

Chapter III: The Offender Processing Unit

The Offender Processing Unit (OPU) is the centralized branch in the Agency that is responsible for the intake and assignment of offenders for investigation and/or supervision. OPU staff assign offenders for investigations that are requested by the D.C. Superior Court (Pre- and Post Sentence Investigations); the Bureau of Prisons (Transitional Intervention for Parole Supervision Investigations) and other jurisdictions (Interstate Compact Investigations). The OPU also assigns to supervision teams those offenders who are released to the community in probation, parole, supervised release or mandatory release supervision.

The OPU staff: 1) gather and convey timely, comprehensive and accurate information on offenders for CSS staff; 2) manage and file offender case records; 3) update offender data in the Agency's case management system, SMART and 4) process offenders for the D.C. Department of Motor Vehicle's identification letters.

OPU's primary functions include:

- A. General Intake for Investigations and Probation Supervision Cases;
- B. General Intake for Parole, Supervised Release, and Mandatory Release Cases;
- C. Assignment of Cases to Supervision Teams;
- D. Preparing DMV Identification Letters;
- E. Notifying, Tracking and Monitoring FBI Flash Notifications; and
- F. Providing Information to Support Federal Designations for Prisoner Transfers.

A. General Intake for Investigations and Probation Supervision Cases

There are procedural requirements that are basic to completing the intake of pre- and post-sentence investigations, Interstate Compact investigations, and TIPS investigations, as well as probation supervision case assignments. The steps outlined below are the general intake functions required for offender investigations and probation supervision cases (see Appendix E, Specific Probation Intake Procedures).

1. Initial Intake Procedures

- a. Defendant signs the daily log.
- b. The Offender Processing Assistant (OPA) records the defendant's reporting time.
- c. The Offender Processing Assistant obtains the appropriate paperwork (the PSI Directional Form or the Judgment and Commitment Order) from the offender and/or his attorney.
- d. Spanish-speaking offenders who require the services of an interpreter are directed to the bi-lingual OPA or other Spanish-speaking staff.

- e. The OPA explains to the offender the intake process time requirement and provides the offender with the necessary intake forms to be completed.
- f. The OPA will:
 - i. Use the docket number to check the case summary screen in the Court's information system, confirm the offender's basic case information, and verify the police department identification number (PDID), and then print the screen.
 - ii. Use the PDID number to check JACCS for the DCDC number, other pertinent information and then print this screen. If the PDID number is not available in CIS/JUSTIS or JACCS, the OPA must check the Washington Area Law Enforcement System (WALES) for the actual PDID number.
 - iii. The OPA will use the offender's PDID number to check the Pretrial Real Time Information System Manager (PRISM) to see if the defendant has had a drug test within the past week. OPA must generate the release form from the system, which will give the OPA permission to enter PRISM to access the drug test results. The OPA will have the offender sign the release form. Once the form is signed, the OPA will access the results. If the defendant has not been drug tested in the past week, the OPA will make a note of this information so that a referral form can be printed from the Supervision Management Automated Record Tracking system (SMART). If the offender has been drug tested in the past week, the OPA will print the most recent drug test results as verification of the testing.

2. Initial Assignment

The Offender Processing Unit (OPU) staff assigns offenders to Teams/PSAs for supervision based on the offender's last known/verified or last investigated/approved home address. It is known, however, that offenders may give OPU staff conflicting information with regard to their residence(s) when they arrive at OPU for intake. The purpose of this instruction is to provide:

- guidance on what home address OPU staff will designate in SMART as the offender's primary address, given conflicting information provided by the offender; and
- clarification on transferring cases that are mis-assigned, per the Agency's Transfer Guidance Policy.

When an offender reports for intake and has information or documentation of a home address that is different from the information in SMART or on the offender's Judgment and Commitment (J&C) order, OPU will process the offender as follows:

A. Misdemeanor Probation Cases

In the case of misdemeanor probation cases, where the misdemeanor probation offender reports to OPU and states that he or she has a home address that is different than the home address identified on the offender's J&C, OPU staff will try to verify this information through other appropriate documentation and/or phone contact with someone with whom the offender is to reside. If OPU is unable to verify this information, then OPU staff will put into SMART the housing information provided to OPU by the offender and will note in the running record that the CSO needs to verify the offender's housing as soon as possible, since the offender has provided a home address that has not yet been confirmed.

Upon the CSO receiving the case, the CSO should do a home verification within a day or two of receiving the case assignment. If the CSO determines that the offender's home is in a different Police Service Area (PSA) than the one that was assigned through OPU, then the CSO can recommend to the SCSO that the case be transferred in accordance with the Case Transfer Guidance (see Chapter VII). In such a circumstance, the CSO is to return the case to his or her SCSO within two (2) business days of determining that the case has been mis-assigned. The SCSO must then transfer the case to the correct team within seven (7) calendar days upon learning of the error. Offenders assigned through intake with conflicting address information do not fall under the Case Transfer Guidance, which provides instructions on transferring cases where the offender has already been under supervision and is moving to a new home.

