

DEPARTMENT OF REHABILITATION  
AND CORRECTION

SUBJECT: <b>Prison Reentry Assessment and Planning</b>	PAGE <u>  1  </u> OF <u>  12  </u>
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	APPROVED:  

**I. AUTHORITY**

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

**II. PURPOSE**

The purpose of this policy is to set forth rules governing inmate risk and needs assessments through the Ohio Risk Assessment System and reentry planning for inmates who are incarcerated with a Reentry Accountability Plan.

**III. APPLICABILITY**

This policy applies to all employees involved in the reentry risk and need assessment process, program recommendation process, and the development and monitoring of the reentry accountability plan (RAP) or case plan as inmates move from reception to their parent institution, and ultimately to the community.

**IV. DEFINITIONS**

**Case Plan** - An individualized plan for inmates under the DRC custody/supervision designed to identify and target the inmate's identified dynamic risk factors areas based upon the completion of the ORAS instruments and through appropriate placement in programming. The identified dynamic risk factors are prioritized and categorized by domain and program recommendation.

**Essential Habilitation Service Needs** - Basic set of services that all inmates must have access to in order to facilitate community reintegration following any period of incarceration.

**Meaningful Activities** - Pro-social activities conducted in an organized environment with some staff oversight and/or instruction. Pro-social activities are designed to represent productive activities completed by well-functioning citizens on a daily basis. Meaningful activities can include curriculum based, non-reentry approved program but they may also include skill-building, wellness, educational, or culturally based courses/programs/events. Meaningful activities include, but are not limited to:

- Inmate led groups may qualify as meaningful activities as long as there is staff oversight, attendance requirements, and established rules/guidelines/curriculum.

- Self-guided educational/skill-building activities may also be included as long as there is staff oversight, requirements for completion, and some measure of accountability.
- Recreational programs, such as wellness courses or scheduled and guided exercise classes, may also be considered meaningful activities as long as there are staff oversight and attendance requirements for completion.
- Community service
- Religious services, choirs, and bible studies
- Cultural events where there are educational components and/or moderated discussions of the information covered (i.e., A Black History Month movie night followed by a discussion of the movie and the pertinent cultural issues raised therein)

**Ohio Risk Assessment System (ORAS)** - A collection of risk and needs assessment tools, scoring guide, self-report surveys, interview guides, and case management planning to be a user's guide to accurately determining the risk of Ohio inmates.

**Ohio Youth Assessment System (OYAS)** - A collection of risk and needs assessment tools, scoring guide, self-report surveys, interview guides, and case management planning to be a user's guide to accurately determining the risk of Ohio inmates under the age of eighteen (18).

**Prison Intake Tool (PIT)** - A standardized assessment tool used to determine inmate risk and needs at the time they enter prison.

**Prison Screening Tool (PST)** - A pre-screening reception tool designed to identify low risk inmates who do not need a PIT.

**Pro-social Activities** - Activities conducted in an organized environment with some staff oversight and/or instruction. Activities can include curriculum based non-reentry approved programs. They may also include skill-building, wellness, educational or culturally based courses/programs/events.

**Reentry Supplemental Program** - Programs that do not meet the reentry approved criteria in the area of addressing criminogenic need, but show promise and meets an essential habilitation need that has proven nexus to recidivism.

**Reentry Tool (RT)** - A standardized assessment tool designed to be used with inmates releasing from prison who have served more than four (4) years.

**Significant Change** - Behavior that affects two or more domains in ORAS/OYAS.

**Supplemental Reentry Tool (SRT)** - A standardized assessment tool designed to be used with inmates releasing from prison who have served four (4) years or less, but six (6) months or more.

## V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) to provide a holistic and systematic approach to prepare an inmate for a successful reentry into the community. This begins at the inmate's admission into the DRC and continues until his/her final release from supervision. Reentry planning shall address an inmate's criminogenic, programming and essential habilitation needs, linkages to the community, and appropriate community supervision activities subsequent to release.

## **VI. PROCEDURES**

### **A. Institutional Management of the Inmate Reentry Risk and Needs Assessment Process**

1. The managing officer/designee is responsible for ensuring compliance with the responsibilities and requirements contained in this policy.
2. The development and monitoring of reentry tasks and programs require joint effort of unit management, education, mental health, recovery services, chaplains, security staff, and any other staff deemed necessary.

