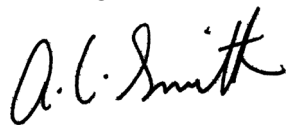




Department of
Rehabilitation & Correction

SUBJECT: Prison Reentry Assessment and Planning	PAGE <u> 1 </u> OF <u> 12 </u>
	NUMBER: 02-REN-01
RULE/CODE REFERENCE: ORC 5120.01	SUPERSEDES: 02-REN-01 dated 09/03/2019
RELATED ACA STANDARDS: 5-ACI-5A-02 (4286)	EFFECTIVE DATE: December 1, 2020
	APPROVED: 

I. AUTHORITY

Ohio Revised Code 5120.01 authorizes the Director of the Department of Rehabilitation and Correction, as the executive head of the department, to direct the total operations and management of the department by establishing procedures as set forth in this policy.

II. PURPOSE

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

III. APPLICABILITY

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

IV. DEFINITIONS

Case Plan - An individualized plan for incarcerated individuals under the ODRC custody/supervision designed to identify and target the incarcerated individual's identified dynamic risk factor areas based upon the completion of the ORAS instruments and through appropriate placement in programming.

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

Meaningful Activity - Any activity or constructive interaction which promotes citizenship; develops learning and employability skills; builds life skills and resilience; addresses well-being; and motivates personal engagement with both prison and community-based services. Meaningful activities may include but are not limited to participating in: a workshop, educational seminar or resource fair, a weekly group that has not been identified as reentry approved or reentry supplemental, incarcerated individual-led groups that have attendance requirements, established rules and staff oversight, or any other non-leisure activity that includes constructive interaction.

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 incarcerated individuals.

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 incarcerated individuals under the age of eighteen.

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

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

Program Provider - A range of staff/departments including, but not limited to: Unit Management, Education, Recovery Services, Mental Health, Religious Services, Special Services, etc. who provide interventions and/or programming relative to incarcerated individuals' case plans.

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 Accountability Plan (RAP) - An individualized plan designed to identify and target the offender's risk and needs areas through appropriate programming. The RAP is comprised of the static risk assessment, the dynamic needs assessment and program participation. During the period the offender is under supervision in the community, the RAP shall be referenced when completing the supervision accountability plan.

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

Reentry Tool (RT) - A standardized assessment tool designed to be used with incarcerated individuals being released from prison after serving more than four years.

Risk Reduction - A provision of HB86 wherein the court, at the time of sentencing, may indicate an incarcerated individual may be released after serving 80% of their non-mandatory prison sentence, less jail credit, if certain programming and treatment requirements are met.

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 incarcerated individuals being released from prison who have served four years or less, but six months or more.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (ODRC) to provide a holistic and systematic approach to prepare an incarcerated individual for a successful reentry into the community. This begins at the incarcerated individual's admission into the ODRC and continues until their final release from supervision. Reentry planning shall address an incarcerated individual'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 Incarcerated Individual 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 requires 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 Ohio Risk Assessment System (ORAS) to institution staff, incarcerated individuals committed after April 1, 2011 shall receive reentry-related assessment and services using the ORAS. Incarcerated individuals assessed prior to the availability of the ORAS shall continue to receive reentry-related services as identified through a RAP. The following incarcerated individuals shall be excluded from reentry planning:
 - a. Death Row incarcerated individuals;
 - b. If a RAP has been developed for post release control (PRC) incarcerated individuals serving a prison sanction term, then the prison shall update the RAP relative to program participation when appropriate;
 - c. Jail population incarcerated individuals.
2. However, for documentation purposes, 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 (PIT) and Prison Screening Tool (PST)

For all incarcerated individuals entering the ODRC's reception center, the classification specialists shall follow the schedule set forth below:

- a. For all incarcerated individuals received at the reception centers on/after August 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 for the risk factor in each domain, shall be completed on all incarcerated individuals 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 calendar days of an incarcerated individual's arrival to the reception center or prior to their transfer to a parent institution. PITs should not be completed on incarcerated individuals 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 incarcerated individual is a risk reduction incarcerated individual, a PIT shall not be completed on incarcerated individuals who arrive at the reception center and have an expiration of stated term (EST) within sixty days of their arrival.

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

For all incarcerated individuals received at reception prior to August 1, 2014, the parent institution unit management staff shall complete a PIT on incarcerated individuals who have one year or more of prison time remaining to be served. The PIT and case plan shall be completed on these incarcerated individuals within 90 days of arrival to the parent institution.