B. Felony Probation Cases with a Pre-Sentence Investigation (PSI)

All felony probation cases have a PSI completed. Normally, the PSI investigators conduct the home visit within 15 days of the PSI assignment. To reduce mis-assignments through intake, due to the offender providing a new home address that differs from the address on the J&C or file folder, PSI investigators will conduct a home verification one week prior to closing the case. The PSI investigator will call the owner/occupant to verify the address. If the address has changed, the PSI investigator will investigate this information and update SMART accordingly.

C. Probation Split Sentence Cases

Probation split sentence cases are assigned based on the address of record, unless diagnostic investigators provide a different address.¹ Upon assignment, the CSO monitors the case. Within 30 days of the offender's release date, the CSO is to verify the offender's proposed home. If the CSO determines that the offender has a new address, then the CSO is to return the case to his or her SCSO so the offender can be transferred to the correct Team. Upon the offender being released to the community, the new CSO is to verify the home within seven (7) business days.

D. Parole or Supervised Release Cases with a Transitional Intervention for Parole Supervision (TIPS) Investigation

All offenders transitioning through a Residential Re-entry Center (RRC) or being released directly to the community from prison, have a Transitional Intervention for Parole Supervision (TIPS) investigation completed. At least one week prior to release, the TIPS CSO determines the offender's appropriate housing and the home is verified.

Upon the offender reporting to OPU, the staff will verify the information provided by the offender in SMART by checking the housing verification screen or by reviewing the TIPS investigation. If the offender reports an address that is different than the one approved by TIPS staff, OPU staff will assign the offender based on the TIPS-approved address, inform the offender of the Team assignment and then enter a running record update into SMART noting that the offender presented to OPU with a different address. The assigned CSO is then to conduct a home verification within two (2) business days of assignment. If the CSO then determines the offender has a new home, then the case is to be returned to the SCSO for case transfer within seven (7) calendar days of this determination.

TIPS staff will attempt to find suitable housing for offenders² and, therefore, the assignment of an offender to a shelter is a last resort. In those cases where TIPS staff must assign an offender to a shelter, the TIPS staff will indicate the rationale for the selected shelter in the SMART housing verification comments box.

¹ Investigations are completed primarily in felony cases.

² Rationale: Please note there may be specific reasons why the alternative home plan presented by the offender to OPU is not a suitable home plan as investigated by TIPS. The TIPS rationale for a disapproved home plan will be noted in the TIPS Investigation report. Consequently, offenders are to be assigned to the office servicing the TIPS-approved home plan at intake.

E. Domestic Violence Cases

When an offender with a domestic violence case arrives at OPU, the staff are to ask the offender if he or she has a stay away order. If the offender has a stay away order, the offender cannot reside at the address of the victim on the stay away order, even if the victim accompanies the offender to OPU. In these cases, the offender is to be informed that he or she must go back to Court and have the order amended, and that the offender cannot live with the victim because there is a stay away order. The offender is not to be assigned to the address listed as the offender's residence on the order. OPU staff are to enter an alternate address provided by the offender for assignment. OPU staff will seek guidance, when required, from their supervisor if the offender claims that he or she has no other place to live. OPU staff are to make a running record entry documenting that the offender presented to OPU with the victim's address, and the offender was instructed that he or she could not live with the victim.

F. Mandatory Release Cases – No TIPs Investigation

For the assignment of mandatory release cases that do not have completed TIPs investigations, OPU staff are to enter and assign the offender's case based on the address information provided by the offender. This guidance should assist in ensuring that offenders are correctly assigned in accordance with existing Agency policies.

3. Intake Interviews and Case Processing

- a. The OPA reviews the appropriate paperwork (PSI Directional Form, PSI Intake Form, Probation Intake Sheet and the Judgment and Commitment Order) and explains the intake process to the offender.
- b. The OPA will initiate processing of the case in SMART by conducting a detailed search to determine if there is an existing offender record in the system. Using the last name, first name and PDID number, the OPA must verify that the PDID number matches the name of the offender that the OPA is selecting. While searching, the OPA also may enter the Pretrial Services Agency (PSA) number only to obtain a match and proceed with the search by matching the correct name of the offender with the PDID number.
- c. The OPA will conduct the intake interview with the defendant using all of the information gathered to date, which should include the appropriate Court paperwork, along with the printed Court information, JACCS, and PRISM screens.