### **B. Reentry Planning**

1. Upon the availability of the ORAS system to institution staff, inmates committed after April 1, 2011 shall receive reentry-related assessment and services through the use of the ORAS. Inmates assessed prior to the availability of the ORAS system shall continue to receive reentry-related services as identified through RAP. The following inmates shall be excluded from Reentry Planning:
  - a. Death Row Inmates;
  - b. If a RAP has been developed for post release control inmates serving a prison sanction term, then the prison shall update the RAP relative to program participation when appropriate;
  - c. Jail population inmates.
2. However, for documentation purposes, either the designated RAP screens or ORAS notes shall be used to track any participation in programming, reentry supplemental programs, or meaningful activities.

### **C. Components and Management of the Ohio Risk Assessment System**

1. Prison Intake Tool and Prison Screening Tool

For all inmates entering the Department's reception center, the classification specialists shall follow the schedule set forth below:

- a. For all offenders received at the reception centers on or after 8/1/2014, the reception center classification specialist staff shall complete a PST and an Authorization to Disclose Info to ORAS (DRC1273). The signed Authorization to Disclose Info to ORAS (DRC1273) shall be uploaded into the Gateway ISR tab. The PIT assessment, including notes in each domain indicating the reason of the risk factor in each, shall be completed on all inmates that score a moderate/high risk on the PST. The PST and PIT, if needed as determined by this policy, shall be completed within thirty (30) calendar days of an inmate's arrival to the reception center or prior to their transfer to a parent institution. PITs should not be completed on inmates who score low on the PST unless there are documented reasons for the completion of a PIT. The reasons shall be documented in ORAS notes. Unless an offender is a risk reduction offender,

a PIT shall not be completed on offenders who arrive at the reception center and have an EST within sixty (60) days of their arrival.

If a PST/PIT has not been completed and an offender is transferred from reception to a parent institution, the parent institution staff shall complete the PST and if moderate/high, the PIT within thirty (30) days of arrival to the parent institution. If a PIT has not been completed on an offender who scored moderate/high on the PST and the offender has been transferred to a parent institution, the parent institution staff has thirty (30) days from the date that offender transferred to complete the PIT assessment.

For all offenders received at reception prior to August 1, 2014, the parent institution unit management staff shall complete a PIT on inmates who are a moderate/high risk on the PST and have one (1) year or more of prison time remaining to be served. The PIT and case plan shall be completed on these offenders within ninety (90) days of arrival to the parent institution.

Upon arriving at their parent institution, inmates who have scored as moderate or high on the PIT shall be directed to participate in habilitative programming if time permits. All inmates shall have at a minimum an Inmate Transitional Release Plan completed per DRC policy 78-REL-01, Transitional Release Planning.

- b. Inmates identified as a risk reduction inmate, regardless of risk score or time to serve, shall be informed and have a note made in the PST ORAS notes section by the classification specialist at the reception center that they “must engage in pro-social activities and behaviors” to be eligible for their earliest release date. In addition to the PST notes, reception staff shall do the following:
  - i. Security level 1 and 2 risk reduction inmates identified in the PST as low risk, shall be transferred to a prison with a reintegration center.
  - ii. Prisons with a reintegration unit are encouraged to consider risk reduction inmates for placement in the unit as soon as reasonably possible.
  - iii. Risk reduction inmates who score moderate/high on the PST shall have a PIT completed at the reception center within thirty (30) calendar days of arriving at the reception center or prior to transfer to a parent institution. The parent institution shall prioritize their initial interview and development of the case plan with the offender and prioritize program enrollment whenever possible.
- c. Inmates identified as sex offenders that moved into the Sex Offender Risk Reduction Center (SORRC) unit from reception and score moderate to high on their PST shall have a PIT completed by classification specialist staff within thirty (30) calendar days of arrival to the reception center or prior to their transfer to a parent institution. For the purposes of the ORAS assessment, SORRC shall be considered a parent institution.
- d. For any PRC offender who has been returned to prison on a sanction, a new PST/PIT assessment does not need to be completed. The case plan and program notes shall be updated prior to the end of the offender’s sanction with the activities/programs/interventions for which that offender completed/participated.

