

Chapter IV: Offender Investigations, Diagnostics and Evaluations

A. Overview of the Investigations, Diagnostics and Evaluations Branch

CSS is committed to providing accurate and timely information and meaningful recommendations to criminal justice decision makers in order to assist them in determining appropriate dispositions for the offenders and/or inmates under their charge. The Investigations, Diagnostics and Evaluations Branch of Community Supervision Services (CSS) is responsible for conducting Interstate, Pre-Release, Pre-and Post-Sentence Investigations and other specialized reports of offenders as requested by the D.C. Superior Court (DCSC), the Federal Bureau of Prisons (BOP), the U.S. Parole Commission (USPC) and states participating in the Interstate Compact for Adult Offender Supervision agreement. These specialized investigations provide important information to criminal justice system authorities that must consider offender criminal and social histories in determining sentencing alternatives, treatment plans, special conditions of release, supportive services and in making institutional classification decisions.

The Investigations, Diagnostics and Evaluation Branch of Community Supervision Services (CSS) also include the Transitional Intervention for Parole Supervision (TIPS) Program. TIPS' responsibilities include a wide range of diagnostic services including the investigation of Institutional Pre-Release plans for offenders who are due to be released from incarceration and be reintegrated into the community-at-large. TIPS staff also conduct investigations on parolees and probationers requesting transfer of supervision from another jurisdiction to the District of Columbia, as well as those previously sentenced in the District of Columbia Superior Court requesting to relocate back to Washington, D.C., through the Interstate Compact for Adult Offender Supervision. In addition, TIPS staff cooperate with the Federal Bureau of Prisons (BOP) and the United States Parole Commission (USPC) in matters relating to offender release, placement, treatment and alternative housing. The TIPS Program is the central CSOSA consultative resource in dealing with various Federal and local law enforcement agencies in the processing of pre-and post-release investigations.

B. Diagnostic Case Management Standards

The Investigations, Diagnostics and Evaluations Branch standards for working files and preparation of the investigation reports are presented below.

1. The Diagnostic Case Working File

The diagnostic case folders are working files in that all information uncovered by the CSO during the investigation process is systematically maintained in a folder in accordance with branch standards. In certain cases, the diagnostic CSO will consolidate old file(s) with a new file so that there is only one file for each offender. All correspondence, criminal records checks, referrals and drug test information are maintained in the file, along with copies of release of information authorization forms. All diagnostic files must contain a copy of the completed investigative report.

The CSO is to maintain an electronic history in the Agency's automated information system of the CSO's progress in completing the investigation by recording e-chronological entries for all contacts to the running record for each case. Once the investigation is completed, the working file is forwarded to the appropriate CSS staff pending sentencing.

2. Professional Judgment and Objectivity

The pre-sentence report and other investigations prepared by the Investigations, Diagnostics and Evaluations Branch are to be unbiased and without any indication of personal prejudice, animosity or favor on the part of the writer toward the offender and the crime committed. All judgments made by the CSO within the report are to be objective and supported by verified, factual information, with sources clearly identified. The diagnostic report must be accurate and pertinent to the purposes of the requesting authority. The source(s) of all key information must be cited, specifying the date and person(s)/document providing the information.

When statements are made reflecting the diagnostic writer's professional judgment, the statements must be identified by the use of such wording as, "it is felt that" or "it is this officer's opinion". In this way, nothing written in the report is unsubstantiated or subjective. In accordance with the American Bar Association (ABA) standards, if a source feels that disclosure of certain information would result in harm to that source, or if some other detrimental effect is believed likely, the source should be identified in the report, but the CSO also may request that the sentencing judge maintain confidentiality as to that source prior to disclosing the contents of the report to counsel. In PSIs, the CSO may forward particularly sensitive material to the sentencing judge in a separate memorandum with the approval of the SCSO.

C. Types of Investigations

CSS staff conduct several types of specialized investigations. These reports differ in content and scope, based on the informational needs of the reviewing authorities. The reports are:

Pre/Post-Sentence Investigations:

1. Criminal
2. Traffic Alcohol
3. Sex Offender
4. Criminal Records Checks;
5. Home Study
6. Special
7. Interstate Compact
8. Pre-Release Home and Employment Plans
 - a. Direct/Institutional Plans
 - b. Residential Re-entry Center (RRC) Plans
9. Relocation Plans

Criminal Investigations, Pre/Post-Sentence Investigations, Traffic Alcohol Investigations, Sex Offender Investigations, Home Study Investigations, and Special Investigations are conducted by diagnostic CSOs. Interstate Investigations, Release Plan Investigations, and Relocation Plan Investigations are conducted by TIPS CSOs.

1. Pre/Post-Sentence Investigations

The Investigations, Diagnostics and Evaluations Branch intake process begins when an offender is convicted of a criminal charge and referred by a D.C. Superior Court judge or a commissioner for a PSI investigation, or when a request is received from the BOP or the D.C. Superior Court judiciary for a Post-Sentence Investigation. The various reports are submitted in accordance with prescribed timelines established through formal inter-agency agreements among CSOSA, the Court, and other criminal justice system entities. These in-depth reports require a thorough investigation into the background of each defendant (pre-sentence investigation) or offender (post-sentence investigation) and include the charges and outcome(s) of all previous offenses.

a. Pre-Sentence Investigations (PSIs)

The PSI is a comprehensive written report prepared and submitted upon request of the judiciary of the D.C. Superior Court. The primary purpose of the PSI is to provide information that will significantly assist criminal justice and corrections decision makers in understanding the treatment and supervision needs, risk potential and classification requirements of each individual offender and/or inmate. The PSI also is shared with and forwarded to other criminal justice system users (i.e., the Federal Bureau of Prisons, Interstate Compact authorities, etc.) to support informed decision making in other settings. The PSI contains information about the history and characteristics of the offender including: family, criminal, employment, health, substance abuse/addictions, lifestyle, living environment and financial information. Other important circumstances and information that may affect the offender's behavior and ability to comply with direction and supervision also are included in the PSI. To every possible extent, the PSI will address those criminogenic factors that contributed to the offender's past and present involvement in criminal offenses.

b. Post-Sentence Investigations

The Post-Sentence Investigation report is similar in content to the PSI, but is conducted on offenders who have already been convicted and sentenced. The report is done at the request of the Bureau of Prisons (BOP) and is used to make security classification decisions for the incarcerated offender.

c. Pre-/Post-Sentence Report Elements

These investigative reports include the following data elements:

- i. Contacts;
- ii. Offense;
- iii. A USA Statement;
- iv. Victim Impact Statement;
- v. Defendant's Statement;
- vi. Defense Attorney's Statement;
- vii. Prior Criminal Record:
 - a. Juvenile Arrest Record
 - b. Adult Arrest Record
- viii. Pre-Trial, Probation, Parole, Supervised Release, Pre-Disposition and/or Institutional Adjustment Report(s);
- ix. Employment History;
- x. Social History;
- xi. Health;
- xii. Comments and Assessments;
- xiii. Other Significant Information;
- xiv. Substance Use/Abuse;
- xv. Evaluation and Diagnosis;
- xvi. Criminal History Score (PSI only);
- xvii. Intervention Plan
- xviii. Suggested Special Conditions
- xix. Recommendation

d. Victim Impact Studies

Pursuant to the Victim and Witness Protection Act of 1983, Superior Court judges also may order that a Comprehensive Victim Impact Statement be completed by the CSOSA Victims Services Unit. In such instances, a specific format and formal protocol will be followed as prescribed in the Investigations, Diagnostics and Evaluations Branch Manual.

e. Application of Sentencing Guidelines

Preparation of the PSI report also must include the calculation of the offender's criminal history score, as determined through application of the DC Sentencing Guidelines (see Appendix I, Sentencing Guidelines Guide for Scoring Criminal Record).

2. Traffic Alcohol Investigations

For offenders with traffic alcohol charges pending sentencing, Traffic Alcohol Investigations identify an offender's substance and alcohol abuse and history, and the offender's willingness to commit to not driving while under the influence of drugs and/or alcohol.

The Traffic Alcohol Program (TAP) diagnostic report is the document by which the investigating CSO makes an assessment as to the existence and seriousness of the defendant's drinking/drug related behaviors. If a drinking/drug problem is found to exist, the CSO will make a recommendation(s) in the report that will focus on a variety of remedial steps and the appropriate course(s) of treatment to be pursued by the offender during the period of supervision.

The Traffic Alcohol diagnostic function begins when the defendant has been convicted of traffic related offenses. Traffic Alcohol Investigations are processed at the point of intake. Investigations of defendants who have entered a plea or been found guilty of a traffic alcohol offense or any traffic related offenses may, however, be referred by the Court for a diagnostic report.

The Traffic Alcohol Investigation Report is prepared on all traffic alcohol related offenses and normally takes seven (7) weeks and two (2) days to complete. In instances where the defendant was involved in an automobile accident involving personal or property damage, the judge may order specific information as to monetary restitution amounts to the victim.

3. Sex Offender Investigations

Sex Offender Investigations provide detailed information on the sex offender behavior of the individual and his or her victimization patterns of past and present crimes. Additional sections of the investigation report focus on the specific nature of the sex offense(s). The report emphasizes whether or not a treatment plan can be formulated, based on the offender's motivation for treatment; the offender's prognosis for rehabilitation; and whether the offender can be monitored in the community without undue risk of potential harm to the general public.

Sex offenders pose unique challenges in the field of criminal justice that require special attention and expertise in both diagnostic and supervision efforts. Research and experience in the field of sex offender case management and treatment have shown that there are many types of sex offenders. Research also has shown that sexually deviant behavior is often chronic in nature. In addition, a sex offender may have multiple victims prior to his/her first arrest. Sex offending behavior also can escalate in severity over time, and there is no "cure" for this type of behavior.

