



**PROBATION AND PAROLE BUREAU
STANDARD OPERATING PROCEDURES**

Procedure No.: P&P 60-2	Subject: SUPERVISION STRATEGIES & COMPLIANCE MONITORING	
Chapter 60: SIGN-UP PROCEDURE & SUPERVISION STANDARDS	Page 1 of 8	
Signature: /s/ Ron Alsbury	Revision Date: 12/05/01; 06/17/02; 09/10/02; 03/06/04; 03/01/05; 08/05/05	
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I. BUREAU DIRECTIVE: Probation & Parole Bureau employees will follow standardized procedures for case management and supervision plans or strategies. The Bureau will provide direction for officers in their development of a meaningful supervision strategy for each offender that will manage the offender’s risk.

II. AUTHORITY:
 46-23-1011, M.C.A. *Supervision on probation*
 46-23-1021, M.C.A. *Supervision on parole*

III. DEFINITIONS:

Risk Assessment Instrument means the instrument developed by and for the bureau to determine the risk score of the offender, thereby determining level of supervision required to safely manage the risk on Probation & Parole.

Needs Screening Instrument means the instrument developed by and for the Bureau that assesses and screens the offender for deficiencies and alerts the officer to offender needs.

Supervision Strategies means using the offenders risk score and needs assessment to effectively and safely supervise the offender. This includes ensuring the offender is complying with the court ordered conditions and Probation & Parole conditions; risk management; needs screening; referrals to appropriate programming such as treatment, educational and training programs; monitoring; surveillance; and overall supervision of the offender.

Contact means **any officer** having **direct or indirect contact** with an offender. This may include face-to-face, home contacts or collateral contacts.

Personal Contact means face-to-face interaction with the offender.

Home Contact means face-to-face interaction with the offender or a member of the household at the offender’s residence.

Collateral Contact means any contact with the offender’s family, neighbors, employers, teachers, treatment providers, victims, law enforcement, or anyone who may have meaningful or significant information about the offender.

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Conditions of Supervision means the conditions of supervision set out by the standard rules of probation and parole; the court ordered conditions; and/or the Board of Pardons & Parole conditions that the offender is required to follow and the officer is required to enforce by procedure and law.

Community Networking means the officer actively involving community members in the monitoring, surveillance and supervision of offenders in their community. These community members may be professionals involved in the treatment/programming of offenders, employers, educators, law enforcement, offender family members/neighbors, mentors, tutors or other volunteers.

Override means the process by which Probation & Parole Officers request from their supervisor an adjustment in the supervision level or standards that are required for each specific level of supervision. The officer must be able to justify the reasons for the override request. Documentation of an override should be noted via a chronological entry, signed and dated by the supervisor. If the override chronological entry is done electronically, the officer will enter the date, time, and the name of the approving supervisor. Override factors are designed to address unusual issues or circumstances that warrant an adjustment or approval for the officer not to meet the usual supervision standards. This can be accomplished via e-mail or telephonically for officers in satellite offices only.

New Case means any case that is initially being signed up to the rules of probation or parole supervision, or is being transferred from one area to another, changing officers. Offenders who are transferred from one caseload to another within the same office will not be considered “new”.

Post-Sentence Investigation means an investigation that is completed on an offender, who has not had a Pre-Sentence Investigation. This investigation includes a Pre-Sentence Investigation questionnaire; a criminal record check; relevant police reports; plea agreement; victim information and restitution; affidavit to file information direct and pertinent county attorney information; and the court order. Once all the relevant information is reviewed, the officer completes *P&P 30-1 (F) Post Sentence Investigation Report*.

IV. PROCEDURES:

A. GOALS & OBJECTIVES:

The purpose of this procedure is to promote the bureau’s goals of public safety and offender accountability while fulfilling the mission of the Department of Corrections.

Probation & Parole Officers and Intensive Supervision Officers will use a **Risk Assessment Instrument** to determine

- the risk of the offender to re-offend,
- level of supervision necessary, and
- the supervision strategies to be used.

Officers will also use the **Needs Screening Instrument** to determine which supervision strategies will best assist the offender in obtaining needed programming and treatment to reduce their risk to the public.