- e. Offenders scoring low on the PST shall have a PIT assessment completed by the assigned unit staff at any point during their incarceration if the offender's behavior warrants or if there is new information available. Behavior examples may include new convictions while incarcerated, violent and/or drug/alcohol related RIB tickets, or any behavior impacting two (2) or more domains. Offenders who have scored low, moderate or high on a PIT and have the aforementioned behavior should have a new PIT completed by the assigned unit staff.
- f. If an offender arrives at reception and is a same day release/transfer, a PST/PIT assessment shall not be required to be completed by the reception classification specialists. If the offender is transferred to a parent institution under this situation, the parent institution staff shall complete the PST and if moderate/high, then the PIT assessment within thirty (30) calendar days of the offender's arrival to the parent institution.
- g. If an offender has been admitted to a DRC institution after the start of ORAS in 2011 and the PIT assessment has not been completed at reception (8/1/2014) nor the parent institution, the subsequent institution and/or current institution staff shall complete the assessment within thirty (30) calendar days of offender's arrival to that institution.
- h. If an offender is a judicial release violator returned, a PST and, if scores moderate/high, a PIT shall be completed unless a PST/PIT had been completed within the year previous to the offender's return to prison.
- i. If an offender is a judicial release violator returned and turned over to a new number, a new PST assessment shall be completed and, if scores moderate/high, a PIT assessment shall be completed, when the offender is turned over, unless one has been completed since the offender's return to prison. If the offender is at reception and is a reception inmate, the reception classification specialist shall complete. If the offender is at a parent institution, the assigned unit staff shall complete the assessment. The case plan shall be completed according to policy below.
- j. Transitional Control (TRC) returned offenders shall not have a new assessment completed. The case plan shall be updated with interventions to address the violation behavior.
- k. If an offender at reception is unavailable to be assessed due to being severely mentally ill and unable to participate in an interview or unable to participate in an interview due to medical issues (e.g., coma), the case shall be staffed with the ORAS quality assurance staff to determine if a Static Tool (ST) or if a PST, and then if scores moderate/high, a PIT shall be completed. If the ORAS quality assurance staff determines an ST is appropriate, the reason shall be documented in ORAS notes. A case plan shall not be completed on the ST. The offender's case shall be staffed with the ORAS quality assurance staff at the annual review to determine if a full assessment and case plan shall be completed at that time.
- l. Any offender that is under the age of eighteen (18) shall have an OYAS assessment completed in the same timeframes and conditions as the ORAS would be administered.

2. Reentry Tool Schedule During Incarceration Period and Prior to Release
  - a. 0 to less than 6 months Actual Incarceration to Serve: An SRT is not required.
  - b. 6 months to 4 years Actual Incarceration to Serve: Within 180 days of release, parole board staff shall complete an SRT on all inmates being released to supervision.
  - c. Greater than 4 years of Actual Incarceration to Serve: Within 180 days of release, parole board staff shall complete a RT on all inmates being released to supervision.
  - d. Parole Eligible Inmates: Parole board staff shall complete an SRT or RT on all parole eligible inmates prior to release.
  - e. Parole Violators: Parole board staff shall complete an SRT on all parole violators, either technical or re-commissioned, prior to re-release.
3. Prison Intake Tool (PIT) Completion
  - a. PIT information shall be entered into ORAS. Information to complete the PIT shall be compiled from ORAS interview, pre-sentence investigation reports (PSI's), Bureau of Criminal Investigations reports, Ohio Court Network System, inmate self-report, and any other information that is available. Assessment section notes shall be entered into the ORAS system for each domain that has items scoring as a risk factor. The section notes are located after each domain.
  - b. An updated PIT shall be completed by unit staff if new pre-institution collateral information is received (e.g., PSI) that significantly changes the original assessment or if there is significant change while incarcerated. A new PIT shall be completed within thirty (30) days of the knowledge of the above or when offender is available.
  - c. Overrides to risk level may be approved one level per assessment by the supervisor/designee of the reception center classification specialist or the unit manager/designee as according to the override criteria in the ORAS IT application, due to aggravating or mitigating factors. The reasons for the override shall be documented in ORAS notes.
4. ORAS Case Plan
  - a. The ORAS case plan shall be developed by the case manager in conjunction with the inmate and signed within forty-five (45) calendar days of arrival to the parent institution, to include all specialized units at reception centers such as SORRC, CADRE, RTU, etc. for all offenders received on or after August 1, 2014 following the completion of a PIT assessment. For any offender received prior to August 1, 2014, the case manager shall develop and sign the case plan within ninety (90) days of offender's arrival to the parent institution. The case plan shall be signed and dated by the case manager and inmate. A copy shall be given to the inmate. A signed and dated copy shall be placed in inmate case plan folder in OnBase. The case plan, to include goals/objectives/techniques, shall be reviewed and updated to note inmate progress on

