

Defendant & Offender Management Center Program

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Table of Contents

EXECUTIVE SUMMARY	5
BACKGROUND	7
A. Project Origin.....	7
B. Initial Project Goals	8
C. Refined Project Goals	8
D. Research and Information Gathering.....	9
E. Defendant & Offender Management Center Purpose and Desired Outcomes	11
METHODOLOGIES	12
STRATEGIES	13
A. Introduction.....	13
B. Phases of the DOMC.....	13
Phase One: Risk Assessment.....	13
Phase Two: Criminogenic Needs Assessment.....	13
Phase Three: Case Management.....	14
C. Operational Protocol	14
D. Risk Assessment Tool.....	18
E. Criminogenic Needs Assessment Tool	20
F. Physical Location	21
G. Staffing Study	22
WORK PLAN.....	23
REFERENCES	24
APPENDICES	27
Appendix A: Risk Assessment Tool.....	27
Appendix B: Risk Assessment Tool Validation Study.....	29
Appendix D: Performance Measures Worksheet	50
Appendix E: Site Selection Study.....	59
Appendix F: Staff Schedule.....	66

EXECUTIVE SUMMARY

The purpose of the Defendant & Offender Management Center (DOMC) is to assess, place and manage defendants and offenders for the protection of the community and the integrity of the criminal justice system in order to:

- Reduce the risk of community harm, and recidivism, whether a defendant is released pretrial or a sentenced offender is placed in a less restrictive or community-based program.
- More efficiently and effectively utilize Lane County criminal justice system resources.
- Increase the rate at which defendants and offenders appear for scheduled court proceedings.

Three agencies, Lane County Circuit Court Pretrial Release Services, Lane County Parole and Probation, and the Lane County Sheriff's Office, believe these goals can be achieved by working in concert.

The first step, designated as Phase One, is to evaluate for pretrial release, all defendants brought to the Lane County Adult Corrections facility. This evaluation is to take place within hours of the defendant's arrest. Using a Risk Assessment Tool (RAT), a defendant's risk of dangerousness, recidivism and potential for failure to appear will be assessed and ranked. Those defendants who qualify for pretrial release will be placed on a release agreement tailored to their individual risk score. Overcrowding releases, formerly known as matrix releases, will also be required to abide by an individual release agreement. Low risk assessment scores will be used to identify the defendants to release in order to comply with jail capacity requirements. Lane County Circuit Court Pretrial Release Services, Lane County Health and Human Services, and the Lane County Sheriff's Office will provide staff for the Phase One operations. A Risk Assessment Tool has been developed and is currently being tested. A validation plan has also been developed, and will be implemented within the first six months. This risk assessment tool will aid us in making objective release or lodge decisions based on the defendant's risk assessment score. Defendant's conditions of pretrial release will be determined based on the defendant's risk assessment score.

The second step, Phase Two, will assess all sentenced offenders utilizing a Criminogenic Needs Assessment Tool (CNAT). Offenders will be placed in the available program that protects the community while meeting the criminogenic needs of the individual offender. The current assortment of custody and non-custody programs will be combined into a single continuum of sanctions and services. These programs range from secure jail custody to less-secure alternative programs and community supervision. Combining the range of programs, and the evaluation and placement efforts eliminates duplication and better utilizes our community's resources. The Criminogenic Needs Assessment Tool (CNAT) is in the design stage. The CNAT will guide the placement of sentenced offenders based on the dynamic risk factors that influence the likelihood of continuing criminal behavior post sentence. By providing an opportunity for the sentenced offender to change the circumstances that cause the offender to recidivate, the load on the criminal justice system may be reduced in the future. Phase Two staff will evaluate sentenced

offender program placement, and will be able to place offenders in any of the custody and non-custody programs. Ideally, we will move sentenced offenders through the continuum to less restrictive programs in order to better prepare those offenders for transition back to the community upon release. Phase Two will be staffed primarily by the Lane County Sheriff's Office.

The last step, Phase Three, will include expand existing review and monitoring functions. Regular evaluations of all sentenced offenders will continue. Custody management plans may be modified to better address risks and target the criminogenic needs of each sentenced offender.

This project is a result of the Public Safety Coordinating Council Subcommittee, Decision Point and Population Analysis evaluation of the Lane County criminal justice system. The Defendant & Offender Management Center proposal is based on that evaluation and a year of study and discussion of "What Works" and a solid body of research literature from experts in the area of criminal justice and corrections.