Upon arriving at their parent institution, incarcerated individuals who have scored as moderate or high on the PIT shall be directed to participate in rehabilitative programming if time permits. All incarcerated individuals shall have, at a minimum, an incarcerated individual transitional release plan completed per ODRC Policy 78-REL-01, Transitional Release Planning.

- b. Incarcerated individuals identified as a risk reduction incarcerated individual, 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. Once PST ORAS notes have been entered, risk reduction incarcerated individuals shall follow ODRC Policy 78-REL-07, Risk Reduction Sentence Monitoring and Release.
- c. The following categories of inmate do not require a PST/PIT to be completed:
 - i. Incarcerated individuals identified as being a same day release upon arrival at reception;
 - ii. Transitional Control (TRC) or Treatment Transfer (TT) returned offenders;
 - iii. PRC sanction returned offenders.

The case plan shall be updated with interventions to address violation behavior for TRC and TT returned offenders. For PRC sanction returned offenders, ORAS notes shall be updated prior to the end of the sanction period to outline programs/activities/interventions in which that offender participated/completed to address behavior resulting in sanction/violation.

- d. The following categories of incarcerated individuals are required to have a PST/PIT in accordance with section VI.c.1.a. of this policy:
- i. Incarcerated individuals identified same day transfers to a parent institution;
 - ii. Judicial release violators (including those recommitted on a new number);
 - iii. Sex offenders moving into the Sex Offender Risk Reduction Center (SORRC);
 - iv. Offenders committed prior to 8/1/14.

Assessments for incarcerated individuals considered same day transfers shall be completed by the parent institution. For the purposes of the ORAS assessment, SORRC shall be considered a parent institution.

- e. The following categories of incarcerated individuals are required to have a PIT completed in accordance with sections VI.c.1.a. of this policy:
- i. Incarcerated individuals turned over to or recommitted on a new number;
 - ii. Any incarcerated individual whose behavior while incarcerated warrants a PIT (i.e., would impact the scoring or 2 or more domains), including those who score low on their initial PST.
- f. If an incarcerated individual is unavailable to be assessed due to severe-mental illness or medical issues that prevent participation in an interview (e.g., coma), the case shall be staffed with the ORAS quality assurance analyst to determine appropriate next steps. The incarcerated individual's case shall be staffed with the ORAS quality assurance analyst at the annual review to determine if a full assessment and case plan shall be completed. Staffing shall be documented in ORAS notes.
- g. Any incarcerated individual that is under the age of eighteen shall have an OYAS assessment completed in the same timeframes and conditions as the ORAS would be administered. This assessment shall be uploaded into the offender file in ORAS. A note shall be entered in ORAS indicating an OYAS assessment was completed.

2. Reentry Tool Schedule during Incarceration Period and Prior to Release to Supervision.
- a. Four years or less Actual Incarceration to Serve: Within 180 days of release, Parole Board staff shall complete an SRT on all incarcerated individuals being released to supervision.
 - b. Greater than four years of Actual Incarceration to Serve: Within 180 days of release, parole board staff shall complete a RT on all incarcerated individuals being released to supervision.

- c. Parole Eligible Incarcerated Individuals: Parole Board staff shall complete an SRT or RT on all parole eligible incarcerated individuals prior to release.
- d. 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, incarcerated individual self-report, and any other information that is available. Assessment section notes shall be entered into the ORAS system for each item scoring as a risk factor in all domains. 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 days of the knowledge of the above or when incarcerated individual 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 incarcerated individual and signed within 45 calendar days of arrival to the parent institution, to include all specialized units at reception centers (i.e., SORRC, CADRE, RTU, etc.), for all incarcerated individuals received on/after August 1, 2014 following the completion of a PIT assessment. For any incarcerated individual received prior to August 1, 2014, the case manager shall develop and sign the case plan within ninety days of the incarcerated individual's arrival to the parent institution. The case plan shall be signed and dated by the case manager and incarcerated individual. A copy shall be given to the incarcerated individual. A signed and dated copy shall be uploaded via the "View or Upload Documents" button or placed in the offender files in the ORAS system (if unable to sign electronically). The case plan, to include goals/objectives/techniques, shall be reviewed and updated to note incarcerated individual progress on an annual basis minimally. Case plan reviews with the incarcerated individual shall be documented in ORAS notes to include, but not limited to, changes/updates regarding goals/objectives, staff recommendations, and/or issues specific to the incarcerated individual.
- b. 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 incarcerated individuals that score moderate or higher on the PIT, except for those incarcerated individuals with an EST within 60 days of arriving at the parent institution.

