



RHODE ISLAND DEPARTMENT OF CORRECTIONS POLICY AND PROCEDURE

	POLICY NUMBER: 28.12-1 DOC	EFFECTIVE DATE: 01/04/22	PAGE 1 OF 6
	SUPERCEDES: 28.12 DOC	DIRECTOR: Please use BLUE ink. 	
SECTION: PROBATION AND PAROLE FIELD SERVICES		SUBJECT: PROBATION CASE SUPERVISION	
AUTHORITY: Rhode Island General Laws (RIGL) § 42-56-10 (22), Powers of the director;			
REFERENCES:			
INMATE / PUBLIC ACCESS?		X YES	
AVAILABLE IN SPANISH?		X NO	

I. PURPOSE:

- A. To provide guidelines for the basic elements of offender supervision and case management for probation.
- B. To contribute to public safety through providing offenders with the opportunity to reduce their risk to the community, improve their functioning in important life areas, fulfill orders of the court, and succeed in positive integration into the community.

II. POLICY:

- A. Consistent with the mission of the Rhode Island Department of Corrections (RIDOC), offenders who are on supervised probation shall be supervised in a manner to promote public safety and offender rehabilitation.
- B. Supervision shall be conducted in accordance with recognized principles of offender risk, need, and characteristics, within the context of the resources available to the RIDOC and in the community.

NOTE: The general principles of what constitutes supervision apply to all units and all cases in Adult Probation and Parole, though the frequency and nature of

supervision contacts may vary by unit, staffing complements, caseload size, caseload makeup, and individual case characteristics.

III. **DEFINITIONS:**

1. **Case Management (Level of Supervision)** - the process of identifying and implementing the appropriate supervision activities for each case and for a caseload as a whole. Supervision activities may vary by case, and the frequency and intensity is typically determined based upon consideration of the following:
 - a. Caseload size range: in smaller, specialized caseloads, higher levels of supervision will be maintained, and a lower proportion of cases will be supervised at or near the minimum levels than in large mixed caseloads.
 - b. Individual case risk and needs: the higher the risk to reoffend, and/or needs related to criminal behavior, the higher the level of supervision. Offense type(s) may also be taken into consideration.

2. **Case Supervision** - can include any or all of the following activities, all of which shall be documented in the case file:
 - a. Face to face meetings;
 - b. Telephone contact;
 - c. Virtual contact;
 - d. Written reporting;
 - e. Contact with service providers;
 - f. Contact with law enforcement;
 - g. Family/Victim contact;
 - h. Employment/income verification;
 - i. Surveillance of offender activities;
 - j. Court contact;
 - k. Group meetings with offenders; and
 - l. Other collateral contacts.

3. **Criminogenic Need** - the characteristics (such as antisocial attitudes, beliefs, and thinking patterns) or circumstances (such as a person's friends or family dynamics) that research has shown are associated with criminal behavior, but which a person can change.

4. **Criminogenic Risk** - the likelihood that an individual will engage in new criminal activity.
5. **Offender Supervision** - the aggregate of activities by means of which Probation staff monitors offender compliance with mandated obligations, including special and standard conditions of probation; engage the offender, family members, community providers, and others; and further the rehabilitation of the offender.
6. **Risk/Need Assessment** - provides objective and empirically validated evaluations of an offender's risk and need. Assessment assists in decision making regarding placement, supervision and case planning. Addressing the offender's risk and need and matching the offender to the identified level of services are linked to changing offender behavior, appropriate use of resources and public safety.

IV. **PROCEDURES:**

- A. **Case supervision:** In order to be most effective, the level of supervision should vary according to risk of reoffending, the offense, the offender, the size and nature of the caseload, and the stage of supervision. Each of these factors should be considered in the context of the others.
 1. Face-to-face meetings - face-to-face meetings with the offender in an office, home, virtual, or community setting.
 2. Telephone contact with offender, initiated by staff or by offender.
 3. Written reporting by offender as part of, or in lieu of, in-person visit.
 4. Contact with service providers regarding mandated and/or voluntary services such as counseling, therapy, treatment, or batterers' intervention; contacts may include face-to-face meetings, telephone contact, or written reports and correspondence.
 5. Contact with law enforcement, including record checks, information exchange, telephone contact, and partnership activities.
 6. Family and/or victim contact, initiated by staff or by family member, victim, or victim advocate; contacts may include face-to-face meetings, telephone contacts, or written reports and correspondence.