Job descriptions and tasks are being analyzed in order to best utilize existing staff. Policy change recommendations, such as re-ordering the booking process, are included in this document. A quality assurance and evaluation plan is being developed. Key outcomes have been identified in a Performance Measures Worksheet (please see Appendix D). Within six months of implementation, progress on key outcomes can be assessed and adjustments to operations will be made to more effectively reach the goals listed in the purpose statement above. All three agencies propose to implement this plan utilizing existing resources. Ideally the Defendant & Offender Management Center will co-locate all involved staff. Proximity improves communication and ability to share resources.

Balancing community safety with meeting the criminogenic needs of the offender in order to reduce recidivism is the heart of the Defendant & Offender Management Center program. Resources to meet specific criminogenic needs may not be available in all custody programs, or in the community. Tools developed for this project, the Risk Assessment Tool, the Criminogenic Needs Assessment Tool, and results of offender Custody Management Plans, will provide valuable information for community stakeholders to make informed resource allocation decisions. Better informed resource allocation decisions lead to a more efficient criminal justice system in Lane County.

BACKGROUND

A. Project Origin

The plan to implement a Defendant & Offender Management Center is a unique strategic collaboration between the Lane County Sheriff's Office, the Circuit Court, and Lane County Parole and Probation. This collaboration is made possible by a number of factors that began to come together in late 2002. These factors include a set of ongoing criminal justice system challenges approaching the forefront of local attention and discussion, committee work by agency leaders, and new information presented in a visit by Dr. Ed Latessa from the University of Cincinnati. The combination of these conditions and the sense of urgency arising from state and local budget cuts, produced an extraordinary atmosphere for creative problem solving by system partners.

Ongoing challenges facing the Lane County criminal justice system include recidivism, inability to maintain sanctioned and sentenced offenders in jail beds due to overcrowding, a lack of consistency between Pretrial Release Program clients, jail capacity (matrix) releases and failures to appear in court and associated costs. Additional challenges are spurred by budget cuts resulting in jail bed closures (and the subsequent increase in matrix releases), program closures, and loss of staff at all three agencies.

Work by the Decision Point and Population Analysis Committee (DPPA) highlighted the critical opportunity for system improvement at the jail intake and pretrial release decision point. The DPPA, chaired by Sheriff's Capt. John Clague, is a subcommittee reporting to the Public Safety Coordinating Council (PSCC) through its Community Corrections subcommittee (CCC). The purpose of the DPPA is to map the Lane County criminal justice system; identify decision points in the system where there appear to be inefficiencies or opportunities for improvement; collect and analyze data associated with the aforementioned decision points in order to understand how the decision points affect the system; make recommendations for policy changes that will improve the efficiency of the criminal justice system; and ensure jail bed space is being used consistent with the intent of policy makers.

In October 2002, a visit by Dr. Ed Latessa, a nationally recognized expert in the principles of effective correctional intervention, reinforced the importance of using validated risk and needs assessment tools to effectively release and place defendants and offenders. Research demonstrates that identification of high-risk offenders can help the system tailor responses based on risk to public safety. Validated risk assessment tools can guide decision making, reduce bias, and improve the placement of defendants and offenders. Research shows that offenders with medium to medium high risk are those where risk reduction is most efficient, and agencies can choose options to facilitate change. Early identification of risk levels can focus efforts where the opportunity is greatest.

B. Initial Project Goals

Through their work with the DPPA and the additional information from Dr. Latessa, Capt. Clague and Trial Court Administrator David Factor saw an opportunity for change and improvement in jail intake, pretrial release and sentenced offender placement and monitoring. They convened a work group in early 2003 to study and report back on a plan to resolve identified system issues. They specifically cited the following needs to be addressed by the workgroup.

- A need to divert population from entering the jail due to continued bed closures;
- The need to place sentenced offenders directly in alternative placement whenever possible; and
- The need to implement a validated risk assessment tool to coordinate release decisions between the court's Pretrial Release Office and the jail's matrix system.

Rather than directing solutions, they asked that the workgroup have broad discussions and brainstorm mutual solutions.

The workgroup consisted of jail, court, pretrial release, and parole and probation staff and supervisors. A list of workgroup members is included at the beginning of this document. In response to the specific needs cited by Clague and Factor, the workgroup developed a plan to implement a Defendant & Offender Management Center staffed by all three agencies and launched in three strategic phases. The collaborative discussion soon revealed that the potential for a Defendant & Offender Management Center was much broader than originally anticipated and could possibly address a wider range of system challenges. With the help of Bob Gibson, a National Institute of Corrections (NIC) consultant on pretrial release, and Billy Wasson, a facilitator and consultant in effective offender programming, the workgroup now called the Defendant & Offender Management Center Team, began to refine the project goals and objectives.