Perhaps most significantly, extensive research and experience have found that sex offenders often appear, to the untrained person, to be cooperative and seemingly benign individuals. This deceptive characteristic can, however, enable sexually deviant behavior to go unsuspected, undetected and unimpeded. The Sex Offender Pre-Sentence Investigation is to be conducted in a manner and with a proficiency that serves to uncover the full extent of an offender's past sexual deviancy and patterns of victimization. In the Sex Offender Investigation report, it is important for the investigator to identify significant risk factors that can determine the offender's potential to re-offend and/or successfully complete a period of community based supervision.

The investigator is to focus specifically on an offender's past sexual offending behavior patterns in order to provide the releasing authorities with pertinent, timely and accurate information so that informed decisions can be made. The investigative report also assists the supervising authorities (i.e., probation, parole or correctional facility) in their continuous monitoring of the sex offender.

The Sex Offender PSI also will provide pertinent and thorough background information to enable effective offender classification and assessment decisions to be made continually and support the informational needs of potential treatment providers.

4. Home Study Investigations

Home Study Investigations are conducted by order of the Court in certain domestic relations/civil matters wherein the Court requests an investigation of the home and/or residential circumstances of a parent or guardian seeking visitation privileges and/or custody of a minor child (or children) prior to granting such privileges. In most instances, the parties associated with these matters are related, and there has been a disruption or separation of the normal family circumstance. The investigation centers around ensuring the continued health, safety, and general well being of the minor child or children involved. The investigation's focus is on revealing the impact that visitation will have upon the child.

The Family Division of the D.C. Superior Court has jurisdiction over Domestic Relations matters. In this context, a domestic relations matter is defined as a civil case, normally involving issues such as divorce, separation, visitation privileges and/or child custody rights. With the passage of the Domestic Violence Amendment Act of 1990, a recurring duality in custody proceedings had been recognized.

Experience had shown that persons who are involved in domestic violence disputes in which Civil Protection Orders (CPOs) have been issued, are oftentimes themselves found to be petitioning the Court for custody of children or review of visitation rights. The complexity of these disputes requires that a Home Study Investigation be conducted prior to custody dispositions in certain Domestic Relations cases. The Court will order a Home Study Investigation if a civil protection order has been issued at the same time there is a pending dispute between the parties as to the custody of children and/or visitation rights.

The Home Study Investigation is prepared by a diagnostic CSO and consists of an in-depth examination of the home situation and/or residential circumstances of a parent, guardian or other involved person(s) petitioning the Court for visitation or custodial rights involving a minor child.

The Diagnostic CSO must recognize that the gravity and complexity of these cases arise from the conflict within the family, the contested placement decision of the children, and the highly charged issues of parental/custodial rights. The Diagnostic CSO must be guided by the fact that the child's welfare is the primary consideration in Domestic Relations cases, with the interests of the family/conflicting parties being of secondary concern.

The safety of the child/children must be established before the Court grants visitation or custodial privileges to either of the conflicting parties or a guardian.

In addition to ordering the investigation, the Court also may include drug, alcohol, and/or psychiatric testing for the parents and/or child as special conditions. Once the Home Study Investigation is completed, CSOSA has no further responsibility to the Court or the family in Domestic Relations matters, unless the Court orders further involvement.

a. The Home Study Format

The Home Study Investigation Report includes the following data elements:

- i. Date;
- ii. To;
- iii. Re;
- iv. Case;
- v. Subject;
- vi. Introductory Statement;
- vii. Current Status and Statement of Problem;
- viii. Contacts Made;
- ix. General Social Background;
- x. Principal(s) (By Name);
- xi. Observation of Home Environment;
- xii. Other Resource(s);
- xiii. Evaluative Summary;
- xiv. Recommendation;
- xv. Signature of Investigating CSO; and
- xvi. Signature of Reviewing SCSO.

5. Special Investigations

Special investigations are conducted by the Transitional Intervention for Parole Supervision (TIPS) CSO to obtain specific information requested by state correctional institutions and paroling authorities on inmates in **pre-parole/supervised release status**.

The special investigation provides specific information needed by a correctional institution to assist paroling authorities in formulating an offender's parole plan that will determine whether an inmate is to be released and under what circumstances. Once the investigation is completed, a memorandum is prepared and sent to the requesting agency.

The report content varies, depending on the information needed by the institution or paroling authority. The investigation is prepared in a memorandum on official CSOSA letterhead and provides specific information that includes two or three areas of concern that were identified in the requesting institution's original correspondence.

The CSO conducting the investigation is given four weeks to prepare the report, unless the information requested is needed by a specified date less than four weeks. Extension of the

due date for the submission of the investigation must have the endorsement of the SCSO and the approval of the Branch Chief. If the extension date is approved, the Branch Chief will contact the correctional institution to obtain a revised date for the submission of the investigation.

6. Interstate Investigations

Interstate Investigations are conducted to verify the residence and employment status of an offender whose criminal justice status originates in another jurisdiction, but who desires to relocate and reside in the District of Columbia. The report used by Community Supervision Officers (CSO's) investigating offenders who seek to reside in Washington D.C. is a specialized form utilized in accordance with the requirements of the Interstate Commission for Adult Offender Supervision. The purpose of the Interstate Commission is the prevention of crime through the management, control, and supervision of offenders who are approved to reside in a jurisdiction other than the community (state) where the originating offense/ conviction occurred.

An Interstate Compact case involves an offender who is serving a term of either probation or parole at the time that the offender makes an application to reside in a locality other than the original sentencing jurisdiction. In addition, inmates serving time in a correctional facility also may make a request (prior to release to community supervision) to be supervised in a location other than the original sentencing jurisdiction. Those D.C. Code offenders, who are released to supervision (parole, supervised or mandatory release) and request to reside in a jurisdiction other than the District of Columbia, will be supervised by the U.S. Probation Office in the jurisdiction in which they wish to reside. The U. S. Probation Office in the state where the inmate desires to reside will investigate the inmate's proposed home and employment circumstances and advise the United States Parole Commission (USPC) of the acceptance or rejection of the inmate's case upon his or her release to community supervision.

The Interstate Compact: 1) provides a simple and legal method wherein offenders may move to a better rehabilitative environment outside the originating state, without losing the advantages of supervision or escaping from the jurisdiction of the state in which they were sentenced; 2) provides for the return of violators without a prolonged judicial process; and 3) provides for the sharing of other criminal and social information and the option of cooperating in other investigative and/or supervision activities involving the requesting states.

a. The Reply to Transfer Request

The "Reply to Transfer Request" indicates that the District of Columbia, based upon its investigation, either does or does not agree that the offender can reside in this jurisdiction for the duration of his/her supervision term. The form also identifies the reasons for acceptance or rejection.

b. Production and Submission of Report

The TIPS CSO will conduct the investigation of the request for Interstate transfer supervision and prepare a report to accept or reject the request within thirty days of case receipt. Once completed, the report is submitted to the unit SCSO who will review the investigation and, if found to be in order, sign off and forward the investigation to Deputy Compact Administrator for further processing.

c. Interstate Investigation Report Formats

i. Probation

The forms entitled the “Reply to Transfer Request” and “Reply to Investigation Request” are completed and forwarded to the requesting and sending jurisdictions, respectfully, upon completion if the investigation.

ii. Parole

D.C. code parole cases are transferred between U.S. Probation offices and are not transferred under the Interstate Commission.

d. Memorandum Notice of Acceptance or Rejection

The memorandum, Notice of Acceptance or Rejection, is a formal correspondence advising the requesting agency that CSOSA has completed the investigation process and will accept or reject the offender for courtesy supervision. The correspondence is to indicate the date that the home contact was made, person(s) with whom the CSO talked, description of the dwelling, verification of the employment plan, and reporting instructions for the offender.

e. Residence and Employment Requirements

Prior to acceptance, all offenders must have an approved home and employment plan or a verifiable means of support. The plan required for this report must include a verifiable residence and place of employment (training, educational programs and/or treatment programs, when available). The plan must be approved by the assigned diagnostic CSO, the SCSO and the Deputy Compact Administrator (DCA). The Compact states have agreed, however, that an “opportunity shall be granted to the receiving state to investigate the home and prospective employment of such person.”

To be considered a resident, the offender or his family must have been an actual inhabitant of the state continuously for more than six months prior to the offending coming to the sending state. The probationer/parolee case also should be accepted when it appears there is a plan for the individual that has merit and will serve to aid in his/her ultimate rehabilitation.

The Compact Administrators will not reject an offender for supervision based solely upon the fact that he or she is unemployed. Compact rules require the offender to have a viable means of support. If unemployed, the offender's family must agree to provide the offender practical support, pending employment. It is expected that the offender actively seeks employment, enrolls and becomes actively involved in a training program and/or enroll in school. Employment may be verified through pay stubs and/or an on-site job visit. Upon completion of the investigative report, the TIPS CSO, with the approval of the TIPS SCSO, shall render a recommendation for acceptance or rejection to transfer supervision. The decision to accept or reject supervision will be determined by the Compact Administrator or designee.

f. Interstate Transfer Investigations and Case Assignment Procedures

The following section will provide instructions for investigation teams, supervision officers and Offender Processing Unit (OPU) staff who are responsible for the investigation and assignment to supervision of offenders who request to transfer to the District of Columbia from other jurisdictions. Interstate cases are assigned to the Investigations, Diagnostics, and Evaluations Branch, which ~~are to~~ determines an offender's eligibility to transfer to the District of Columbia and ~~to~~ verifies acceptability of the offender's address and employment

g. Standards for Investigation Assignments

The following instructions are specific to the assignment of cases for interstate.