It is the bureau’s goal for offenders on probation and parole supervision to become, and remain law abiding, self sufficient, and contributing members of the community.

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This combination of managing the offender's risk while assisting the offender with programming needs will assist in reducing the probability of the offender re-offending and increase the probability of the offender successfully completing probation & parole supervision.

The Bureau's goals of providing supervision and services to offenders, while promoting public safety and victim rights will be attained by ensuring the following objectives:

- visibility of the bureau's efforts through the monitoring and supervision of offenders via community networking;
- providing surveillance of offenders in the community;
- enforcing the conditions (standard and special) of supervision ordered by the sentencing court and/or the Board of Pardons & Parole;
- deterring substance abuse via urinalysis and meaningful sanctions;
- referring offenders to appropriate assessment and/or treatment services, and monitoring attendance and offenders progress in these programs;
- victim restoration via restitution, mediation, community service and referral to treatment and crime victim unit resources; and
- encourage a higher level of employment and increase restitution collection.

B. INTAKE PROCEDURES:

1. **SIGN-UP PROCEDURE:** When a Pre-Sentence Investigation exists, the PO will review PSI and read court order; conduct an in-office interview with offender to review court conditions and supervision conditions; complete risk assessment and needs screening instruments with the offender; and initiate supervision strategies.
2. **POST SENTENCE INVESTIGATION:** If no PSI exists the assigned PO will conduct a Post-Sentencing Investigation to obtain background information on the offender within 30 days of the assignment of the case. This investigation will include an interview with an offender. This background investigation will also include offender's family, social and criminal history.

Before a case transfers from one jurisdiction to another, the committing jurisdiction, if PSI is not already completed, must do a Post-Sentence Investigation.

The Post-Sentence Investigation Information will include:

- Pre-Sentence Investigation Questionnaire/Medical Screening.
- Relevant Police Report(s) of current offense;
- Affidavit to File Information Direct or pertinent County Attorney Information;
- Plea Agreement;
- Court Order; (Read for full understanding of conditions)
- Victim Information;
- NCIC or CJIN Criminal Record Check

(Interstate will require sending state to send PSI on all offenders transferring into Montana via the compact.)

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Once the officer has compiled and reviewed all the information, they will complete *P&P 30-1 (F) Post Sentence Investigation*. The *Post Sentence Investigation* will serve as a resource to other P&P Officers and entities within the Department. Officers need to keep this in mind and assure that all pertinent information is detailed in this report. Officers are required to complete the first two pages of this report up to the criminal history section. Officers are strongly encouraged to complete the full Post PSI form, which includes family, medical, etc. sections. If the officer chooses to complete the more detailed report they will be given full PSI points on the monthly workload.

3. **HOME CONTACT:** Conduct **home contact** to address the following:
 - verify offender's home address;
 - observe and determine lifestyle factors;
 - meet significant others, family members, other residents of home;
 - observe residence for contraband, weapons, illegal or dangerous objects (if visual inspection of the residence provides reasonable suspicion that the offender has items banned by probation rules or court order, conduct a search per P&P 60-4, Searches of Offender's Person, Vehicle, Residence Confiscation of Offender's Property);
 - observe residence for non-essential items such VCR/Cable/Computer-Internet capabilities if offender's financial obligations to victim, court and bureau are not being met;
 - observe residence for cable/computer/Internet capabilities if offender is a sex offender and/or has restrictions;
 - conduct visual inspection of home;
 - observe neighborhood for potential public safety issues such as high crime area (gang graffiti), schools/parks (sex offenders) or other vulnerable neighbors;
 - assess home environment for officer safety (may draft a floor plan of home); and
 - require offender to submit to breathalyzer/urinalysis screening for use of alcohol and/or drugs.
4. **REFERRALS:** Make **referrals** to appropriate programming according to priorities established in the supervision strategies. The *60-2 (A) Supervision Strategy & Compliance Form*, will be used to document strategies and compliance with court ordered and probation/parole conditions.