an annual basis minimally. This review shall be documented in ORAS notes. In addition, the case plan shall be updated upon completion/termination of programming and/or meaningful activities. A case plan shall be completed on all offenders that score moderate or higher on the PIT regardless of the time to be served.

- b. The case plan shall augment other recommendations made by specialized assessments completed by mental health, recovery services, sex offender, and education staff. With an Authorization to Disclose Info to ORAS (DRC1273), the special services staff and program providers shall enter into and update ORAS with all applicable case plan information (programs, interventions, meaningful activities, incentives, etc.). Program providers and case management staff shall work together to manage the inmate and prioritize inmate needs and programming decisions. The case manager shall make appropriate interventions, program recommendations, and/or referrals based upon the inmate's risk level, identified dynamic risk factors, and resources available. Meaningful activities, programs, and evidence based practice (EBP) tools shall be documented in the appropriate tabs in ORAS.
- c. Case plan creation and standards shall follow the below:
  - i. For very high, high, and moderate risk inmates who have multiple areas of high and moderate identified dynamic risk factors, the primary risk factors, as identified in the ORAS assessment (which can include the following: Criminal Attitudes/Behavioral Patterns and Criminal History) should be addressed followed by the high and moderate secondary risk factors, as identified in the ORAS assessment (which can include the following: Substance Abuse and Mental Health, Family and Social Support, and Education/Employment/Financial Situation).
  - ii. Barriers shall be appropriately addressed.
  - iii. Domains that are low in need shall not be addressed in the case plan unless judicially mandated, a secondary assessment indicates a need, or requested by the inmate. Case plans should not be developed for inmates who score as a low risk; however meaningful activities, incentives, EBP tools, etc. shall be documented in the ORAS system.
  - iv. Each moderate or higher domain shall have a corresponding item in the case plan with an appropriate intervention/program/one on one session/ referral to address the specific criminogenic need of the inmate and shall be completed in the case plan prior to the inmate's release from prison.
  - v. Case plans shall be offender action oriented. Case plans shall be specific, measurable, achievable, reachable, and timely.
- d. All inmates who are risk reduction shall have a case plan. The PST notes section for low risk inmates shall serve as a case plan and users shall document a case plan by outlining expectations and required programming. All recommendations shall be discussed with the inmate. Low risk inmates with no identified criminogenic needs do not require any particular programming but shall receive essential habilitation services.

Inmates shall also be encouraged to engage in pro-social and meaningful activities such as: community service, inmate led groups, recreational programs, and cultural/spiritual events.

- e. The case plan for ORAS risk reduction inmates shall be reviewed and updated with the inmate at key intervals during the incarceration, in accordance with DRC policy 78-REL-07, Risk Reduction Sentence Monitoring and Release Policy.
- f. Domain intervention(s), to include EBP Tool (i.e., Carey Guides, Thinking Reports, Cost Benefit Analysis, etc.) usage shall be documented in the EBP tool tab section in ORAS.
- g. For any PRC/parole offender who is returned to prison on a revocation/sanction, the unit staff shall update the case plan and address the current violation behavior prior to offender's release from prison/sanction/revocation.
- h. Inmates with a low risk on the PST and/or PIT, when transferred to a parent institution shall be eligible for unit-based programs, reentry supplemental programs, meaningful activities, and groups. Inmates that are risk reduction and scheduled for release within a year, regardless of risk level, shall be given priority into pro-social activities, meaningful activities, reentry supplemental programs, and or reentry approved programs. All meaningful/pro-social activities, EBP tools/interventions, and program participation shall be documented in ORAS.
- i. For offenders that arrive at the institution and have an EST date within sixty (60) days of arrival, a case plan shall not be created. All meaningful/pro-social activities, EBP tools, and reentry supplemental programs shall be documented in the appropriate ORAS tab and notes.
- j. If a new assessment was completed during incarceration due to new information or significant change, the case plan shall be updated, signed and dated by all parties, and scanned into OnBase case plan folder.