- All completed interstate investigations must receive prior approval from the Deputy Compact Administrator before acceptance. The DCA will forward completed acceptances to the OPU for assignment to supervision teams. All rejected requests for interstate transfer will receive the appropriate response to be forwarded to the sending jurisdiction.
- Not all requests for interstate supervision under the mandatory acceptance criteria will be assigned to the investigation teams for processing. Most interstate transfer cases will be assigned and documents forwarded directly to the supervision teams. However, the Deputy Compact Administrator will continue to reserve the authority to assign any mandatory acceptance containing questionable information to the investigation teams for appropriate action. Cases that will no longer require interstate investigation are:
 - District of Columbia residents committing offenses in other jurisdictions and currently under supervision; and

- All mandatory acceptance cases where the reporting instructions have been issued.
- All supervision teams assigned mandatory acceptance cases or cases assigned with reporting instructions, must initiate supervision standards, in accordance with agency guidelines for a new case assignment.
- At the conclusion of the interstate investigation, investigation officers will complete, as part of the interstate package, the Interstate Reply to Transfer Request Form (see attached); however, the offender must be granted at least 7 to 14 calendar days to appear for supervision.
- Offenders that are District of Columbia (DC code) violators that have served a period of incarceration and released under the authority of the United States Parole Commission (USPC) are not required to request transfers to other jurisdictions via the interstate compact agreement. DC code offenders released under the authority of the USPC and reside in other jurisdictions are to be supervised by the United States Probation Office (USPO) in the designated jurisdiction. The transfer is facilitated through the Federal Bureau of Prisons (BOP) relocation process prior to release to community or by way of a letter after release requesting courtesy supervision. All DC code parole and supervised released transfer approvals must be through a certificate of release granted by the USPC (BOP facility) or an acceptance letter from the USPO agreeing to courtesy supervision (offenders residing in DC prior to transfer). The investigation teams are to make every effort to ensure that transfers are granted through the certificate of release whenever possible (BOP releases only). Offenders receiving courtesy supervision may have the courtesy revoked at anytime by the USPO and must return to the District immediately.
- The investigation teams will not be responsible for the investigation of any offender returning to the District under the authority of the USPC. Offenders returning to the District are to be assigned by OPU immediately to supervision teams for appropriate action.
- No statement written or implied in this document shall preclude District of Columbia code violators under the authority the D.C. Superior Court or other state code violators from compliance with the interstate compact process. All probation matters

pending transfer must comply with interstate compact procedures.

7. Pre-Release Home and Employment Plan Investigations

Release Plan Investigations require a thorough investigation into the background of each offender, similar to the preparation of PSI's. A review of the offender's prior criminal record, substance abuse, supervision and social history is conducted to develop a comprehensive supervision plan. The process begins when CSOSA receives a request from the Federal Bureau of Prisons (BOP) to prepare a release plan investigation for an offender who is due to be released soon from a BOP correctional institution. Two types of release plan investigations are conducted: Institutional Release Plan Investigations and **Residential Reentry Center (RRC)** Designation Pre-Release Plan Investigations.

a. Direct/Institutional Plans

Institutional Release Plan Investigations are prepared for inmates who are released from a correctional institution directly to the community (i.e., supervised releasees, mandatory releasees and parolees) without a RRC transition. The Institutional Release Plan Investigation includes a home and employment investigation (in a few cases when a place of employment is identified). Institutional Release Plan Investigations should be received from the BOP at least **8 months** prior to the offender's effective release date or designation date to a Residential Reentry Center.

b. Residential Re-entry Center (RRC) Plans

Home Plans are investigated for inmates designated for or transferred to RRC during the pre-release phase of incarceration. Proposed home and employment plans should be received by the TIPS CSO from the Federal BOP or BOP contract Case Manager approximately **8 months** prior and 30-45 days prior to the offender's projected release date, respectively. In some instances, the TIPS CSO will initiate the development of a home and employment, if indicated. The TIPS CSO shall investigate the proposed plan(s) submitted by the RRC Case Manager to ensure stability and suitability. The TIPS CSO identifies risk and needs and coordinates linkages to services.

c. TIPS Case Assignment of Proposed Home and Employment Plan Investigations

All proposed investigations are to be assigned to a TIPS CSO by the Offender Processing Unit (OPU). Once a request is received from the Federal BOP and/or the BOP contract case manager, the TIPS CSO will review the proposed home and employment plan (if, applicable), and other critical and supporting documents, which may include but are not limited to: Institutional Progress reports, PSIs, medical reports, mental health screenings/evaluation(s), sentry reports, psycho-social documents, and other relevant documents.

The TIPS CSO reviews the release plan, required criminal data bases, including WALES/NCIC, CIS, SENTRY, SMART to ensure time structure, review institutional programming, identify any individual needs and risk, if the data is available, accuracy of data to support the investigation. The CSO also will determine from SENTRY the date and location of the RRC placement, if applicable. The CSO also will review the SENTRY time computation screen to determine the offender's supervision full term expiration date, which will be included in the case file and the Reporting Instructions Sheet.

The TIPS CSO will review the file and the Notice of Action (NOA) to determine if the USPC has made any special recommendations for supervision and to determine the level of preparation needed to provide effective supervision. The NOA also will identify any special conditions to be imposed on the offender's release by the USPC.

The TIPS CSO also shall review the offender's Judgment and Commitment Order (J&C) to identify any other special conditions the offender may have, as well as to determine if the special condition(s) has been satisfied.

d. Offenders With Special Needs or Conditions

Based on a review of the NOA and J&C, the offender may be identified as having special needs or conditions of release. The TIPS CSO will determine an appropriate supervision unit assignment, based on all facts and documents received during the investigation using the CSS special supervision criteria and information available.

i. Residential Treatment (General & Mental Health Offenders)

If residential treatment has been recommended, the Central Intervention Treatment (CIT) staff will prepare a treatment package that includes the offender's Performance Contract, Accountability Contract, and Release of Information forms. These documents are to be faxed to the BOP or RRC Case Manager, as appropriate, for the offender's signature and returned to the CSO via fax. The CSO will contact the BOP or RRC Case Manager and request a copy of the offender's Tuberculosis test or will refer the inmate to a community clinic/health center if the offender is in a CCC. TIPS CSO will assist, if needed.

When the treatment package is completed, reviewed, and signed by the SCSO, the CSO will forward the package and any additional information needed to CSOSA's **Reentry and Sanctions Center (RSC)** for review. If the offender is accepted for placement (the day of placement will be the same day of the offender's release from the institution), the TIPS CSO will prepare an approval memorandum or release plan form and fax it to the BOP or RRC case manager.

The memorandum will provide the offender's treatment placement and admission date to the BOP or CCC Case Manager. If the offender does not meet the High Intensity Drug Trafficking Area (HIDTA) criteria for placement at the AOC, CIT will place the offender with other CSOSA treatment vendor(s).

▪ **TIPS Referral Criteria to the Re-Entry and Sanctions Center (RSC)**

The referral process to the Re-Entry Sanctions Center (RSC) is managed by Community Justice Programs. At full capacity, the RSC has approximately one hundred two available spaces for re-entrants, pretrial commitments, supervision sanctions and probation split-sentence releasees. The Diagnostic branch will ensure that the RSC admissions process is consistent with the operational requirements of TIPS and its release plan investigation obligations.

▪ **Mission Statement**

The mission of the Re-entry and Sanctions Center is to provide intensive assessment and reintegration programming for high-risk offenders/defendants and residential sanctions for offenders/defendants who violate their release conditions.

The program is designed to house the offender for a period of **28 days prior to release to the community.**

▪ **Referral Population**

The RSC is designed to service four primary populations of offenders:

- ❑ Offenders from a Federal Bureau of Prisons facility released to community supervision under the authority of CSOSA.
- ❑ Offenders who are misdemeanants or pretrial referrals located in a District of Columbia Department of Corrections facility.
- ❑ Offenders who are sentenced to a period of incarceration prior to being released to probation supervision (split-sentence offenders).
- ❑ Offenders who are currently under supervision with pending violations.

For the purposes of TIPS operation, the sole focus will be on the population released from the Federal Bureau of Prisons. TIPS, competing for bed-space with other designated populations, will provide referrals to the RSC from the **male** BOP population and the **mental health** that are: 1) homeless; 2) high risk offender (including substance abuse, high criminality, and dually diagnosed); 3) rejected by BOP for Public Law Placement; and 4) ineligible for halfway house referral or placement. Not any one factor will control whether an offender should be referred to the RSC.

In considering offenders for the RSC, the TIPS CSO should be assessing the most difficult to place offender with the greatest need for intensive in-patient services. Each case must be assessed on an individual basis. The fact that an offender may be homeless is not a deciding factor when viewed in isolation. If coupled with a history of mental health issues or multiple supervision failures or an extensive criminal history, the offender may then merit referral to the RSC.

▪ **The TIPS Investigation and Referral Process**

The standard procedure for the processing of a TIPS investigation includes the receipt of the release plan from the Federal Bureau of Prisons, at least six months prior to the release of the offender. Additionally, the assignment of the investigation from the Offender Processing Unit to a TIPS team should occur six months prior to the offender's release from incarceration. The TIPS CSO will be expected to identify potential referrals to the RSC by a review of all available data regarding the offender's background between 45 and 120 days of release. It is expected that the CSO will review:

Databases: SMART; NCIC; SENTRY; IJIS; JACCS and all other available systems

Reports: Drug Testing; AVRs, PSIs, BOP documents; CIT assessments and all other available documents

Other Documents: Notice of Actions; J&C special conditions; prior supervision, revocations, disciplinary reports, medical records, etc.

The referral package should include the following items, when available:

1. Current USPC Notice of Action;
2. Judgment and Commitment Order
3. Sentry Time Computation/Sentence Structure Record
4. Pre-sentence Investigation Report, if not located in SMART
5. BOP Progress Report
6. BOP Medical Form (to include TB Test results, if available)
7. SENTRY Disciplinary Report

Note: additional information may be requested on a case by case basis.

▪ **Eligibility Criteria for Mental Health Offenders**

To be eligible for referral to the RSC-Mental Health floor, the offender must:

- ❑ Have six (6) or more months remaining on supervision;
- ❑ Have a documented Substance Abuse History
- ❑ Be assessed as high risk (i.e., extensive criminal history, high criminality, threat potential to self or community, etc.), per the AUTO Screener, if applicable.