- d. The OPA will process the case by entering data into SMART using the appropriate paperwork and other pertinent printouts.
- e. If a record already exists for the offender in SMART, the OPA will update the existing information beginning with the basic information screen. Subsequently, the following fields must be reviewed and updated:
 - i. Alias—only if the alias appears on the Judgment and Commitment Order.
 - ii. Housing—it is critical that the address is reviewed and verified with the offender. (See Page 2 under Initial Assignment). If the offender has a new address, it must be updated in SMART to include the Police Service Area (PSA) identification. Those offenders with no fixed address will be assigned to a shelter. If, however, an offender lives in a shelter and provides that address, the OPA should utilize the shelter address. Offenders with no fixed address or are homeless are assigned to General Supervision Team 20.
 - iii. The Police Service Area (PSA) in which the offender resides must be verified in SMART.
 - iv. Docket Information—this information must be obtained from the appropriate paperwork.
- f. If a prior offender case record does not exist, the Offender Processing Specialist (OPS) must create a new record by entering the offender's name and then entering basic information (aliases, housing, PSA, and docket information) for the case.
- g. Once all the information is entered into SMART, the system will automatically make an assignment to the appropriate team. SMART also will prompt the OPS to print out the assignment sheet; however, if the OPS determined that SMART has made an incorrect assignment, the assignment on the SMART generated form must be changed to the correct team. The OPS also will discuss the correct team assignment with the offender and instruct the offender to report to the correctly assigned team.
- h. Each case will be entered into the daily intake log with the correct assignment reflected.
- i. SMART also will prompt the OPS to print out the referral form for the Illegal Substance Collection Unit (ISCU). If the offender has not been drug tested in the past week, the OPS/OPA will ask the offender to sign the drug test referral form. The offender is then immediately referred to ISCU for the initial drug test.

The copy of the drug test referral form is given to the offender while the original form is sent to the responsible diagnostic or supervision team.

The OPS will instruct the offender to report to the ISCU immediately, unless during the hours of 1:00 p.m.—2:00 p.m., when ISCU is closed for lunch. If the ISCU has already closed, the OPS are to instruct the offender to report at 2:00 p.m. that same day.

- j. SMART also will prompt the OPS to print out the referral form for the Substance Abuse Treatment Referral. Appropriate offenders who have a qualifying offense (as identified automatically in SMART, based on the offender's conviction) are referred for DNA testing by the OPS and given a date and time for testing. Generally, DNA testing is to be conducted the same day the offender reports for intake.

In addition, offenders required to register as Sex Offenders are referred to the Sex Offender Registry Technician.

The OPA/OPS should instruct the offender that immediately after leaving the ISCU unit, the offender should report to the SATB office to have a drug assessment performed.

- k. OPA also must instruct the offender that he or she must contact the assigned unit by the next business day if the intake process is completed after 4:00 p.m.
- l. Each offender leaves the Intake Office with the appropriate paperwork.

4. File and Paperwork Preparation to Forward to Teams

- a. The OPU Office Assistant will log the case into the appropriate intake walk-ins log.
- b. The OPA/OPS will ensure that the following information is entered into the offender's file folder immediately:
- c. The OPA/OPS will check SMART for the proper assignment before forwarding the file folder from Intake.
- d. Once the OPA/OPS has checked SMART for the proper assignment and has verified that the case is assigned to the appropriate team, the OPA/OPS will place the file folder along with a verification form into an inter-office envelope to be forwarded to the assigned diagnostic/supervision team.

- e. Once the file folder has been received and verified either by the SCSO or the team CSA, the original verification form will be returned to the PSI Intake Office and filed appropriately to confirm receipt.

5. No Shows

No shows are offenders for whom the judge has ordered a Pre-Sentence Investigation, but the offender (who has been released from the Courtroom and ordered to report to PSI Intake), fails to report to Intake.

- a. Upon completion of photocopying of all Court jackets located in 500 Indiana Avenue in which a Pre-Sentence Investigation Report had been ordered by the Court, the File Management CSA will transport all documents in person to the Offender Processing Unit located at 300 Indiana Avenue, N.W. Room 2070. Once the Court jackets have been reviewed and a determination has been made that an offender has failed to appear as instructed, the OPA/OPS will conduct the record checks and update SMART with alises, housing, PSA and docket entries. The OPA/OPS will ensure that the following information is entered into the file folder:
 - i. The printouts from the CIS/JUSTIS, WALES and JACCS screens;
 - ii. The Court jacket information;
 - iii. A copy of the signed Assignment to the Diagnostic Team form;
 - iv. The PSI File Check form—a notation must be made in the comment field on the form if there is additional information that was not reflected prior to forwarding the file to the correct team;
- b. In making the SMART entries, the OPA/OPS should use the drop down list to indicate that the offender is “released”, as well as to mark the box that notates “NO SHOWS.”
- c. The OPA/OPS will ensure that the court jacket information is entered into the file folder.

6. Detained Cases

Detained cases are those cases in which the judge ordered that a Pre-Sentence Investigation Report be conducted at the same time the offender is currently detained, pending sentencing or serving a present sentence.

- a. Upon completion of the photocopying of all Court jackets in which Pre-Sentence Investigation Reports have been ordered, the documents are then transported to the Offender Processing Unit located at 300 Indiana Avenue, N.W. Room 2070 and given to the OPA/OPS responsible for entering detained cases into SMART.