C. Refined Project Goals

In April and May 2003, workgroup leaders met with local policy makers including the Policy Group of the PSCC and a smaller group of criminal justice system leaders. The policy makers emphasized the need for continued and increased public safety, the appropriate use of resources, offender accountability, and offender competency development. They also stressed that a risk assessment tool should be locally validated and measure risk for dangerousness, recidivism, and failure to appear or comply. With this information, the workgroup further refined the areas of concern for the DOMC into the following four categories:

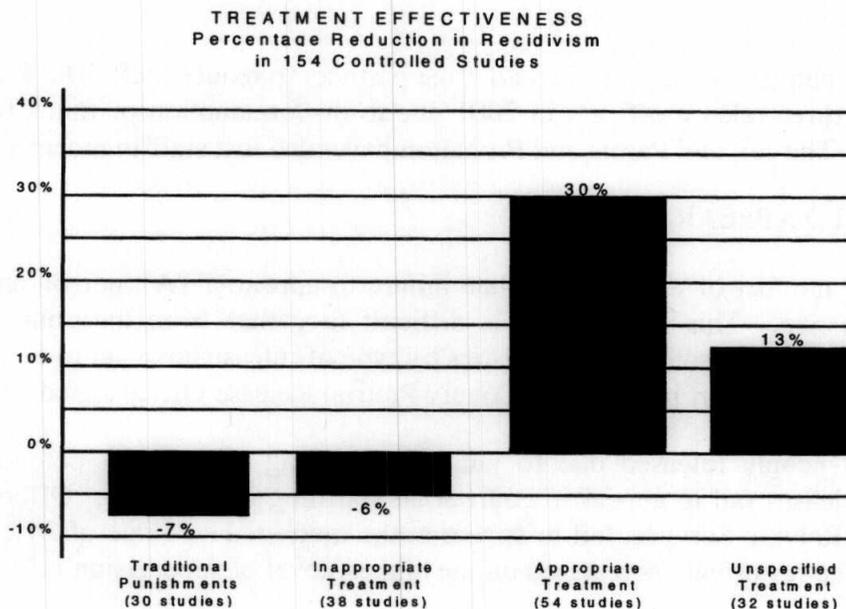
- Recidivism
- Lack of uniformity in release decisions
- Effective use of system capacity
- Failure to appear in court (FTA)

The workgroup gathered information on each of the four categories.

D. Research and Information Gathering

RECIDIVISM

Recidivistic behavior compromises community safety, costs the system money, and indicates that interventions used were not effective in changing criminogenic behavior. Pretrial release agreements and post sentence programming decisions are opportunities to decrease recidivism that need to be carefully studied. Lane County's probation revocations for new crimes are consistently 1.5 to 2 percent higher than the statewide average, according to the Oregon Department of Corrections reports for 2000 and 2001. This statistic only shows recidivism that resulted in a revocation of probation, but reflects an opportunity to reduce revocations for new crimes by effectively placing sentenced offenders and moving offenders up and down a continuum of programming options based on performance. A paper by Mark Gornik, of the National Institute of Corrections, summarizes the research that had been done on the impacts of punishment as a sentencing goal. Research indicates that punishment alone, or inappropriate treatment, not only fails to reduce recidivism, but appear to increase rates of recidivism.



Source: An Overview of Treatment Effectiveness. D.A. Andrews, 1994

LACK OF UNIFORMITY IN RELEASE DECISIONS

Court authorized pretrial releases made by the Pretrial Release office, are based on a non-validated risk assessment tool heavily dependent on the training, experience and subjective knowledge of the individual release officer. Matrix releases are based on a defendant's current charges, criminal history and, if sentenced, percentage of sentence served. Neither method of release has been studied for its effectiveness in reducing recidivism, dangerousness or failure to appear or comply. In addition, these methods of release often conflict in identifying who should be released.

SYSTEM CAPACITY

System capacity problems have arisen in a number of areas. The number of bookings at the jail has outpaced jail capacity for several years. In 2003, the jail closed 119 beds due to budget reductions; more beds could be closed in 2004. Reduced bed space coupled with bookings outstripping capacity is causing an increase in capacity based releases (matrix) that needs to be addressed.