In addition to meeting the required eligibility criteria for referral to the RSC, the offender also may have one or more of the following criteria:

▪ **Mental Health Reference Guide**

There are at least five profiles or categories of mental health offenders who may require screening, assessments/evaluations and/or subsequent treatment services:

Category I: Offenders who may or may not have a past history/ current mental health diagnosis and present with mental health issues as documented in prior psychological reports, PSI, Judgment and Commitment Order, BOP progress report, self-report, CSO observations/ impressions, prior assignment to a mental health team, supervision records, other related sources

Category II: Offenders with a history of having been diagnosed with a mental illness in the past and/or were placed on psychotropic medication. At

mental health screening, the offender is not on medication and has been drug free, due to a period of incarceration. The offender does not have any psychotic symptoms at screening.

Category III: Offenders receiving psychological services at a BOP/RRC facility to address a co-occurring mental health disorder. The offender may or may not be compliant with treatment or taking prescribed psychotropic medication.

Category IV: Offenders receiving psychological services at a BOP/RRC facility to address a co-occurring mental health disorder. The offenders have psychotic symptoms such as delusions and hallucinations and may have a severe thought disorder.

Category V:

a) Offenders receiving psychological services at a BOP/RRC facility and present with suicidal or homicidal ideations, thereby significantly increasing the offender's risk to public safety and/or to self.

b) Offenders who also may present with manic personalities and appear to be out of control, threatening, and highly agitated.

▪ **Exclusionary Criteria**

Offenders ineligible for referral to the RSC include offenders who have a history of arson (arrest, charge, and/or conviction). Offenders with a sex offense history can be referred to the RSC; however, these offenders will be reviewed on a case-by-case basis.

After review by the RSC Program Director or designee, an acceptance or rejection will be provided to the TIPS staff within 3 – 5 days or by the specified time stated in the referral package. If the Program Director approves acceptance to the RSC, the TIPS CSO must approve a release plan for BOP designating the RSC and request that as a special condition of release, the offender is required by the United States Parole Commission (USPC) to participate in the program. In the event that program

acceptance is not obtained, the RSC Program Director will refer the package submitted by TIPS to CIT for evaluation. Upon receipt of the CIT assessment, the CSO is to follow normal protocol to ensure that the BOP is notified of the approved release plan and the USPC is notified of any special conditions that may need to be added.

FIGURE IV.1

Reporting and Sanctions Center Referral Form

OFFENDER INFORMATION			
LAST NAME:		FIRST NAME:	
DCDC #:		RELEASE DATE:	
FEDREG#:		RSC RESPONSE TO REFERRAL DUE:	
PDID#:			
REASON FOR REFERRAL (check one or more):	<input type="checkbox"/> <i>High Risk</i> <input type="checkbox"/> <i>High Criminality</i> <input type="checkbox"/> <i>Homeless</i> <input type="checkbox"/> <i>Mental Health</i> <input type="checkbox"/> <i>PLP Denial</i>		
Known Physical Limitations			

<i>Attachments</i>	
	<i>Pre-Sentence Report- (Copy not in SMART)</i>
	<i>Judgment and Commitment Order</i>
	<i>Notice of Action (Copy not in Smart)</i>
	<i>USPC Order</i>
	<i>BOP Progress Report</i>
	<i>BOP Medical Form to include any available TB test results</i>
	<i>Sentry Computation-Sentence structure</i>
	<i>Other (please explain):</i>

Community Supervision Officer Signature

Date

Supervisory Community Supervision Officer Signature

Date

ii. Sex Offenses

In sex offender cases, the TIPS CSO needs to ensure that adequate preparation is made for the offender's return to the community. To ensure public safety, the TIPS CSO will review the documentation with the Sex Offender Team staff. The TIPS CSO also will prepare a psychosocial referral package for a mental health screening to determine the offender's treatment needs/placement by contract psychologist. In some cases, an inmate or offender may be scheduled for a mental health evaluation appointment while at the RRC or upon release, respectfully, as indicated. In addition, the TIPS CSO shall determine the suitability of the proposed residential address or if an alternative release plan is necessary.

iii. Domestic Violence

In domestic violence cases, the TIPS CSO will ensure that the proposed release plan does not violate any Civil Protection Order (CPO) or other special conditions within that sentence. In cases where a history of domestic violence has occurred, the TIPS CSO will ensure that the offender is not released to the identified address where the incidents occurred and, instead, will request that the USPC order a special condition for the offender to stay away from certain people or location(s), in addition to receiving domestic violence counseling and related treatment services.

iv. Significant Health Issues

In instances where significant health issues have been identified, the TIPS CSO will request medical documentation from the BOP Case Manager and will ensure that the offender's release plan includes a referral for health services to address any ongoing medical condition. The goal is to have a continuum of care in place for the offender upon the offender's release.

In some cases, an inmate or offender may be scheduled for a health evaluation appointment while at the CCC or upon release, respectfully, as indicated.

v. Alternative Placement

In alternative placement cases, the TIPS CSO will establish contact with community based transitional programs to determine the offender's suitability for placement.

If transitional placement is not deemed appropriate, the TIPS CSO will forward a release memorandum with a recommendation for Public Law Placement.

- vi. High Criminality/Serious Substance Abuse Histories**
In high criminality matters or cases with serious substance abuse histories, where the offender has not been afforded a RRC placement, the TIPS CSO will forward a release memorandum to the BOP case manager and the USPC with a recommendation for Public Law Placement.

e. Conducting the Home and Employment Plan

For all release plan investigations, the TIPS CSO will investigate the offender's proposed home and employment plan. The TIPS CSO will contact a resident of the proposed residence and will schedule a home investigation. If the home residence is deemed appropriate, CSO will prepare an approval memorandum and fax it to the BOP Case Manager for Institutional Investigations. In CCC investigations, the CSO will approve or deny the home and employment plan on the standard CCC release plan form from the CCC Case Manager. The CCC Case Manager will then forward the release plan form to the Center Director for approval of the CCC Designation Pre-Release Planning Investigations. In addition, the CSO will prepare the reporting instruction sheet to be signed by the offender and faxed back to the CSO or the officer at the CCC for signature by the offender. If an employment plan is noted with the offender's current or proposed employment, the CSO will contact the employer to schedule an employment investigation.

For institutional investigations, the TIPS CSO has 60 days prior to the offender's 10% date, as defined in the offender's computation sheet, to complete the release plan investigation. A memorandum with the results of the home and employment investigation, if applicable, will be sent to the BOP institutional case manager. For RRC Designation Pre-Release Plans, which have a shorter turnaround time, the CSO must complete the investigation prior to the offender's release.

f. Employment Verification Requirement in SMART

It is of great importance that CSOs understand that the entire employment information screen must be completed in SMART. In addition to indicating an offender's employment status, i.e., "unemployed" and the reasons for that particular status, i.e., "incarcerated", etc., the CSO must also ensure that the verification portion of the screen in SMART is fully completed as well. This information must be completed in all instances and without exception.

g. Denial of Home and Employment Plan

Upon investigation of the offender's home and employment plan, the TIPS CSO may deny the home or employment plan for any number of reasons. Some common reasons the CSO may deny the release plan during the TIPS investigation may include:

- i. The CSO is unable to establish contact with the resident or owner, or the resident or owner is unwilling to cooperate with the scheduled home visit;
- ii. The resident or owner is unable to verify ownership of the residence;
- iii. The resident or owner does not permit the offender to reside there upon release (i.e., not enough space, prefers the offender to enter residential or transitional housing, etc.);
- iv. The CSO determines that there are already too many occupants in the residence, there will be a hardship to the family, or the occupant refuses to allow offender to return with or without explanation;
- v. The person is a sex offender who is barred by D.C. Public Housing Authority policy from residing near a school or some other exclusionary criteria;
- vi. The residence is not located within the geographical boundaries of the District of Columbia;
- vii. The NOA or J&C Order requires the offender's placement in an inpatient or residential treatment setting immediately upon release;
- viii. The CIT recommendation was included in the PSI (instant offense), and the offender has a recommendation for inpatient treatment;
- ix. The CIT assessment was conducted while the inmate was located at an institution, and the recommendation is for inpatient treatment;
- x. Institutional staff (i.e., medical and/or mental health professionals) recommend inpatient placement for the offender to address mental instability or medical issues;
- xi. The offender is a pedophile who proposes to reside where children are known to visit the residence;
- xii. The offender is a pedophile who wants to reside near schools, recreational centers, day care centers, etc., where children are known to frequent;
- xiii. The proposed residence will violate a current Civil Protection Order or special condition in a Domestic Violence case;
- xiv. Per CSO discretion, the residence is situated in or near the neighborhood where the instant offense occurred. At the discretion of the CSO, the proposed residence may be denied because the location is where illegal activity occurs, or it may not be conducive to one's recovery;
- xv. Another offender resides at the proposed residence (unless approved by the CSO and SCSO); or
- xvi. The offender meets the criteria for Public Law Placement.

h. Public Law Placements (PLPs)

The following suggested criteria should be used when determining the appropriateness of PLPs as a recommendation for release. The criteria fall into six primary categories with suggested halfway house lengths of stay.