This form will be placed behind the *Chronological Face Sheet* in the Officer's Chronological Book and will be used throughout the offender's supervision to record programming needs and changes. The back of this form allows for tracking of restitution, supervision fees, and other court-ordered obligations. This financial obligations page (Page 2 of this form) is optional, however, the officer must track these financial obligations in some manner for the offender's records and for audit purposes.
5. **COLLATERAL CONTACTS:** Make **collateral contacts** as dictated by the social and criminal history, to verify employment status, treatment status, and any law enforcement contacts.
6. **INITIAL RISK ASSESSMENT:** Determine **risks** posed by the offender using the Initial Risk Assessment Instrument. This will be completed in the Management Information System (Profiles/ACIS) within **30 days** of the offender being assigned to an officer's caseload.

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7. **NEEDS SCREENING INSTRUMENT:** Determine **needs** by using Assessment of Needs Screening Instrument. This will be completed in the Management Information System (Profiles/ACIS) within the first **30 days** of the offender being assigned to the officer's caseload. Develop a supervision strategy to address each prioritized needs area that has a score of 3 or greater. The *P&P 60-2 (A) Supervision Strategy & Compliance Form*, will be used to document strategies and compliance with prioritized needs identified in this assessment.
8. Refer to P&P 60-1 for Sign-Up procedures and forms.

C. SUPERVISION STANDARDS AND COMPLIANCE MONITORING PROCEDURES:

Offender supervision will include various activities for the offender and supervision strategies.

Offenders will be reassessed every **six months** at a minimum using the Offender Risk Re-assessment Instrument except for offenders on Level IV, Level V and Level VI (Conditional Discharge from Supervision refer to P&P 60-3). A Risk Reassessment for those offenders on Level IV, V, VI will only be necessary when there has been a change in the offenders risk. This reassessment will be completed using the Management Information System (Profiles/ACIS).

All offenders will have an initial Needs Assessment. The Needs Assessment instrument will be used at least **annually** or as needed for Level's I, II & III, to monitor the offender's compliance and programming progress. For offenders on Level IV, V, and VI, the Needs Assessment will only need to be completed again when there has been a significant change in the offenders needs.

All contacts must be documented in the offender's chronological history.

1. For all supervision levels **contact** includes the following:
 - a. Face to face contacts with an offender by any officer
 - b. Home contacts
 - c. Collateral contacts may include
 - Chemical dependency programs/treatment staff
 - Mental health programs/treatment staff
 - Sex Offender program/treatment staff
 - Educational/Vocational programming/Teachers
 - Law Enforcement
 - Employer Contacts
 - Family/Relationships/Neighbors
 - Victim or Victims' family
 - Other programs as appropriate such as Cognitive Principles and Restructuring, ACT (DUI), Anger management (Domestic Abuse), ETC
 - Offender groups or group reporting
2. **Home Contacts** to verify residence will occur within **30 calendar days** of initial sign-up or transfer and within 30 calendar days of any reported or suspected change in all **Level I and II offenders**.
3. Residence verification will occur within 30 calendar days of any reported or suspected change in Level III, IV, V, and VI offenders. A home contact is not required to verify the residence.

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4. All offenders on all levels of supervision will file ***P&P 60-1 (G) Monthly Report*** every month (this does not include Level VI – Conditional Discharge from Supervision).
5. Officers shall use a **combination of contacts** to effectively supervise the offender.
6. **Overrides** from the supervisors will occur infrequently and only in extreme/unusual cases.

LEVEL I Offender Supervision Standards

1. Offender will file a written **monthly report** with the Probation & Parole Office.
2. Officers will have a minimum of **three contacts per month**, one of which will be a personal contact with offender.
3. If the officer is unable to meet this standard, an override must be requested and may be granted by the Regional Administrator or PO II. Written documentation of this override will be documented in the file.

LEVEL II Offender Supervision Standards

1. Offender will file a written **monthly report** with the Probation & Parole Office.
2. Officers will have a minimum of **two contacts per month**, one of which will be a personal contact with the offender.
3. If an officer is unable to meet this standard, an override must be requested and may be granted from the Regional Administrator or PO II. Written documentation of this override will be documented in the file.

LEVEL III Offender Supervision Standards

1. Offender will submit a written **monthly report** with the Probation & Parole Office.
2. Officers will have a minimum of **one contact per month** which will be a personal contact with the offender.
3. Any reported change in address will be verified.
4. If the officer is unable to meet this standard, an override must be requested and may be granted by the Regional Administrator or PO II. Written documentation of this override will be documented in the file.