The OPA/OPS will then conduct the record checks and SMART entries noted in step f. under the Initial Intake procedures.

7. Post-Sentence Investigations

Post-sentence investigations are conducted on those offenders who are sentenced by the Court to probation supervision without the benefit of a pre-sentence investigation.

- a. The OPA responsible for photocopying will gather all information from the Court jacket and forward the information to the Intake Manager who is located in the PSI Intake Office.
- b. The PSI Intake Staff will then enter the information into SMART and assign the Post-Sentence Report to a Diagnostic Team within Branch I for the report to be prepared.
- c. The average turnaround time for a Post-Sentence Report is eight (8) weeks and the U.S. Marshal Service will be notified of this pending report in a summary report of all information collected and submitted via email by the Intake Manager.
- d. If the offender has a sentence of two (2) months or less, a Post-Sentence Report will not be ordered; however, if there is a previous PSI request, that report will be forwarded to the U.S. Marshals Service.

8. Interstate Compact Case Intake

Interstate Compact information generally comes to the OPU from three primary sources: direct mail from other states, case files received from the TIPS unit and direct information from the offenders themselves. The process for handling interstate compact case assignments is as follows:

- a. Interstate packages should arrive in OPU in duplicate with dated transmittal forms attached. Case information is entered into the SMART Interstate module. The case is then transmitted to either the TIPS unit or the Interstate team for subsequent investigation. The OPA will photocopy and file the transmittal sheet (the original is attached to the actual case file at the point of forwarding).
- b. When investigations are completed, the file is returned to OPU for assignment to supervision. OPU staff will enter the case information (including the assigned PSA) into the appropriate SMART subsystem (probation or parole). The case is then transmitted to the Deputy Compact Administrator. The OPA will photocopy and file the

transmittal sheet (the original is attached to the actual case file at the point of forwarding).

- c. If the case involves a mental health offender or sex offender, a complete information package is to be sent to the appropriate special team. The original file is still routed to the Deputy Compact Administrator.
- d. The OPA will direct the offender when and where to report for supervision. The offender's picture is to be taken if there is no picture available in SMART. The offender is to be referred for an INITIAL SPOT TEST. The drug test referral form will include the out-of-state case number. Two copies of the case assignment package are made with one copy given to the offender and the other sent to the assigned team.
- e. The OPA will photocopy and file the transmittal sheet (the original is attached to the actual case file at the point of forwarding).

9. TIPS Investigations

The USPC requires the investigation of parole plans proposed for offenders being considered for eventual community supervision prior to their release. The TIPS units are responsible for investigating and verifying the information contained in the parole plans that are prepared and forwarded by BOP institutional case managers.

At the conclusion of the investigation, TIPS staff will advise BOP and the USPC whether or not the proposed parole plan is acceptable according to CSOSA policy and CSS case management standards.

- a. Upon receipt of the parole plan documentation, the OPA will date stamp and enter case information manually into the OPU logbook.
- b. Case information will be first verified and cross-referenced in SMART to ensure that no duplicate entries are made.
- c. File folders will be obtained from the OPU closed file section. If no file is available, OPU staff will create one and enter a verified identifier into SMART to obtain the correct case information. Once this is done, the SMART case record can be updated under the TIPS tab.
- d. After SMART has been updated, the OPA will assign the case to a TIPS team (by clicking the assign and complete tab).

- e. The OPU supervisor will review all parole plan documentation in SMART before the case file is forwarded to the designated TIPS team. Copies of the case transmittal form will be maintained in OPU until the signed original is returned from TIPS.

B. General Intake for Parole, Supervised Release, and Mandatory Release Cases

The Offender Processing Unit processes all offenders who are given a term of parole or supervised release and those offenders who are mandatorily released. The staff assigned to this unit ensure that offenders are assigned correctly to supervision teams, data are entered accurately into SMART, and quality assurance measures (execution of the OPU Case Review Form) are implemented to ensure all released offenders are assigned, including those who fail to report.

The OPU staff work closely with the Transitional Intervention for Parole Supervision (TIPS) Unit staff on these cases with primary case management functions as the responsibility of the TIPS teams. TIPS investigates an offender's home, employment, and case plans prior to his/her release from incarceration and forwards the offender's case file(s) to the OPU within the two weeks of the scheduled release date. The OPU staff maintains and updates offender files as additional documents relevant to those cases are received by CSOSA. Sex offender case files are flagged by OPU staff and expeditiously forwarded to the sex offender units in preparation for the scheduled release.

Following are intake procedures for parole, supervised release, and mandatory release cases (see Appendix F, Specific Parole and Supervised Release Intake Procedures).