- i. **Homeless Offenders.** Homeless offenders are defined as persons who do not have a home and lack a residence in the District of Columbia for release. The recommended length of stay in these matters is usually 90 to 120 days.
- ii. **High Risk Offenders.** High-risk offenders may include:
 - 1. Substance abusers with a documented history of chronic substance abuse with no evidence of a substance abuse treatment intervention. Recommended length of stay is 60-120 days;
 - 2. Substance abusers with a documented history of chronic substance abuse with some treatment interventions and no significant periods of sustained abstinence post-treatment. Recommended length of stay is 60-120 days;
 - 3. Substance abusers with a documented history of chronic substance abuse and have participated in an institutional substance abuse treatment program such as CENIKOR or similar **DC Department of Corrections** programs. Recommended length of stay is 45-90 days; and
 - 4. **Offenders who present a** high-risk history of high criminality (more than two felony convictions with prior supervision failures). Recommended length of stay is 90-120 days.
- iii. **Health Risk Offenders.** Medical offenders who present with medical disabilities and are unable to work because of disability. These persons will apply for SSI services upon release to community supervision and would benefit from transitional assistance to assist with coordinating medical support services. Recommended length of stay is 60-120 days.
- iv. **Mental Health Offenders.** Mental health offenders (on a case by case basis) may be:
 - 1. Persons who present with a history of mental health conditions and do not require medication. (Need most recent psychological status report). Recommended length of stay is 60-120 days; or
 - 2. Persons who present with a history of mental health conditions, stabilized on medications and, if applicable, have a history of stabilization/adjusting well in the community. (Need most recent psychological status report). Recommended length of stay is 90-120 days.

- v. **Offenders With No Suitable Home and/or Support.** Offenders who lack a suitable release address / family / significant other and lack practical support have had a home address investigated and denied.
- vi. **Expedited Cases.** Expedited cases are parole revocation cases where the offender needs a transitional halfway house experience to assist with reducing risk level and increase opportunities for successful completion of supervision. Recommended length of stay is 30 to 60 days.

Infrequently however if, during the course of the investigation, the offender is currently assigned to a General Supervision Unit CSO, the TIPS CSO will initiate contact with the GSU CSO to advise that a TIPS investigation is currently active. This will ensure continuity of supervision and assist the GSU CSO with accurate information on the offender's status.

i. TIPS Referrals for Shelter Placement

With respect to the referral of offenders transitioning from incarceration to community-based shelters, it has been the long-standing practice in TIPS that shelter referrals are to be made only as a residential placement of last resort. Shelter referrals are to be made only under the following circumstances:

- Expedited requests and the offender does not have a fixed address
- Public Law request has been denied
- Offender is ineligible for public law placement and has no fixed address
- Requested residence deemed unsuitable for reasons of public safety and/or detrimental to the offender's successful transition to the community
- Offender has an outstanding Detainer and no fixed address of record.

To determine whether shelter placement is the most viable option, staff must complete a thorough review of the record in order to exhaust other placement options. The preference of all shelter placement referrals is for facilities that feature a transitional program. When possible, TIPS staff must attempt to secure a bed with the shelter's transitional component, however, in most instances, shelter programs generally require self-enrollment and entrance through the component for a transient population. It is also important to note that when making shelter recommendations for offenders transitioning directly from incarceration, the offenders must be advised through the case manager at the facility of possible "wrap-around" services available at the shelter. All offenders must sign a consent

or release of information form so that the assigned supervision officer will be able to verify program participation at the shelter and the offender's whereabouts.

The TIPS supervisor will ensure that staff continues to adhere to the practice as outlined herein. Shelter placement is a very important resource available for assisting offenders and must be utilized only under the strictest circumstances that will ensure compliance with supervision standards.

8. Relocation Plan Investigations

Relocation Plan Investigations are conducted on D.C. code offenders (parole and supervised release offenders) who are scheduled to be released from a BOP institution, but request to live in another jurisdiction. For these investigations, the TIPS CSO will prepare a memorandum to the USPO and request a proposed relocation investigation be conducted to verify the offender's proposed address and determine if the USPO will accept the offender for supervision.

D. Re-Entry Planning Services - Residential Re-entry Center (RRC) Cases

An offender who is transferred from a BOP Correctional facility to a halfway house, where he or she will complete the remainder of his or her sentence prior to receiving a certificate of release (Parole or Supervised Release) from the USPC, will receive case management service from TIPS CSOs to assist them in successfully re-entering society. The typical halfway house stay is from 30 to 120 days. Case management services provided by TIPS CSOs during the halfway house stay include Intake and Orientation activities (1-10 working days).

During the risk and needs assessment phase, the TIPS CSOs will conduct the CSOSA AUTO Screener (**RRC** Designation Pre-Release Planning Investigations, only) to determine the offender's risk and needs statuses.

Based on the findings, TIPS staff will consult with other staff, including BOP case management staff and substance abuse, mental health, sex offender, medical, and other professionals, to determine an appropriate intervention and treatment needs that will be used to develop a viable re-entry plan. This process includes making necessary referrals to support the offender's transition to the community, initial supervision plan, and special conditions of supervision. Many referrals for the offender can be initiated by the TIPS CSOs during the investigation process. In addition, offender's transitioning through the CCCs receives referrals from both the TIPS CSO's and the BOP contract Case Managers. These referrals include:

1. Substance abuse referrals to CIT, **RSC**, Blair House Transitional Program, or another community programs;
2. Mental health referrals to CSS mental health professionals or community resources;

3. Medical services to DC Healthcare Alliance, Unity Healthcare, and the Veterans Administration;
4. Employment/Vocational referrals to CSOSA's Vocational Opportunities, Training, Education, and Employment (VOTEE) unit and/or the DC One-Stop Center;
5. Transitional housing referrals to community resources; and
6. If eligible, referral to CSOSA's Faith-Based Initiative.

E. Procedures for Referring, Assessing, and Placing Inmates/Offenders Referred by CSOSA TIPS Teams to the CJP Treatment Management Team

1. Paper Review Assessment and Referral Process (for BOP Inmates)

CJP/TMT/CIT conducts paper review assessments on inmates detained in BOP Federal Correctional Institutions as a part of the Transitional Intervention for Parole Supervision (TIPS) pre-release investigation.

a. Scheduling

Standard Scheduling Requests

To schedule a paper review assessment for an inmate in BOP custody, the TIPS CSO forwards a referral package to the K Street ASA containing the following information (documents in SMART will not be forwarded):

- TMT Referral Form;
- Judgment and Commitment Order or USPC Notice of Action, for all cases in which the evaluation/placement is ordered by the releasing authority;
- PSI, if available (or criminal history);
- NCIC Warrant Status Check; and
- TB test results (if available).

Note: PSI reports should be accessible via SMART. Treatment Specialist can access the PSI report by uploading the offender profile page and then by clicking on investigations. Click on investigations again (dark green highlighted field) and then select view PDF option.

In addition to the information listed above, the TIPS CSO should also forward the following information as a part of the referral package, when available:

- Institution Progress Report
- Medical Documentation
- Psychological Reports
- Other Supplemental Documents that may assist CIT in making a treatment recommendation

Note: The TIPS CSO may send an e-mail of notice to the K Street ASA indicating that a referral package has been forwarded to CIT. The notice should include the inmate's name, PDID number, location/BOP institution, and release date

Generally, in all cases where fewer than 15 business days are remaining prior to release, the TIPS CSO will not refer the case to CIT/TMT for processing. The TIPS CSO will forward the case to the appropriate TIPS Halfway House CSO or supervision CSO, who is responsible for generating a referral at the appropriate CIT site.

b. Expedited Scheduling Requests

When an individual poses a high risk to public safety due to severe substance abuse, the nature of the instant offense, or mental health concerns, CIT will attempt to provide expedited processing for cases, even when fewer than 15 business days are remaining prior to release. To request expedited processing, the TIPS SCSO contacts the K Street Supervisory Treatment Specialist (STS) via telephone or via email to discuss the case. The STS and the TIPS SCSO collaborate on the response to the case, and the STS will provide specific instructions for forwarding referral documents

c. Package Receipt Confirmation

Within one (1) business day of receipt of the TIPS referral package, the K Street ASA sends an email to the TIPS CSO, (with a "cc" to the TIPS SCSO and Supervisory Treatment Specialist) advising him/her of receipt of the package and the name of the Treatment Specialist to whom the package has been assigned. The Treatment Specialist has five business days from the date the package confirmation receipt is sent to complete the paper review.

d. Assessment Results

The Treatment Specialist makes recommendations based upon the information available for review. Paper Review assessment results are recorded on a Performance Contract, which contains a narrative statement including a discussion of the following information:

- Listing of all documents reviewed (including dates on the documents – i.e., DC Superior Court Pre-Sentence Investigation Report, dated 03/20/91)
- Listing of any UPSC/DCSC Special Conditions related to substance abuse
- Treatment Recommendation (including the specific modality recommended)

The Treatment Specialist records the assessments results in SMART no later than the close of business on the date the Paper Review Assessment is completed.

Residential Treatment Recommendations

When the Treatment Specialist recommends residential treatment for an inmate, the Treatment Specialist emails the Performance Contract and Release of Information forms (Substance Abuse Treatment, Privacy Act Waiver, and Mental Health/Sex Offender Treatment) to the TIPS CSO, who is responsible for forwarding the recommendation to the BOP case manager to review with the offender, receiving his/her concurrence or refusal, and returning it to CIT within twenty (20) business days. Release of Information Authorizations can be found on the CSOSA Web.

If the signed Performance Contract (or any other outstanding document, including a TB test) is not returned to CIT by the 21st day, CIT will close its interest in the case and will email the TIPS CSO and SCSO to advise him/her of this action. CIT will notify the CSO at least two days prior to closing interest in cases where documentation remains outstanding. The TIPS CSO will be required to forward the Performance Contract to the supervision CSO or TIPS Halfway House CSO (flagging it with a “Prior CIT Assessment” note – *see attached sample*), who will be required to follow-up on the recommendation once the case is placed on supervision, or once the individual arrives at the Halfway House. By “reactivating” the referral, the supervision CSO/TIPS Halfway House CSO is certifying that the outstanding information has been obtained (i.e., the Performance Contract has been signed and/or the TB test has been obtained), and there has been no substantial change in the offender’s substance use (i.e., resumed/increased use that may result in the need for detoxification services), medical status, or mental health status.

Outpatient Treatment Recommendations

When the Treatment Specialist recommends outpatient treatment for an inmate, the Treatment Specialist emails the Performance Contract to the TIPS CSO and immediately closes CIT’s interest in the case.

