health/Criminal Justice System Multi-Party Authorization for Release of Information](#)