- c. The case plan shall augment other recommendations made by specialized assessments completed by mental health, recovery services, sex offender specialists, and education staff. With an Authorization to Disclose Info to ORAS (DRC1273), the special services staff and program providers should enter into and update ORAS with all applicable case plan information (i.e., programs, interventions, meaningful activities, incentives, etc.). Program providers and case management staff shall work together to manage the incarcerated individual and prioritize incarcerated individual needs and programming decisions. The case manager shall make appropriate interventions, program recommendations, and/or referrals based upon the incarcerated individual'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.
- d. Case plan creation and standards shall follow the below:
 - i. Barriers shall be appropriately addressed.
 - ii. 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 incarcerated individual. Case plans should not be developed for incarcerated individuals who score as a low risk; however, meaningful activities, incentives, EBP tools, etc. shall be documented in ORAS. In cases when the PIT scores out moderate and yet all the domain areas are low, no case plan is required and a note shall be placed in the ORAS notes section indicating all domains scored low risk.
 - iii. For moderate and higher risk incarcerated individuals, each moderate or high dynamic 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 incarcerated individual and shall be completed in the case plan prior to the incarcerated individual's release from prison.
 - iv. Case plans shall be incarcerated individual action oriented (i.e., requiring them to accomplish something). Case plans shall be specific, measurable, achievable, realistic, and timely.
- e. All incarcerated individuals who are risk reduction shall have a case plan. The PST notes section for low risk incarcerated individuals 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 incarcerated individual. Low risk incarcerated individuals with no identified criminogenic needs do not require any particular programming but shall receive essential habilitation services. incarcerated individuals shall also be encouraged to engage in pro-social and meaningful activities (i.e., community service, incarcerated individual led groups, recreational programs, and cultural/spiritual events).

- f. The case plan for ORAS risk reduction incarcerated individuals shall be reviewed and updated with the incarcerated individual at key intervals during the incarceration, in accordance with ODRC Policy 78-REL-07, Risk Reduction Sentence Monitoring and Release Policy.
- g. Domain intervention(s), to include EBP Tool (i.e., Carey Guides, Thinking Reports, Cost Benefit Analysis, Behavior Chain, etc.) usage shall be documented in the EBP tool tab section in ORAS.
- h. Incarcerated individuals 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. incarcerated individuals 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. 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 uploaded via the “View or Upload Documents” button or placed in the offender files in the ORAS system (if unable to sign electronically).

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. The signed and dated OYAS case plan shall be uploaded into the offender file in ORAS and a note shall be placed in ORAS notes indicating such.

D. Components and Management of Incarcerated Individuals Assessed with the Reentry Accountability Plan

1. Static Risk Assessments

The static risk assessment information shall be maintained in the DOTS Portal screen under the Reentry Accountability Planning System (RAP Screens) for incarcerated individuals assessed prior to the ORAS system.

2. Dynamic Needs Assessment

- a. The dynamic needs assessment shall be maintained in the appropriate DOTS Portal screen under the Reentry Planning System. Eight dynamic needs areas/domains shall be identified in the RAP. The eight dynamic needs areas/domains are education, marital/family, associates/social interaction, substance abuse, community functioning, personal/emotional orientation, attitude, and employment.
- 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 RAP dynamic assessment shall be created after ORAS implementation. For incarcerated individuals with a RAP, case management staff shall continue to monitor, recommend programming, and document information regarding the incarcerated individual’s adjustment into the RAP screens. The incarcerated individual shall transfer to the ORAS system at the point the ORAS reentry tool is administered. Once a prison is converted to ORAS, any RAP incarcerated individual transferred to that prison after conversion shall be converted to ORAS by completing the PIT and case planning if moderate or higher.
3. Reentry Intensive Incarcerated Individual
 - a. The case manager shall monitor and update the RAPs for those incarcerated individuals designated as reentry intensive. They shall also refer the intensive incarcerated individuals to reentry approved programs. All other incarcerated individuals (Basics) shall have notes recorded in RAP6 screens in DOTS Portal and receive essential habilitation services as outlined in ODRC Policy 78-REL-01, Inmate Transitional Release Planning. Notes shall include significant contact regarding adjustment, staff recommendations and/or issues that may affect the incarcerated individual’s behavior and release plans.
 - b. RAPs for reentry intensive incarcerated individuals 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 incarcerated individual’s behavior and release plans.
 - i. Incarcerated individuals with more than 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. Incarcerated individuals with 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 incarcerated individual who, at the time of their 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 incarcerated individual is not a reentry intensive case or an ORAS equivalent case (moderate risk or above), then the incarcerated individual shall be placed on a waiting list for that program if space is currently not available.