If treatment is still desired for the case, the TIPS CSO will be required to forward the Performance Contract to the supervision CSO or TIPS Halfway House CSO (flagging it with a “Prior CIT Assessment” note – *see attached sample*), who will be required to follow-up on the recommendation once the case is placed on supervision, or once the individual arrives at the Halfway House. By “reactivating” the referral, the supervision CSO/TIPS Halfway House CSO is certifying that all outstanding information has been obtained (i.e., the Performance Contract has been signed and/or the TB test has been obtained), and there has been no substantial change in the offender’s substance use (i.e., resumed/increased use that may result in the need for detoxification services), medical status, or mental health status.

e. Treatment Placement Coordination

Upon receipt of a signed Performance Contract from the TIPS CSO, the Treatment Specialist makes the necessary entries into SMART and forwards the referral package to RPT for placement. The Treatment Specialist emails the TIPS CSO to advise him/her of the date that the package is sent to RPT.

Within one (1) business day of receiving a referral package from CIT, RPT emails the TIPS CSO to advise him/her of the receipt of the package. Placements for incarcerated individuals are scheduled based on the institution release date provided by TIPS.

2. Halfway House Assessment and Referral Process (for cases NOT assessed during incarceration)

CIT conducts assessments on inmates detained in BOP Residential Reentry Centers (Halfway Houses) as a part of the Transitional Intervention for Parole Supervision (TIPS) release planning process.

a. Scheduling

Standard Scheduling Requests

To schedule an assessment for an inmate in a BOP Halfway House, no later than 25 business days prior to the inmate's Halfway House release date, the TIPS Halfway House CSO contacts the CIT K Street ASA via telephone or e-mail. Within two (2) business days of receiving the call, the ASA schedules the appointment, enters it into the Outlook calendar, and sends an email confirmation of the appointment date and time to the TIPS Halfway House CSO. Generally, in all cases where fewer than 15 business days are remaining prior to release, the TIPS Halfway House CSO will not refer the case to TMT for processing. The TIPS Halfway House CSO will forward the case to the appropriate supervision CSO, who is responsible for generating a referral at the appropriate CIT site.

Cases Not Assessed Prior to Halfway House Release

If, due to CIT scheduling demands, CIT is unable to complete an assessment prior to the individual's Halfway House release date, CIT K Street staff is responsible for identifying the supervision CSO and forwarding the referral package to the correct CIT/ASA servicing site for scheduling of an assessment appointment while the offender is under community supervision. All offenders forwarded to another CIT site under these circumstances are scheduled in accordance with the normal scheduling protocol at the new CIT site.

Expedited Scheduling Requests

When an individual poses a high risk to public safety due to severe substance abuse, the nature of the instant offense, or mental health concerns, CIT will attempt to provide expedited processing for cases, even when fewer than 15 business days are remaining prior to release. To request expedited processing, the TIPS Halfway House SCSO contacts the K Street Supervisory Treatment Specialist (STS) via telephone or via email to discuss the case. The STS and the TIPS Halfway House SCSO collaborate on the response to the case, and the STS will provide specific instructions for forwarding referral documents.

b. SMART CSO Referral Screen

Upon receipt of the email appointment, the TIPS Halfway House CSO enters the appointment information into SMART on the CSO Referral screen.

c. Referral Packages

After entering the information into the CSO Referral screen, the TIPS Halfway House CSO is required to forward the following referral documents to the ASA, either via fax (202-442-1332), interoffice mail or by hand delivery, a minimum of seven (7) business days prior to the assessment appointment:

- TMT Referral Form;
- Judgment and Commitment Order or USPC Notice of Action, for all cases in which the evaluation/placement is ordered by the releasing authority;
- Notification of Special Accommodations Required (i.e., interpreter service);
- NCIC Warrant Status Check; and
- TB test results.

Note: DC Code requires that all persons admitted into substance abuse treatment programs in the District of Columbia have documented evidence of a negative TB test administered within six months of the treatment admission date. To expedite the CIT assessment and placement process, CIT requires offenders to have a TB test completed prior to being evaluated by CIT. While CSOs should make a concerted effort to obtain a TB test that was administered within the past six months, as a courtesy, CIT will accept the most recent TB test administered by BOP (for Halfway House cases only).

d. Incomplete Referral Packages

If the required information is not received within four (4) business days of the assessment appointment, the ASA follows-up with the TIPS Halfway House CSO and SCSO via email to re-request the missing information.

If CIT does not receive all of the required referral information at least one (1) business day prior to the scheduled appointment, CIT will notify the CSO and SCSO via email that the appointment is cancelled so that the time can be offered to another offender.

e. Assessment Results

After completing the assessment, if treatment is recommended, the Treatment Specialist makes recommendations and records them on a Performance Contract and in SMART. Treatment Specialist emails the Performance Contract to the TIPS Halfway House CSO, who is responsible for reviewing the recommendation with the offender, receiving his/her concurrence or refusal, and returning it to CIT within twenty (20) business days.

If the signed Performance Contract (or any other outstanding document, including a TB test) is not returned to CIT by the 21st day, CIT will close its interest in the case and will email the TIPS CSO and SCSO to advise him/her of this action. If treatment is still desired for the case, the TIPS Halfway House CSO will be required to forward the Performance Contract to the supervision CSO (flagging it with a “Prior CIT Assessment” note – *see attached sample*), who will be required to follow-up on the recommendation once the case is placed on supervision. By “reactivating” the referral, the supervision CSO/TIPS Halfway House CSO is certifying that all outstanding information has been obtained (i.e., the Performance Contract has been signed and/or the TB test has been obtained), and there has been no substantial change in the offender’s substance use (i.e., resumed/increased use that may result in the need for detoxification services), medical status, or mental health status.

f. Treatment Placement Coordination

Upon receipt of a signed Performance Contract from the TIPS Halfway House CSO, the Treatment Specialist makes the necessary entries into SMART and forwards the referral package to RPT for placement. The Treatment Specialist emails the TIPS Halfway House CSO to advise him/her of the date that the package is sent to RPT.

Within one (1) business day of receiving a referral package from CIT, RPT emails the TIPS Halfway House CSO to advise him/her of the receipt of the package. Placements for individuals residing in Halfway Houses are scheduled based on the release date provided by TIPS.

3. Halfway House Referral Process (for cases PREVIOUSLY assessed during incarceration)

To expedite the placement of cases that have been assessed by CIT during incarceration, TMT has adopted a revised referral process for use by TIPS Halfway House CSOs. In cases where CIT completed an assessment and made treatment recommendations during incarceration, but where no placement action was initiated (due to an incomplete referral package), CIT agrees to “reactivate” cases for placement, provided that they meet the eligibility criteria as described below.

a. Case Review

Upon receipt of case from a TIPS CSO, the TIPS Halfway House CSO reviews the case file to locate the “Prior CIT Assessment” flag. Upon location of the flag, the CSO reviews the case to determine what information is required before the referral can be resubmitted to CIT for processing (i.e., signatures on the Performance Contract, TB test), and takes appropriate steps to obtain the information.

After obtaining the missing information (Performance Contract signatures, TB test), the TIPS Halfway House CSO is required to determine whether there have

been any changes in the individual's substance use (i.e., resumed/increased use that may result in the need for detoxification services), medical status, or mental health status since the time of the prior CIT assessment. If any changes have occurred, the TIPS Halfway House CSO is required to schedule a standard CIT appointment as described in the preceding section (page 6).

b. Contacting CIT

After completing the case review and determining that the case is eligible for "reactivation", the TIPS Halfway House CSO contacts the CIT K Street ASA via telephone to request "reactivation" of the referral. The ASA verifies that the case meets the eligibility criteria and provides instructions for forwarding the necessary documents and for making the appropriate referral entry in SMART.

c. Treatment Placement Coordination

Upon receipt of the referral package from the TIPS Halfway House CSO, the Treatment Specialist makes the necessary entries into SMART and forwards the referral package to RPT for placement. The Treatment Specialist emails the TIPS Halfway House CSO to advise him/her of the date that the package is sent to RPT.

Within one (1) business day of receiving a referral package from CIT, RPT emails the TIPS Halfway House CSO to advise him/her of the receipt of the package. Placements for individuals residing in Halfway Houses are scheduled based on the release date provided by TIPS.

Sample Form: Prior CIT Assessment Flag

The form provided below should be used by TIPS CSOs when forwarding a package to a subsequent CSO for CIT follow-up.



PRIOR CIT ASSESSMENT CONDUCTED

Dear CSO _____:
CSO's Name

This is to advise you that _____ was assessed by
Offender's Name/PDID

CIT on _____
Date of CIT Assessment

To expedite the processing of this case, please complete the following steps (*check all that apply*):

- Obtain the offender's signature on the Performance Contract
- Instruct the offender to obtain a TB test and provide the results to you.
- Other (please specify): _____

Once the steps above are completed, please contact the CIT Administrative Support Assistant at your CIT servicing site to obtain instructions for forwarding the case.

Sample Form: CIT Case Reactivation Request Form

The form provided below should be used by CSOs when forwarding a package to CIT for “reactivation.” This form should be completed and attached to the front of the referral package that is forwarded to CIT for processing.



CIT CASE REACTIVATION REQUEST

Attached please find a CIT referral for _____.
Offender's Name/PDID

This offender was previously assessed by CIT during the TIPS investigative process. By sending this referral, I certify that there have been no changes in this offender's substance use (i.e., resumed/increased use that may result in the need for detoxification services), medical status, or mental health status since the time of the prior CIT assessment.

CSO's Name

CSO's Signature

Date

F. Parole/Supervised Release Offender Mentoring

This section provides procedures for the Court Services and Offender Supervision Agency (CSOSA or Agency) staff involved in the supervision of offenders in accordance with the Guidelines on Supervision, Collateral and Field Contacts.

Referral to Mentoring Services shall be mandatory based on findings from CSOSA's assessment process that indicate whether the offender is in need of and can benefit from Mentoring Services. CSOs in the TIPS units located in RRCs and general supervision units are required to refer qualifying offenders to Mentoring Services using the Mentoring Services Criteria Form and provide appropriate monitoring for those referred.