7. Employment and income verification through contact with employer; on-site observation; review of pay stubs, benefits awards, or tax returns; or other.
 8. Surveillance of offender activities, whereabouts, neighborhood, or companions, generally undisclosed to the offender at the time of occurrence.
 9. Monitoring of other situations (status checks that the offender may or may not be aware of) involving review or confirmation of such mandated or voluntary activities including but not limited to:
 - a. payment of restitution, fees or child support;
 - b. court appearances;
 - c. child visitation;
 - d. community service;
 - e. job search;
 - f. work or school attendance;
 - g. social or religious activities and companions;
 - h. participation in support group(s);
 - i. travel and whereabouts; and/or
 - j. sex offender registration, if required.
 10. Court contact through providing reports, making recommendations, presenting violators, securing dispositions, checking records, and other.
 11. Group meetings with multiple offenders to provide orientation, information, general resources, or for other purposes.
 12. Other collateral contacts for such purposes as referrals, information gathering/exchange, coordination of services, case planning, and/or case management.
- B. Risk factors: Probation and Parole Officers shall supervise offenders in a manner that reflects individual risk, need and compliance. When no validated instrument is available, staff should review and document, in the case file, factors shown to contribute to risk of recidivism and/or risk of harm to the community.

Such factors include:

1. the nature of offense (e.g., violent/non-violent, use of weapons, harm to persons or property, etc.);
 2. special conditions of probation (e.g., restitution, substance use disorder treatment, mental health counseling, batterers' intervention, community service, residential treatment, minimum sanctions, etc.);
 3. offender status characteristics (e.g., prior criminal and social history, prior violations, prior incarceration, stability or needs in significant areas of function - residence/employment/family/ substance abuse/mental and physical health/social, etc.); and
 4. offender responsiveness (e.g., compliance/non-compliance, receptivity to engagement, motivation for positive change, response to service referrals, management of special and standard services, case management and supervision).
- C. Criminogenic factors: Utilizing a case plan to target criminogenic risk and need has been shown to be effective in reducing recidivism. Probation and Parole Officers shall act as change agents by assisting offenders with prosocial behavioral change through the use of evidence-based correctional interventions and program referrals to address these factors, whether or not they are part of the conditions of probation.
- D. Increased intensity: Offenders who represent a higher risk to reoffend, have special needs related to their criminal behavior, and/or present problems with compliance should be supervised with more frequency. These offenders should also be given the opportunity to receive specific programming and interventions, more collateral contacts, and/or more intensity than those who appear to have lesser risk, needs, and compliance problems.
- E. Priorities: Among the offenders at greater risk of incarceration are those newly released from incarceration and those being transferred from parole to probation; therefore, they need to be prioritized. These offenders should be assigned as soon as possible and need to be actively engaged through intake and ongoing supervision beginning prior to release (whenever possible) or within a few days following release.
- F. Early phases: In general, new offenders should be supervised more closely during the early phases of probation when the risk to re-offend is greatest, the

need to engage the offender is the strongest, and offender responsiveness has not yet been evaluated.

- G. Responding to non-compliance: Probation and Parole Officers should respond to all behavior that is in violation of the conditions, or that is otherwise not responsible and functional.
1. The nature of the Probation and Parole Officer's response should reflect the severity and repetitiveness of the violation, the seriousness of the underlying offense, risk level, overall offender stability and compliance, and the desired outcome.
 2. Response(s) to violation behavior can be informal (verbal or written reprimand, counseling, increased reporting, increased collateral contacts, and so on) or formal (initiation of violation proceedings through filing 32f or presentment).
 3. All responses to non-compliance shall be documented in the case file.