- b) If the incarcerated individual is within one year of their next parole board hearing date, the incarcerated individual 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 incarcerated individual 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. Except for statutory requirements, program providers shall ensure incarcerated individual enrollment/eligibility into reentry programs is prioritized according to the case plan and/or RAP. The following should also be considered:
 - a. Out date and risk level. Incarcerated individuals who have two years or less remaining to serve or to see the parole board and who meet the below criteria shall be prioritized for programs to address appropriate risk/need domains:
 - i. Very high, high or moderate on the ORAS and are risk reduction incarcerated individuals;
 - ii. Intensive on the RAP; very high, high or moderate on the ORAS; or
 - iii. Other applicable inmates with recommendations from Parole Board, judges, etc.
 - b. Suitability. The incarcerated individual's suitability for a program should be considered when placing incarcerated individual into a reentry approved program. For instance, if an incarcerated individual is unmotivated or is in the pre-contemplative stage of readiness for change, they may not be suitable for a program at this time until some direct interventions have been completed to address those issues. If an inmate is not suitable at this time for the program, the reason shall be documented in ORAS notes if an ORAS inmate or RAP notes if a RAP incarcerated individual.
 - c. Incarcerated individuals with a score of low on the PIT shall receive essential habilitation services as outlined in ODRC Policy 78-REL-01, Inmate Transitional Release Planning.
 - d. Incarcerated individuals who are moderate or higher 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 incarcerated individual has refused the program twice. All interventions shall be documented in ORAS case notes.
 - e. If an incarcerated individual 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 incarcerated individual's case plan is made by a program

provider or the behavior of the incarcerated individual prompts a review. The incarcerated individual shall be present and goals and objectives of the case plan shall be discussed when the incarcerated individual is recommended for additional program participation.

3. Institution program providers (please see definition) are responsible for updating the case plan/RAP. This includes completing routine program information such as start date, completion date, termination date, successful/unsuccessful completion, and waiting list date.
4. Positive incentives should be established at each institution to include a list of positive incentive options as well as criteria for receipt of the positive incentives. Positive incentives list could include items such as certificates, special visits, extra phone time, bed move, early chow, hygiene kit/legal kit, etc. The criteria for receipt of the positive incentives could include program completion, workshop completion, intervention completion, improved positive behavior, case plan progress, medication compliance, etc. ORAS incarcerated individual shall have their distribution and earning of positive incentives documented in the ORAS incentive tab. Other incarcerated individuals shall have their distribution and earning of positive incentives documented in the RAP PME screen.

F. Quality Assurance

1. To ensure a face-to-face interview with an interview guide is being conducted, that assessments are completed timely, and appropriate documentation is being entered in ORAS, the reception center coordinator/designee or the deputy warden's designee shall monitor and document the quality of the PIT interview and assessments. This shall be completed, at minimum, semi-annually per classification specialist, through in-person observations of the PIT interview and file reviews. All quality assurance efforts shall be documented.
2. The UMC/designee shall be responsible for the quality assurance of the initial ORAS case plan, to include incarcerated individual involvement in creation of the case plan, signatures on the case plan, review of ORAS assessment, updating the case plan, and completion of the case plan prior to incarcerated individual's release. This shall be completed, at minimum, semi-annually per case manager, through in-person observations of the case plan interview and creation and file reviews. All quality assurance efforts shall be documented (both in person and file reviews) on the ORAS Quality Assurance Tool (DRC4092).
3. In addition to on-going case management interactions, the unit manager and/or UMC shall ensure an incarcerated individual'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 incarcerated individual's ORAS notes. Any changes to the case plan shall involve the incarcerated individual, 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 incarcerated individual and file reviews. All quality assurance efforts shall be documented (both in person and file reviews) on the ORAS Quality Assurance Tool (DRC4092).

Referenced ODRC Policies:

- 78-REL-01 Inmate Transitional Release Planning
- 78-REL-07 Risk Reduction Sentence Monitoring and Release.

Related Department Forms

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| Authorization to Disclose Info to ORAS | DRC1273 |
| ORAS Quality Assurance Tool | DRC4092 |