To be eligible for Mentoring Services, offenders must:

- Have at least six (6) months of community supervision to complete upon release from RRC;
- Have been assessed at the medium to high risk level of supervision based on the results of the AUTO Screener and contingent upon SCSO approval; and
- Be in compliance with CSOSA's drug testing schedule and have no residential drug treatment obligations pending at the time of the referral. Although it is preferable that the offender demonstrates abstinence from drugs, alcohol and other psycho-active substances for a three (3) month period prior to the referral to the Mentoring Initiative, one (1) or two (2) positive drug tests during the three (3) month period immediately prior to the referral may not disqualify an offender for mentoring services. Job retention difficulties, unstable living arrangements and/or a lack of family/social connections or support shall not disqualify an offender.

An offender shall be excluded from receiving Mentoring Services if he/she has been classified as a sex offender under CSS guidelines; has been classified as a mental health offender under CSS guidelines; has a documented pattern of aggravated assault, violent felony arrests or convictions; has active substance abuse as evidenced by three (3) or more positive urine results within the past two (2) months; is currently in a loss of contact status or has been in a loss of contact status within the past four (4) months; or is currently in a level two (2) or above sanction status.

General supervision CSOs are required to participate and document monthly contacts with the offender's assigned mentor. General Supervision CSOs are also required to meet with the offender and his/her mentor at least quarterly and make note of mentor activity in SMART. The Mentoring Services Liaison shall, among other duties, serve as a conduit between CSOSA staff, assigned Cluster Coordinators and mentors.

1. General Procedures

a. Initial Orientation for Offender/ Mentee Candidate

- i.** Within five (5) business days of the offender's arrival at the RRC, the TIPS CSO shall schedule a meeting with the offender to introduce Mentoring Services and other programs to the offender. Prior to this meeting the TIPS CSO will have reviewed the offender's case documentation and the Mentoring Services Mentee Criteria Form
- ii.** If the offender agrees to participate in mentoring services, he/she shall be scheduled to attend an Initial Family Support/Mentoring Initiative Staffing (this meeting is in lieu of the general family/community support meeting.)
- iii.** The TIPS CSO shall request that the offender complete the Privacy Act Waiver Form and the Authorization for Release of Information and Waiver: Third Party Disclosure for Alcohol and Drug Treatment Form. The TIPS CSO shall follow the Mentoring Services Mentee Orientation Checklist as guidance to ensure that the correct procedures are followed. Should the offender refuse to sign either Waiver, he/she shall not be further considered for Mentoring Services.
- iv.** The TIPS CSO shall conduct an Initial Mentoring Services Staffing with the offender. The head of the household in which the offender will potentially reside, the appropriate Cluster Coordinator, the Mentor Services Liaison, and the identified mentor will be invited to participate in the Initial Staffing two (2) weeks prior to the offender's release from the RRC.

b. Offender/Mentee Information Gathering

- i.** As a part of the standard TIPS investigative and general assessment process, the TIPS CSO shall conduct all Mentoring Services (e.g., housing, education, positive socialization, etc.) activities related to cases for offenders with a stay of forty-five (45) days or more. In cases where the offender has less than a forty-five (45) day stay, the TIPS CSO shall conduct abbreviated activities to include an initial staffing and a combined discharge/community staffing.
- ii.** Within ten (10) business days of the offender's initial Mentoring Initiative Orientation, the TIPS CSO will determine cluster assignment.

c. Mentor Referral Process

- i.** Within five (5) business days of the determination of the offender's Police Service Area (PSA) (see B.2. above), the TIPS CSO shall complete the Universal Referral Form (Referral Form - Appendix F) and fax it to the TIPS SCSO.
- ii.** The TIPS SCSO shall review the Referral Form for completeness and approve or deny the referral within three (3) business days of receipt. If the SCSO or designee approves the referral, he/she shall fax the Referral Form to the Cluster Coordinator. In accordance with the Mentoring Services agreement, the Cluster Coordinator is responsible for matching the offender/mentee to a church located within the community where the offender resides. The faith organization is responsible for matching the offender with an appropriate mentor.
- iii.** The Cluster Coordinator shall fax, email or call the TIPS SCSO to inform him/her of the name and contact information of the mentor. The TIPS SCSO or designee shall forward this information to the assigned TIPS CSO via e-mail or telephone.
- iv.** If the TIPS SCSO or designee does not receive the completed Referral Form from the cluster coordinator within five (5) business days, he/she shall follow-up with the cluster coordinator via e-mail and/or a telephone call.
- v.** The Community Supervision Assistant (CSA) or other administrative staff shall add to the Mentee Profile Spreadsheet (Spreadsheet) the name of each new offender participating in Mentoring Services. The CSA or administrative staff shall forward the updated version of the Spreadsheet to the Agency designee immediately following the update.

d. Family Support/Mentoring Initiative Staffing

- i.** The TIPS CSO shall conduct the initial Mentoring Services staffing in accordance with the date established in the Referral Form.

 - For offenders with less than a forty-five (45) day stay, the initial/discharge staffing related to the faith-based program, shall occur three (3) to ten (10) business days prior to release.

- For offenders with more than a forty-five (45) day stay, the initial staffing related to the faith-based program, shall occur seven (7) to fourteen (14) days after the PSA has been identified.
- ii. The TIPS CSO shall notify the mentee, mentor, SCSO, the General Supervision CSO and the Cluster Coordinator of the date of the staffing.
- iii. The TIPS CSO shall be responsible for facilitating the Initial Mentoring Services staffing (e.g., timeline for meeting goals of the faith-based program, and role/responsibility of participants).

e. Release Planning for Offenders With RRC Stay of 45 Days or More

- i. Release planning for offenders with a RRC stay of forty-five (45) days or less, see Section F. below.
- ii. The CSA or other administrative staff shall schedule monthly Mentoring Services staffings to monitor the status of the mentoring relationship and review goals and objectives. The offender, mentor, Mentoring Services Liaison, and currently identified General Supervision CSO should discuss the offender's progress in order to reinforce the relationship between the offender and the assigned mentor.
- iii. Two (2) weeks prior to the offender's scheduled release date, the TIPS CSO shall coordinate and schedule a final discharge mentoring staffing.
- iv. The TIPS SCSO or designee shall notify the TIPS CSO of the mentor name and information received from the Cluster Coordinator within two (2) business days of receipt.
- v. The Cluster Coordinator or designee shall be invited to attend the meeting. During this meeting, the cluster coordinator/designee, and the mentor if identified, establishes contact with the offender, the head of household where the offender will reside and/or members of the offender's family.
- vi. As a part of the monthly staffings conducted at the RRC, the offender and mentor should discuss the offender's progress in order to reinforce the relationship between the offender and the assigned offender mentor.

- vii. Ten (10) business days prior to the offender's release from the RRC, the TIPS SCSO shall advise the general supervision SCSO of the offender's participation in Mentoring Services by faxing the Referral Form to the general supervision SCSO. The general supervision SCSO shall have one (1) business day to advise the TIPS SCSO of the assigned general supervision CSO handling the case. The Referral Form shall indicate the date, time and location of the discharge staffing.
- viii. The TIPS CSO shall exchange contact information with the General Supervision CSO, the offender and the mentor at either the Discharge Staffing or the Family Support Night. The Mentoring Services Liaison shall schedule the follow-up meeting with the mentor and mentee.

f. Release Planning for Offenders With RRC Stay of 45 Days or Less

- i. The TIPS SCSO shall notify the TIPS CSO of the mentor's name and information received from the Cluster Coordinator upon receipt of the notification from the Cluster Coordinator, but no later than two (2) business days from receipt of the information.
- ii. The Cluster Coordinator or designee shall be invited to attend the initial/discharge staffing. During this staffing, the cluster coordinator/designee, and the mentor if identified and in attendance, establishes contact with the offender and the head of household where the offender will reside and/or members of the offender's family.
- iii. As a part of the initial/discharge staffing conducted at the RRC or alternate sites, the offender and mentor should discuss the offender's progress in order to reinforce the relationship between the offender and the assigned offender mentor.
- iv. The SCSO or designee shall fax or e-mail the Referral Form to the general supervision SCSO to notify him/her of the offender's participation in Mentoring Services within three (3) business days of the verified home plan. The Referral Form shall indicate the date, time and location of the Discharge Family Support/Mentoring Services Staffing. The TIPS SCSO or designee shall advise the Mentoring Services Liaison of the Mentee Profile Spreadsheet updates via e-mail.
- v. The TIPS CSO shall exchange contact information with the General Supervision CSO, the offender and the mentor at either the

Discharge Staffing or the Family Support Night. The Mentoring Services Liaison shall schedule the follow-up meeting with the mentor and mentee.

g. Offender Transition to Community Supervision

i. Release to Community Supervision With a RRC Stay

a. Initial Community Supervision Office Visit

- As a part of the general supervision procedures outlined in the Guidelines on Supervision, Collateral and Field Contacts, the CSO shall provide a brief overview of his/her role in the Mentoring Services.
- The CSO will receive confirmation of the name and contact information of the offender's mentor from the Mentor Services Liaison. The Mentor Services Liaison will monitor and facilitate ongoing contact and staffing between the mentor, mentee and the CSO, when needed. Within the first thirty (30) days of case assignment the Mentor Services Liaison shall contact the assigned CSO to determine whether that person has any questions regarding the Offender Mentoring Initiative or any issues that require resolution.
- The CSA or other administrative staff shall complete the Mentor/Mentee Contact Sheet (Appendix E) and provide a copy to the offender.