5. OYAS Case Plans

Case plans for an OYAS assessment shall be completed on paper format, but fall under the same timeframes and requirements as an ORAS case plan indicated above.

**D. Components and Management of Inmates Assessed with the Reentry Accountability Plan**

1. Static Risk Assessments

- a. The static risk assessment information shall be maintained in the DOTS Portal screen under the Reentry Accountability Planning System (RAP Screens) for inmates assessed prior to the ORAS system.
- b. The static risk assessment shall not be created on new inmates entering or reentering a correctional facility.

## 2. Dynamic Needs Assessment

- a. The dynamic needs assessment shall be maintained in the appropriate DOTS Portal screen under the Reentry Planning System. Eight (8) dynamic needs areas/domains shall be identified in the RAP. The eight (8) dynamic needs areas/domains include the following:
  - i. Education: This domain considers the value the inmate places on education and the need for further education.
  - ii. Marital/Family: This domain considers the value the inmate places on being with family and the support gained from them.
  - iii. Associates/Social Interaction: This domain considers the value the inmate places on non-criminal associates and positive social interaction.
  - iv. Substance Abuse: This domain considers the value the inmate places on living without the reliance on alcohol and/or drugs.
  - v. Community Functioning: This domain considers the value the inmate places on having the knowledge and skills for daily living.
  - vi. Personal/Emotional Orientation: This domain considers the value the inmate places on being in control of one's own life.
  - vii. Attitude: This domain considers the value the inmate places on living a law-abiding life.
  - viii. Employment: This domain considers the value the inmate places on work.
- b. In order to determine the level of need for a domain being assessed or updated, each domain shall be coded using one of the following designations:
  - i. Asset to the community (1)
  - ii. No need for improvement (2)
  - iii. Some need for improvement (3)
  - iv. Considerable need for improvement (4)
- c. Those domains that are rated as "considerable need for improvement" or "some need for improvement" shall be targeted for programmatic or other intervention during the period of incarceration.
- d. No new dynamic assessment shall be created after ORAS implementation. For inmates with a RAP, case management staff shall continue to monitor, recommend programming, and document information regarding the inmate's adjustment into the RAP screens. The inmate shall transfer to the ORAS system at the point the ORAS reentry tool is administered.

## 3. Reentry Intensive Inmates

- a. The case manager shall monitor and update the RAPs for those inmates designated as reentry intensive. They shall also refer the intensive inmates to reentry approved programs. All other inmates (Basics) shall have notes recorded in RAP6 screens in DOTS Portal and receive essential habilitation services as outlined in DRC policy 78-REL-01, Inmate Transitional Release Planning. Notes shall include significant contact

regarding adjustment, staff recommendations and/or issues that may affect the inmate's behavior and release plans.

- b. RAPs for reentry intensive inmates shall be monitored and updated according to the below schedule. Notes in RAP6 shall be recorded as needed and shall include significant contact regarding adjustment, staff recommendations and/or issues that may affect the inmate's behavior and release plans.
  - i. Inmates with more than twenty-four (24) months left to serve shall be reviewed during the annual classification review. New and significant information and changes shall be documented in the appropriate RAP screens.
  - ii. Inmates with twenty-four (24) months or less to serve shall be reviewed on a semi-annual basis, continuing until the inmate is released to the community.
    - a) Any inmate who at the time of his/her parole hearing is referred by the parole board to programming for which a need has been assessed shall be referred to the appropriate reentry approved program(s). If the inmate is not a reentry intensive case or an ORAS equivalent case (moderate risk or above), then the inmate shall be placed on a waiting list for that program if space is currently not available.
    - b) If the inmate is within one (1) year of his/her next parole board hearing date, the inmate shall be given priority consideration for acceptance into the appropriate reentry approved program(s) if they are designated as a reentry intensive case or an ORAS equivalent case (moderate risk or above). However, if the inmate is reentry basic or the ORAS equivalent (low risk) the case manager shall recommend an override which will allow placement into the priority category defined above. This override shall be subject to review and approval of the unit management chief (UMC).