1. Initial Intake Procedures

The offender signs the daily intake logbook. The OPS will:

- a. Determine if the offender's release certificate is in the case file. If the release certificate is not in hand or on file, contact the BOP releasing authority to fax a copy of the release certificate.
- b. Request the file from the OPU File Management Unit if the file is not located in the Processing Unit.
- c. Verify (in JACCS, WALES, OASIS, NCIC, SMART) information provided by the offender (particularly if the offender's file is not available).
- d. Confer with the TIPS program to obtain additional information.
- e. Initiate processing of the case in SMART by conducting a detailed search to determine if the offender's record exists in SMART.

- f. Create a new record for the offender if a prior case record does not exist. If there is an existing file, then merge the new and old documents.
- g. Verify and update existing information in the SMART record:
 - i. Aliases updated in SMART should reflect aliases listed in available official documentation.
 - ii. Housing updates should be made to the offender's residential address, which should be indicated as a primary address. If the offender lives in a shelter, the shelter address must be used.
 - iii. The Police Service Area (PSA), which is associated with the offender's primary residence, must be entered in SMART. Staff can use the MPD website or an office hard copy directory, if the website is not available, to determine the PSA in which the offender resides. This field is mandatory in SMART.
 - iv. Docket Information must be taken from the official file documentation. OPS must pay special attention to the case type by reviewing the conviction offense information.
 - v. Supervision details include the case type, supervision start and full term dates, general supervision and Interstate Compact information.
- h. SMART automatically assigns cases to the appropriate team based on PSA and/or special designations to the TAP, STAR/SAINT HIDTA, Sex Offender, Mental Health or Domestic Violence teams. Once all the information is entered into SMART, the case will be automatically assigned to the appropriate supervision team. SMART also will prompt the OPS to print out the offender's assignments sheet. If, however, the OPS determines that the assignment indicated in SMART needs to be changed, the OPS must change the assignment on the SMART generated form to reflect the correct team. The OPS also will discuss the changed team assignment with the offender and instruct the offender to report to the changed assigned team. The OPS will ask the offender to sign the Assignment to Supervision Instruction Form (which the OPS will sign as well).
- i. The OPS will enter each case into the daily intake log with the correct assignment reflected.
- j. SMART also will prompt the OPS to print out a referral form to the Illegal Substances Collection Unit (ISCU) so that the offender can be drug tested. The OPS will ask the offender to sign the drug test referral form after explaining the purpose of the referral itself. A copy of the form is to be given to the offender and the original is to be sent

to the supervision team. The offender will then be escorted to the ISCU by OPU staff.

- k. SMART will also automatically generate DNA and Sex Offender Registry referral forms as appropriate based on the nature of the conviction.
- l. The OPS will instruct the offender that s/he must report to the supervision unit no later than the next business day.
- m. Each offender will leave the OPU with:
 - i. Original Parole or Supervised Release Certificates (when appropriate).
 - ii. A drug test referral form instructing him/her to report to the ISCU (at 300 Indiana Avenue, N.W., Room 2001), if necessary with instructions to report that same day to the ISCU.
 - iii. The Assignment to Supervision Team form.
 - iv. Reporting Instruction Sheet.

2. Forwarding of OPU Offender Case Files to Supervision Teams

Upon processing the offender (reporter or non-reporter) through SMART, the OPS will then forward the offender's case file to the supervising team SCSO for assignment to a CSO. The OPS will:

- a. Prepare the file for forwarding as follows:
 - i. Log case into the intake log; and
 - ii. Forward the offender file (containing the intake and assignment forms and the initial paperwork) to the team within one business day.
- b. In cases where the team assignment was corrected, the intake staff person must send an email to the SCSO who initially received the incorrect assignment, requesting the SCSO to transfer the case to the appropriate team. When an incorrect assignment in SMART is made, notification must be sent immediately via email to the following persons:
 - i. The SCSO transferring the case;
 - ii. The SCSO receiving the case; and
 - iii. The SOPS of OPU.

- c. Send all paperwork to the corrected team assignment.
- d. Ensure that the following information is maintained in the offender file:
 - i. The parole or supervised release certificate;
 - ii. The intake form;
 - iii. A copy of the drug test referral form;
 - iv. A copy of the signed Assignment to Supervision Team form;
 - v. The case tracking form—a notation must be made in the comment field on the form if an incorrect assignment was made to SMART.

All information including the jacket must be sent out to the Supervisory Community Supervision Officer or the Community Supervision Assistant of the correct team by the next business day.

3. File Management

- a. The Offender Processing Unit (OPU) is the repository for all documents related to probation, parole and supervised release cases.
- b. Documents received regarding parole cases will be researched when appropriate and filed in the offender's file.
- c. The file will be maintained in a central location.

4. Intake Tracking

- a. OPU will maintain a daily intake log that includes the following information for each offender who reported that business day:
 - i. Intake Date;
 - ii. Offender Name;
 - iii. PDID/DCDC Number; and
 - iv. Type of Case (parole, supervised release, Interstate, Offender ID Letter).
- b. OPU will prepare and submit a monthly statistical report for the Associate Director documenting the number of offenders processed each day by type of case until this reporting capability is available in SMART.
- c. OPU staff will review the U.S. Attorney's monthly report regarding released offenders to determine which offenders failed to report for supervision. These offenders will be assigned to the appropriate supervision team for follow-up.