The Lane County Adult Corrections Facility is required to maintain capacity at no higher than 93% of available bed space. Population capacity restrictions are outlined by the United States District Court for the District of Oregon Civil Action No 86-6033-E judgment order. This order has been amended eight times, and applies only to the main jail facility. The Defendant & Offender Management Center proposal is consistent with the current order to manage the jail population with respect to capacity. The DOMC proposal will enable the Lane County Sheriff's Office to more easily comply with the current order by increased communication and information share between Lane County Parole and Probation, Lane County Circuit Court and jail staff regarding release decisions.

In addition, budget cuts have forced all three partners to reduce staff. The Pretrial Release Office lost three release officers in 2001 due to discontinuation of funds from the state legislature. The Jail and Parole and Probation have also lost staff in recent years.

FAILURE TO APPEAR

There are a number of ways to calculate failure to appear (FTA), person and case-based to cite just two. This information is difficult to gather from the court's case based computer system. Baseline FTA statistics by type of release have yet to be calculated. A much-cited 1999 report by the Lane County Pretrial Release Office stated that:

"...89% of people released due to jail overcrowding are pretrial defendants. These "matrix" releases fail to appear in court at an alarming rate of 84%. Offenders released by Pretrial Release Services fail to appear at the much-reduced rate of 24%. The failure to appear rate for offenders released on the highest level of supervision is 7%."

These numbers have been difficult to corroborate. FTA rates may be somewhat lower than those stated in the 1999 study.

A snapshot of the April 2002 arraignments in Circuit Court showed an overall FTA rate of 21%. Failure to appear on release agreements was 20% and failure to appear on matrix releases was 31%. A further breakdown of release agreements showed that recognizance releases failed to appear at 22%, security releases failed at 19% and supervised releases had no failures to appear for arraignment in April 2002. It is important to note that this snapshot is not a large enough data sample to be statistically valid. Research on FTA numbers is ongoing because the DOMC must establish a solid baseline statistic in order to determine the impact of the program.

Notwithstanding the complexity of establishing baseline FTA numbers, it is an issue of top concern for local criminal justice agencies. Policy makers agree that a reduction in FTA's could result in significant savings to many agencies. A now outdated study

indicated that it costs the local criminal justice system \$500 each time an offender fails to appear for court. Policy makers agree that the true cost is probably higher than \$500, and a new study, commissioned by the PSCC, is underway. Making effective release decisions based on a validated risk assessment tool has the potential to make a considerable positive impact on all parts of the criminal justice system.

E. Defendant & Offender Management Center Purpose and Desired Outcomes

Armed with input from the local elected officials and other policy makers, a refined purpose statement, and current research, the workgroup created a plan to implement a Defendant & Offender Management Center in Lane County.

The Purpose of the Defendant & Offender Management Center (DOMC) is to assess, place & manage defendants/offenders for the protection of the community and the integrity of the criminal justice system in order to:

- Reduce risk of community harm (D/O released into community whether pretrial or in an alternate program)
- More effectively and efficiently utilize Lane County criminal justice system resources (effective defined as placement utilizing evidence based practices; efficient defined as expending the least amount of resources necessary per offender to make an evidence based placement)
- Increase the rate at which defendants/offenders (D/O) appear for scheduled court proceedings

The bullets above define the desired outcomes of the project. The workgroup believes that achievement of these outcomes will result in continued and increased public safety, the appropriate use of resources, defendant and offender accountability, as well as defendant and offender competence development as directed by the policy makers.

The details of the creation of the center and strategies for implementation are included in the following sections on Methodologies and Strategies. Performance Measures development for the DOMC is an ongoing project (see Appendix D). The team expects to develop measurements specific to Phase Two and Phase Three within the next six to twelve months.

METHODOLOGIES

Methodologies are the system of principles, practices and procedures applied to a specific project. The Defendant & Offender Management project utilizes several including:

- Intergovernmental collaboration
- Interagency collaboration
- Performance-based planning and evaluation
- Evidence based strategies

This project seeks systems change through a collaboration of several units of state and local governments located in Lane County Oregon. The Lane County Sheriff, the Lane County Circuit Court, Lane County Probation and Parole and Departments of Lane County Government are the major players. However, municipal units of law enforcement and courts as well as the District Attorney and Public Defender are also involved as customers of this systems change effort.

The project utilizes the evidence based strategies developed by D.A. Andrews (1980), P. Gendreau (1995), E.J. Latessa (1999) and others to better manage defendants and offenders within the Lane county criminal justice system. Evidence based strategies are those which utilize validated current research to increase the level of certainty and demonstrate a clear connection between activities and the desired goals of the project.