ii. Release to Community Supervision Without a RRC Stay

a. After completion of the AUTO Screener, if it is determined that an offender is suitable for the Mentoring Services, the CSO shall introduce the Mentoring Services during the initial orientation interview, if the offender agrees. Upon referral of the offender to the Mentoring Services, the CSO shall request that the offender complete the Privacy Act Waiver Form and the Authorization for Release of Information and Waiver: Third Party Disclosure for Alcohol and Drug Treatment Form. The CSO shall follow the Mentoring Services Mentee Orientation Checklist as guidance to ensure that the correct procedures are followed. Should the offender refuse to sign either Waiver, he/she shall not be further considered for the Mentoring Services.

b. Mentor Referral Process: The CSO and SCSO shall then follow the procedures listed in Section C: Mentor Referral Process.

iii. Ongoing Community Supervision Office Visits

a. At the subsequent community supervision office visit, the CSO shall inquire about the offender's initial contact with his/her assigned mentor.

b. At the time of the CSO/mentee visit, the CSO shall make an entry into the designated SMART fields that reflect whether a mentor/mentee contact occurred, the meeting location, and nature of the contact. Through SMART reports generated monthly, the Mentor Services Liaison will monitor CSO/mentee/mentor activities and report findings to the appropriate program designee.

c. The Mentor Services Liaison is responsible for ensuring that Community Supervision Services has an active and vital role in the success of the Faith Based Initiative. This individual serves as the liaison to assist with communications between the Community Supervision Services and Community Justice Programs. Specific duties and responsibilities will include, but are not limited to the following:

- Coordinate CSS presentations and information sessions designed to educate CSOs on the program initiative and provide continuing education to CSOs as program changes occur.
- Keep CJP and CSS Associate Directors abreast of current issues related to the Faith Based Initiative.
- Provide program assistance and coordination with video conferencing.
- Attend and assist in the preparation of Community Resource Days.
- Assist TIPS in the gathering and processing of assessment information, as needed.
- Initiate contact with the newly assigned CSO(s) to ensure and understanding of the FBI, its forms and how to contact and work with the mentor.
- Provide appropriate information related to mentee cases to the CSO, Mentor and Cluster Coordinators and the Program COTR.

- Maintain data and provide reports, as requested, relative to staffings, CSO/mentor/mentor relationships and follow up activities.
- Coordinate all press related issues for CSS and CJP related to the Mentoring Services to Mentoring Services in conjunction with the Office of Legislative, Intergovernmental and Public Affairs to include the Annual Re-Entry Week in January.

iv. Ongoing CSO Mentoring Services Involvement

a. Within ten (10) business days of the initial orientation interview, the CSO shall participate in the initial mentoring staffing. The Mentoring Services Liaison shall invite the offender, the head of household, the Cluster Coordinator and the mentor.

b. One standard condition of the offender’s supervision requirements is that the CSO will be contacted by the mentor of each offender on a monthly basis. The CSO shall make note in SMART of each mentor communication.

c. The CSO shall participate in quarterly meetings with the offender, the offender’s mentor and the Mentor Services Liaison to ensure that the mentoring process is meeting the needs of the offender as established in the initial mentoring assessment.

d. The Mentor Services Liaison shall follow-up on any outstanding Mentoring Services issues that require resolution.

G. Documentation of Investigation Activity

Diagnostic and TIPS CSOs are to document investigation activity in the Agency’s Supervised Management and Automated Record Tracking (SMART) database. Staff may use the following contact purposes to document the status of the investigations in the running record entries:

1. Release plans;
2. Case Reviews;
3. Investigations;
4. Treatment Assessments;
5. Referrals;
6. Home Verification; and
7. Employment Verification.

Staff also is to make and document referrals for services in SMART, verify basic information on offenders, and update the offender's housing, employment, and collateral contacts screens. For CCC Designation Pre-Release Investigations, the CSO also is to conduct a risk and needs AUTO Screener on the offender and is to recommend an appropriate supervision team type:

1. Supervision Team Assignment Determinations. The TIPS CSO shall Propose the supervision assignment to ensure offenders needing specialized services with be assigned to the appropriate supervision team, such as Mental Health, Sex Offender, SAINT HIDTA and Domestic Violence. The SCSO shall ensure that the appropriate team is identified, consistent with the CSS assignment criteria.

H. Guidance on the Execution of Arrest Warrants for RRC Cases

The Court Services and Offender Supervision Agency (CSOSA) also has the responsibility, as a law enforcement agency, to ensure that all offenders under supervision and within the jurisdictional authority of the District of Columbia are monitored for compliance with the conditions of release or violation of their release stipulations. Offenders placed in the local CCCs pending release to supervision are under the custody and authority of the BOP; however, it is the responsibility of each assigned TIPS Community Supervision Officer (CSO) to maintain accountability and monitor all offenders for outstanding warrants and determine the appropriate action to be taken.

In instances where offenders are located in the CCC pending release to supervision, and the TIPS CSO determines that there is an outstanding warrant for the offender, it is the responsibility of the TIPS CSO to notify the CCC Director and case management staff in writing of the warrant. This notification must be documented in the Agency's Supervision, Management and Automated Record Tracking (SMART) system. Additionally, the Supervisory Community Supervision Officer (SCSO) must notify the BOP regional headquarters at Annapolis Junction of the warrant and recommend its execution. **Extraditable** warrants should be lodged as a "detainer" since the offender is in an inmate status.

The CSO shall determine the warrant status of the offender by conducting NCIC/WALES record checks on a 30-day basis for all offenders assigned for investigation. All CCC warrant matters should be brought to the attention of the SCSO immediately. The CSO also must refer all inquiries from offenders regarding the warrant to the CCC Case Manager.

I. Guidance on the Execution of Warrants During an Interstate Investigation

The Court Services and Offender Supervision Agency (CSOSA) has the responsibility, as a law enforcement agency, to ensure that all offenders under the supervision and within the jurisdictional authority of the District of Columbia are monitored for compliance with the conditions of release or violation of release stipulations. It is the responsibility of each assigned Community Supervision Officer (CSO) to maintain accountability and monitor all offenders for outstanding warrants and determine the appropriate action to be taken.

In addition to the guidance that has been previously provided on the execution of outstanding warrants, CSOs involved in the Interstate Investigation process must adhere to the following guidance:

If it is determined during the course of an interstate investigation that the offender has an outstanding warrant in this jurisdiction, the officer must

1. Notify immediate supervisor and provide proof of the warrant;
2. Make efforts to verify the residence requested in the interstate documents by requesting written documentation (letter, lease agreement, ownership verification, etc.) from the offender;
3. Schedule an in-office appointment with the offender;
4. Notify law enforcement and building security of the scheduled appointment date; and
5. Ensure that the warrant is executed in accordance with CSOSA's policies, guidance, etc. on the Execution of Warrants.

Consistent with agency guidance, CSOs are not to conduct home visits of residences with outstanding warrants. In accordance with the Interstate Compact for Adult Offender Supervision, all states have a responsibility to ensure that offenders are in "substantial compliance" with conditions of release under the sending state prior to forwarding packages to the Receiving States. However, in the rare instance that a CSO receives a request for an interstate investigation and it is determined that the offender has an outstanding warrant in a jurisdiction, other than the District of Columbia, the CSO is to:

1. Notify immediate supervisor and provide proof of outstanding warrant;
2. Reject transfer and immediately notify the Deputy Compact Administrator that the offender is not in "substantial compliance" with the conditions set forth by the sending state; and if the offender is currently in the District of Columbia, then,
3. Notify the jurisdiction as noted by the "originating agency identifier (ORI)" number of the offenders whereabouts;
4. Provide appropriate running record entries documenting reason for rejection and close interest in the case.

Staff are to continue to exercise "best practices" to ensure employees safety and to minimize risk.

J. Guidance on the Investigation of Pending Charges, Warrants and Detainers for Institutional Cases

The Court Services and Offender Supervision Agency (CSOSA) also has the responsibility, as a law enforcement agency, to ensure that all offenders under supervision and within the jurisdictional authority of the District of Columbia are monitored for compliance with the conditions of release or violation of their release stipulations. Offenders in an inmate status may be under the Bureau of Prisons or the D.C. Department of Corrections, however, it is the responsibility of each assigned TIPS Community Supervision Officer (CSO) to maintain accountability and monitor all offenders for pending charges, consecutive sentences, outstanding warrants and determine the appropriate action to be taken.

In instances where offenders are located in the institution pending release to supervision, and there is a determination that there is a pending charge or an outstanding warrant for the offender, it is the responsibility of the TIPS CSO to notify the originating jurisdiction as noted by the “originating agency identifier (ORI)” of the offender’s whereabouts. The TIPS CSO must confirm the outstanding warrant and determine if the warrant is an extraditable warrant. The TIPS CSO must also confirm if the warrant will be lodged for the issuance of a detainer and a copy of the detainer must be obtained for the file. The TIPS CSO will update SMART with the outcome of the warrant investigation and provide the following information: originating jurisdiction, charge, docket or case number, warrant number and length of sentence if there is a consecutive sentence.

In the event that the TIPS CSO verifies that the warrant is not extraditable, the TIPS CSO must update SMART to reflect that there is an outstanding warrant that will need to be executed upon release and enter the following information in SMART: originating jurisdiction, charge, docket or case number, and warrant number.

In instances where offenders are located in BOP custody pending transfer to a CCC and the CSO determines that there is an outstanding warrant for the offender, it is the responsibility of the TIPS CSO to notify the CCC Director, case management staff and the BOP regional headquarters at Annapolis Junction in writing of the warrant or detainer and recommend its execution. This notification must be documented in SMART.

The TIPS CSO shall determine the warrant status of the offender by conducting NCIC/WALES record checks within 5 days of case assignment and on a 30-day basis for all offenders assigned for investigation. In addition to reviewing NCIC/WALES, the TIPS CSO is responsible for reviewing the PSI, criminal records, SENTRY printouts and BOP Release Plans for information about the status of pending charges, warrants and detainers. When information is received from the originating jurisdiction that contradicts information noted in the case file, the TIPS CSO must obtain documentation from the originating jurisdiction that verifies that there are no pending matters. SMART system updates must be entered only after all pertinent information has been confirmed and verified.