#### **E. Reentry Program Enrollment and Monitoring for RAP and ORAS**

1. With the exception of statutory requirements, program providers shall ensure that inmate enrollment/eligibility into reentry programs is prioritized according to the case plan and/or RAP, but should also consider suitability:
  - a. Out date and risk level. The inmates that meet the below standards shall be prioritized for programs to address appropriate risk/need domains that have two (2) years or less remaining to serve or to see the parole board who scored:
    - i. Very high, high or moderate on the ORAS and are risk reduction offenders;
    - ii. Intensive on the RAP; very high, high or moderate on the ORAS; or
    - iii. Other applicable offenders with recommendations from parole board, judges, etc.
  - b. Suitability. The offender's suitability for a program should be considered when placing offenders into a reentry approved program. For instance, if an offender is unmotivated or is pre-contemplative, they may not be suitable for a program at this time until some direct interventions have been completed to address those issues. If an offender is not

suitable at this time for the program, the reason shall be documented in ORAS notes if an ORAS offender or RAP notes if a RAP offender.

- c. Inmates with a score of low on the PIT shall receive essential habilitation services as outlined in DRC policy 78-REL-01, Inmate Transitional Release Planning.
  - d. Offenders who are very high or high risk according to ORAS and have refused programs shall receive interventions from the unit management team at least annually. Program providers, if not unit management, shall attend these interventions if the offender has refused the program twice. All interventions shall be documented in ORAS case notes.
  - e. If an offender is placed in reentry approved programming and does not meet the above standards, the reason for the placement into programming shall be documented in ORAS notes.
2. The case manager or primary owner of the case plan or RAP shall review the case plan/RAP when a significant change in the inmate's case plan is made by a program provider or the behavior of the inmate prompts a review. The inmate shall be present and goals and objectives of the case plan shall be discussed when the inmate is recommended for additional program participation.
  3. Institution program providers are responsible for updating the case plan/RAP. This shall include completing routine program information such as start date, completion date, termination date, successful/unsuccessful completion, and waiting list date.

#### **F. Quality Assurance**

1. The reception center coordinator/designee or the responsible deputy warden's designee is responsible for and shall document monitoring the quality of the PIT interview and assessments, to ensure face-to-face interview with an interview guide is being conducted, assessment completed timely, and appropriate documentation is being entered in ORAS. This shall be completed through random in person observations of the ORAS interview and file reviews. All quality assurance efforts shall be documented. The reception center coordinator/designee or the responsible deputy warden's designee shall document the quality assurance both in person observations and file reviews on their quarterly report.
2. The unit management chief/designee shall be responsible for the quality assurance of the initial ORAS case plan to include offender involvement in creation of case plan, signatures on case plan, review of ORAS assessment, updating the case plan, and completion of case plan prior to offender's release. This shall be completed through random in person observations of the case plan interview and creation and file reviews. All quality assurance efforts shall be documented. The unit management chief/designee shall document the quality assurance both in person and file reviews on their quarterly report.
3. In addition to on-going case management interactions, the unit manager and/or unit management chief shall ensure an inmate's case plan/RAP is reviewed annually as required to ensure adequate and timely interventions are being administered. These reviews may be completed in conjunction with the annual security review and documented in the inmate's ORAS notes. Any changes to the case plan shall involve the offender, updating

the case plan, and signatures/date. This quality assurance review shall be completed through random in person observations of the case plan review with the offender and file reviews. All quality assurance efforts shall be documented. The unit management chief/designee shall document the quality assurance both in person and file reviews on their quarterly report.

### **Related Department Forms**

Authorization to Disclose Info to ORAS

DRC1273