C. Assignment of Cases to Supervision Teams

Community supervision is one of the cornerstones of the assessment-driven CSOSA case management system. Effective supervision requires CSOs to supervise offenders in the communities where they reside. The team supervisor assigns offenders to the CSO caseload that serves the particular Police Service Area (PSA) where the offender resides (see Appendix G, OPU Sex Offender Registry). This allows CSOs to link offenders to important community-based resources necessary to assist them with transition towards law-abiding lives facilitate supervision activities in the community and ensure offender accountability. It is also necessary to establish a geographic team assignment strategy that apportions cases equitably among staff resources. Workload equity is an essential component in ensuring that each CSO is able to engage his/her offender in meaningful interactions.

1. Intake Case Assignment to a Supervision Team

Each PSA may have at least one CSO assigned to it. The SCSO will assign the offender to the appropriate CSO based upon the PSA wherein the offender resides. Records of assignments will be maintained by the SCSO for his/her specific field unit. Once assignments have been made, the SCSO will be responsible for recording the assignments in SMART. The CSS Intake Unit will assign cases to the appropriate supervision team. Each supervision team's area of responsibility is defined by the PSAs assigned to that location and is commonly referred to by the team supervisor's name.

The Intake Unit transmits the case jacket to the SCSO of the assigned supervision unit after making the appropriate data entries in the SMART automated database system.

The OPU will make the initial referral of the offender for drug testing. All offenders are required to report for drug testing at the point of intake and will be placed on a drug-testing schedule consistent with Agency policy. Based on compliance, the offender then will be tested in accordance with the testing regimen detailed by CSOSA policy and reflected elsewhere in this manual.

2. Mixed U.S. and D.C. Code Sentences To Be Supervised by U.S. Probation

In an effort to assist OPU staff in the assignment cases with mixed originating sentencing authorities, all offenders who have both D.C. Code and U.S. charges are to be supervised by U.S. Probation. The **U.S. Parole Commission Rules and Procedures Manual** substantiates this rule which is located on p.173 on-line and p. 167 in the hard copy of the Manual.

§ 2.91 SUPERVISION RESPONSIBILITY.

(a) Pursuant to D.C. Code 24-133(c), the District of Columbia Court Services and Offender Supervision Agency (CSOSA) shall provide supervision, through qualified Supervision Officers, for all D.C. Code parolees and mandatory releasees under the jurisdiction of the Commission who are released to the District of Columbia. Individuals under the jurisdiction of the Commission who are released to districts outside the D.C. metropolitan area, or who are serving mixed U.S. and D.C. Code sentences, shall be supervised by a U.S. Probation Officer pursuant to 18 U.S.C. 3655.

(b) A parolee or mandatory releasee may be transferred to a new district of supervision with the permission of the supervision offices of both the transferring and receiving district, provided such transfer is not contrary to instructions from the Commission.

3. Community Supervision Assistant (CSA) at the Supervision Team Case Assignment Duties

When an offender reports to the assigned supervision team, the CSA greets him/her and performs the following:

- a. Receives assignment paperwork file and creates a folder if one does not already exist.
- b. Makes additional checks for any errors and ensures that all key documents accounted for and case data elements have been entered into SMART.
- c. Notifies the SCSO of the arrival of the offender and directs the person as required by the facility's general practice for movement and accountability for offenders.
- d. If the assigned CSO is unavailable, the CSA will refer the offender to the assigned duty officer for the day.
- e. In Split Sentence cases, after reviewing the received documentation, the CSA prepares a calendar reminder when the offender is to be released from incarceration.

4. Supervisory Community Supervision Officer (SCSO) Case Assignment Duties

- a. In each supervision team, the SCSO will assign an individual CSO to PSA(s) that are within that team's geographic responsibility.
- b. The SCSO will ensure that CSOs handle both probation and parole matters on the same caseload.

- c. The SCSO will assign at least one CSO as the sole or primary/lead person for each PSA based on the number of offenders living within each PSA.
 - i. If the number of offenders for a particular caseload is less than the mean number of offenders per CSO on the team, then the CSO shall have primary responsibility for more than one PSA.
 - ii. If the number of offenders for a particular caseload is greater than the mean number of offenders per CSO on the team, the SCSO shall assign one CSO with primary responsibility for the particular PSA and designate appropriate other CSOs for secondary responsibilities.

A manual record of all cases assigned within the team will be maintained by each SCSO; however, as the information is available to the SCSO via SMART, once assignments have been made, the CSO will be responsible for entering that case management information in SMART.