LEVEL IV Offender Supervision Standards

1. Offender will report any change in status (residence/employment/family situation) immediately to the Probation & Parole Officer. Offender will continue to submit a written report monthly.
2. Officers will have a minimum of one contact made every three months.
3. Any reported change in residence will be verified.

LEVEL V Offender Supervision Standards

1. Offender will report any change in status (residence/employment/family situation) immediately to the Probation & Parole Officer. Offender will continue to submit a written report monthly.

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2. Officers will have a minimum of one contact made every six months.

LEVEL VI Conditional Discharge From Supervision

(See P&P 60-3 Conditional Discharge from Supervision)

1. Offender will report any change in status (residence/employment/family situation) immediately to the Probation & Parole Officer.
2. Offenders will submit a written annual report.
3. Officer will perform an annual record check (CJIN and NCIC) on the anniversary date.
4. Officer will send a confirmation letter. Refer to *P&P 60-3 (D) Written Response to Offenders Annual Letter*.

Forms shall be placed in the file per P&P 40-3, Uniform File Organization.

D. PROBATION OFFENDERS INCARCERATED IN ANOTHER STATE

For **probation** offenders who are on supervision in the State of Montana and are incarcerated in another state, the Probation & Parole Officer will be responsible to maintain the file and maintain contact with the facility where the offender is incarcerated to follow the status of the offender. The P&P Officer will provide written notification using *P&P 60-2 (H) Notification of Release* to the facility requesting that the officer be contacted if any release is going to be initiated due to the offender’s supervision in the State of Montana. The Officer will give reporting instructions to the offender if he/she released from the facility.

PROCEDURE:

Intake Procedure and Supervision Standards

1. Conduct personal interview with offender to review conditions of supervision and court ordered/BOPP conditions, supervision strategies, and risk/need factors. Review PSI or complete *P&P 30-1 (F) Post-Sentence Investigation* if a PSI does not exist.
2. Assess Risk and Needs of Offender using PSI, risk & needs screening instruments & interviewing techniques with offender.
3. Conduct home contact/collateral contacts as prescribed in this procedure.
4. Develop supervision strategy in which risks and needs and court ordered conditions will be prioritized. Use *P&P 60-2 (A) Supervision Strategy & Compliance Form*. Place this form behind Chronological Face Sheet in Officer’s Chronological Book.
5. Monitor and adjust strategies as required, document in *Chronological History*, management information

RESPONSIBILITY:

P&P Officer

P&P Officer

P&P Officer

P&P Officer and Offender

P&P Officer

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system (MIS) and in file. Reassess risk and needs as required per section C. of this procedure or when deemed necessary. (*P&P 60-2 (B), Supervision Compliance Log* can be used by officer's to monitor offender supervision requirements outlined in this SOP.)

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| 6. Use intermediate sanctioning when violations occur or when deemed appropriate. (May be accomplished through intervention hearings (See P&P 140-5 Intervention Hearings). | P&P Officer |
| 7. Write Reports of Violation when offender is non-complaint or posing a risk to the community that cannot be addressed by lesser action. | P&P Officer |
| 8. Recommend conditional discharge from supervision when appropriate. | P&P Officer |
| 9. Successfully discharge from supervision (document in automated management information system (MIS) ie: ProFiles or ACIS. | P&P Officer |

- V. **CLOSING:** Questions concerning this procedure shall be directed to your immediate supervisor or the Regional Administrator.

Forms/Guide

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|--------------|---|
| P&P 30-1 (F) | Post Sentence Investigation |
| P&P 60-1 (G) | Monthly Report |
| P&P 60-2 (A) | Supervision Strategy & Compliance Form |
| P&P 60-2 (B) | Supervision Compliance Log (optional use) |
| P&P 60-2 (C) | Supervision Strategies |
| P&P 60-2 (D) | Offender Initial Risk Assessment |
| P&P 60-2 (E) | Offender Risk Re-Assessment |
| P&P 60-2 (F) | Assessment of Offender Needs |
| P&P 60-2 (G) | Risk & Needs Manual |
| P&P 60-2 (H) | Notification of Release |