- d. The SCSO will assign offenders to the appropriate CSO based upon that person's PSA residence and in a manner that maintains equity in caseload size among team CSOs. The first assignment of the offender shall be to the primary CSO of a given PSA.
- e. At the initial point that a case is assigned to the team, it will generally remain with that team until case closure. Exceptions to this standard may but are not limited to include offender moves of residence to another PSA, departure from the jurisdiction through the Interstate Compact or a new team is made responsible for the PSA.

5. Rotational Assignment

The SCSO will guarantee that probation/parole cases are assigned according to PSAs equitably and on a rotational basis to the number of available CSOs on the supervision team. The location of an offender's residence is given preference for assignment to an appropriate field unit, (i.e., a "Northwest" case will not be assigned to the Anacostia Field Unit.)

Recently hired CSO's must gradually learn their new professional responsibilities while they assume full offender caseloads in phases during the first six months of employment. Newly hired staff are to receive a phased-in caseload that reflects the following percentages of the unit's or span of control's caseload:

- a. 0-4 months: not to exceed 75%
- b. 5th month: not to exceed 85%
- c. 6th month: 100%

It is the responsibility of the Branch Chief to ensure that the new and transfer assignments for each newly hired CSO remain consistent with the guidelines identified above.

6. Procedures for No-Show Offenders

Once it has been determined that an offender has failed to report for supervision assignment, the following actions will be taken:

- a. The OPU will forward all photocopied materials and other pertinent information to the designated supervision team within one business day.
- b. The OPU staff person will make the probation case assignment and will notify the SCSO of the assigned unit within one business day.
- c. The CSO assigned by the SCSO will immediately (within 2 business days of the assignment) attempt to contact the offender. Initially a certified letter is to be sent to the most current offender residence followed by a field visit from the assigned CSO. Upon contact, the CSO will follow the procedures for initiating supervision.
- d. If the assigned CSO fails to establish contact with the offender at the last known address, the CSO is to conduct a criminal record check (to check for new arrest(s)) and ascertain whether or not the offender is incarcerated.
- e. If all reasonable efforts to locate the offender fail, the CSO is to request a warrant for the apprehension of the offender (Loss of Contact (LOC) procedure).
- f. The report is to be written no later than 18 business days from the date of case assignment to the CSO.
- g. All investigation activity for the no-show offender will be documented in the automated information system (SMART).

7. Procedures For Mental Health Cases

Mental Health offenders pose a greater risk to the community as well as themselves if the supervision process is delayed because of their failure to report. OPU has a responsibility to ensure that this type of offender arrives expeditiously at the correctly assigned unit.

Offender Processing Specialists are directed to escort offenders assigned to Mental Health teams located in 300 Indiana Avenue. All offenders are to be escorted once the assignment has been completed in SMART. If the offender

refuses to cooperate with this process, the team is to be alerted. The SMART Running Record must be updated to reflect those circumstances. The case file will subsequently be hand-delivered to the team once it has been completed.

D. Preparing DMV Identification Letters

The OPU will prepare offender identification letters for offenders under supervision who have no verifiable means of identification. The offenders will present the identification letters to the D.C. Department of Motor Vehicles (DMV). DMV then will issue a non-drivers identification card to the offender upon the offender completing a DMV form and submitting an application fee. These letters are generated from the SMART parole subsystem module (see Appendix H, Offender Identification Cards – Policy Statement 4014).

The process for offenders to obtain a DMV identification letter is as follows:

- a. The assigned CSO must ensure that all pertinent identifiers have been entered into SMART (i.e., picture, weight, eye and hair color, etc.).
- b. When the offender reports to the OPU, he/she should have received a DMV referral receipt from the CSO.
- c. The OPA will click on the offender's name and then the offender ID letter tab after ensuring that the information in the system matches the letter. SMART system information can only be updated if there is official supporting documentation.
- d. The DMV letter will be printed from SMART only after the identifying information has been compared and found to be verified by the referral document.
- e. The DMV letter will be printed in color and the conveyance letter will be sealed with the official Agency seal. The letter and application will be given to the offender who will hand-carry the documents to DMV.
- f. OPU staff will maintain a computerized folder labeled DMV referrals. Letters will be filed by the PDID number and maintained in an OPU file.

E. Notifying, Tracking, and Monitoring FBI Flash Notifications

The OPU Branch is responsible for notifying the Federal Bureau of Investigations (FBI) of offenders under supervision who have been convicted of certain serious charges as specified by the FBI. OPU staff will identify these offenders at intake for supervision, complete the FBI notification form, and submit the form to the FBI. OPU staff also is responsible for tracking and monitoring FBI flash notifications. When an offender's

flash notice needs to be transferred to another jurisdiction or cancelled, based on the offender's supervision status, OPU staff must notify the FBI.

If an offender who has an FBI flash notification active is rearrested, OPU's Special Projects Unit staff is responsible for receiving the automatic flash notice and notifying the appropriate CSO and SCSO of the re-arrest.

F. Providing Information to Support Federal Designations for Prisoner Transfers

1. Role of CSOSA in Information Sharing

The role that has been assigned to CSOSA in this information sharing process is to provide the U.S. Marshal Service (USMS) with Pre- or Post-Sentence Reports, as well as Alleged Violation Reports, or both. CSOSA staff will respond to requests made by the USMS for Pre-Sentence Reports and Alleged Violation Reports within three (3) business days from the date the request was received. Post-Sentencing Report requests will be answered within eight (8) weeks, as this is the normal turn-around time to have the report prepared by CSS Diagnostic staff.

2. Procedures

a. Timely Responses

The following procedures are to be followed to ensure timely responses and effective communication with respect to the requests from the USMS:

- i. The SOPA will receive an electronic listing from the USMS via email that will state the offender's name, PDID, sentence date, case number, which documents are needed (i.e., the PSI, violation report or both) and the status of the requested information.
- ii. The list is to be reviewed by the Intake Manager to include:
 1. Date stamping the arrival of the listings from the USMS;
 2. Checking the list to ensure that the work is not being duplicated;
 3. Reading thoroughly through the listing to determine how many documents will need to be produced by CSOSA.
- iii. The Intake Manager will then forward the list to the assigned CSA to begin gathering the requested information.

On a daily basis, the CSA assigned to gather the requested information will perform the following functions in an effort to respond to requests

within the aforementioned three (3) business days (from the date of the original request receipt).

b. Retrieving Pre-Sentence Investigation Reports

i. When retrieving the Pre-Sentence Investigation Reports, the CSA will first check SMART for any PSIs that have been prepared (within the last two years) and retrieve the PSI from SMART.

ii. If the PSI was prepared before January 2002, the CSA will check the shared drive of the CSOSA Intranet Information System and retrieve the PSI from that source.

iii. If the PSI is not in SMART and cannot be located on the shared drive, the CSA will then make a request to the File Management Unit to have the closed supervision file pulled and returned if a PSI is in the closed supervision file.

iv. The CSA will make a list of no more than ten (10) requests to the Supervisory Community Supervision Assistant (SCSA) of the File Management Unit, no later than 12:00 noon on the date of the request. The requested files will be pulled and forwarded to the requesting CSA no later than 12:00 noon of the next immediate business day. The request will be made via email to the File Management Unit and will include the offender's name, PDID number, case number and sentencing judge.

v. If the PSI cannot be located after exhausting all of the internal CSOSA resources, the CSA may then and only then, contact the sentencing judge's chambers to locate a copy of the PSI.

vi. If the PSI cannot be located by the CSA after performing the preceding steps, the CSA will then inform the Intake Manager via email that a Post-Sentence Report must be prepared; providing the offender's PDID number, the case number, the sentencing judge's name and the original sentencing date.

c. Retrieving Violation Reports

i. The CSA must first send a list of reports needed to the SCSA of the File Management Unit, requesting that the violation report be pulled from the closed supervision file. The CSA will make a list of no more than ten (10) report submissions by 12:00 noon of the request date.

- ii. The SCSA will notify the CSA of their findings no later than 12:00 noon of the following day. The request will be made via email and will include the offender's name, PDID number, case number and sentencing judge.
- iii. If the violation report is not available in the closed supervision file, the CSA will access the Alleged Violation Reports (AVR) module in SMART to determine if the report is accessible through the system.
- iv. If the violation report is not available through the AVR module, the CSA will send the list of requested reports to the Supervisory Offender Processing Assistant (SOPA), asking that the Court jackets be pulled to ascertain if a violation report(s) is included in any of the Court jackets. The CSA will make a list of no more than ten (10) reports by 12:00 noon of the requesting day.
- v. The SOPA will notify the CSA of the findings no later than 12:00 noon of the following business day. The request will be made via email and will include the offender's name, PDID number, case number and sentencing judge.
- vi. In the event that the violation report still has not been located, the CSA will then, and only then, contact the Community Supervision Officer (CSO) previously assigned to the offender, to determine if a copy of the violation report remains in the unit office files.

d. Transfer of Information

The CSA will transfer the information to the USMS as follows:

- i. Upon receiving all PSIs and/or violation reports, the CSA will create a spreadsheet listing the offenders' names, PDID numbers, case numbers and the information requested
- ii. Once the spreadsheet is completed, a copy of the spreadsheet, along with all documents requested, will be hand delivered by File Management Unit staff to the U.S. Marshal Service Office located in the D.C. Superior Court at 500 Indiana Avenue, N.W., C-Level, Washington, D.C. This information will be delivered on a daily basis.
- iii. The spreadsheet will allow for a signature by the receiving U.S. Marshal Service representative that will verify receipt of information provided.

e. Notification of the CSS Deputy Associate Director

The OPU Intake Manager will notify the CSS Deputy Associate Director of any documents that were not provided to the USMS within three (3) business days of the Court disposition, or the eight (8) week time frame in the case of Post-Sentence Reports.