Quality assurance and project clarity are provided by utilizing performance measures to identify measurable outcomes, strategies and processes in the implementation of the project. An evaluation design is being developed for each phase of the project to provide on going feedback on project implementation as well as to measure outcomes. Although there is some overlap between Phase One and Phase Two, each phase is unique for the purposes of evaluation design. An overall evaluation design will incorporate the performance measures developed for Phase One and those performance measures to be developed for Phases Two and Three. Fidelity protocols which measure the degree to which the project's activities are faithful to the research being utilized, and dosage measures or the amount of intervention a client receives, are being developed to determine if and how the project is meeting its stated outcomes or results.

Initial questions to be explored include:

1. What is the profile of DOMC clients?
2. How does the profile of DOMC clients compare with other populations of defendants and offenders?
3. How does the Failure to Appear (FTA) rate of DOMC clients compare with other similar populations?
4. What is the new offense profile of DOMC clients and how does it compare to other similar populations?
5. How effective (release or program placement decision utilizing evidence based practices) and efficient (expending the least amount of resource necessary to make an evidence based release or program placement) is the DOMC in utilization of county resources as compared to previous interventions?
6. How do DOMC client's compare with other similar populations in meeting the term of release agreements and or conditions of probation or parole?

STRATEGIES

A. Introduction

The Defendant & Offender Management Center (DOMC) was developed to reduce recidivism, create uniformity across all types of release decisions, more effectively use system capacity and resources and reduce the rate of failures to appear in court. The DOMC will serve as the nucleus for the application of various strategies that begin with pretrial release assessments within hours of defendant bookings, and will continue until sentenced offenders have completed their sentences. The strategies of the DOMC have been divided into three distinct phases, which are separated by the types of activities performed within each phase. The following strategies are tools for managing individual defendants and offenders as well as tools for managing criminal justice programs based on identified risks and criminogenic needs. These strategies will assist stakeholders in making rational choices regarding system capacity and treatment services.

B. Phases of the DOMC

Phase One: Risk Assessment

The majority of Phase One operations deal with pretrial defendants. The first decision point involves releasing the defendant on an agreement or lodging the defendant in jail. The defendant/offender (D/O) is assessed for their level of risk in three different areas; risk of recidivism, risk of dangerousness to the community, and risk for failing to appear. In addition, the D/O is assessed for receptivity to change, and criminogenic needs are identified. By collecting receptivity to change and criminogenic needs pretrial, sentencing authorities will have more information available to fashion sentence orders that address appropriate custody and treatment for the sentenced offender. To evaluate for risk, a computerized Risk Assessment Tool (RAT) will be utilized. This tool is discussed in Strategies section D. If housing the D/O causes the population of the Lane County Adult Correctional Facility to exceed its capacity limits, the housed D/O with the lowest risk assessment score will be interviewed again for release. All releases, whether forced by jail capacity limits or not will be released with a signed agreement. Phase One operations are illustrated in Strategies section C regarding Operational Protocols.

Phase Two: Criminogenic Needs Assessment

Phase Two operations of the DOMC will assess sentenced offenders for custodial program placement and identify criminogenic needs requiring treatment in order to create a Custody Management Plan. The Custody Management Plan will be formulated based on information collected during the Phase One risk assessment, new information collected with a computer based Criminogenic Needs Assessment Tool (CNAT, discussed in Strategies section E) and the offender's sentence order. The sentence order will recommend treatment based on criminogenic needs identified in the Risk Assessment Tool. The Custody Management Plan will list the sentence start date and initial program placement (custodial or non-custodial). The start date is dependant on space availability in the assigned program. Additional treatment, not specified in the sentence order, may be recommended in order to meet the offender's specific criminogenic needs. Provisions for a treatment evaluation through Lane County Mental Health can be identified in the Case Management Plan. Custody programs that may be in the offender's management plan include the Jail Inmate Work Program, Forest Work Camp, Community Corrections Center, Road Crew, Day Reporting, Electronic

Monitoring, or Community Supervision through Parole and Probation. Treatment for a sentenced offender's criminogenic needs will be recommended in the Custody Management Plan. As a sentenced offender moves into less restrictive custody programs, more community based criminogenic treatment options are available. Treatment required by the sentencing judge could begin during custody instead of being postponed until the offender is out of custody. Additional criminogenic needs identified by the CNAT could also be addressed while the offender is still serving the custody portion of their sentence. Treatment programs include Sex Offender treatment (currently seven programs utilized by Lane County), Domestic Violence treatment (three programs currently utilized by Lane County), Substance Abuse treatment (a variety of residential and out-patient programs are utilized by Lane County), Cognitive Skills, Mental Health treatment, and Anger Management treatment.

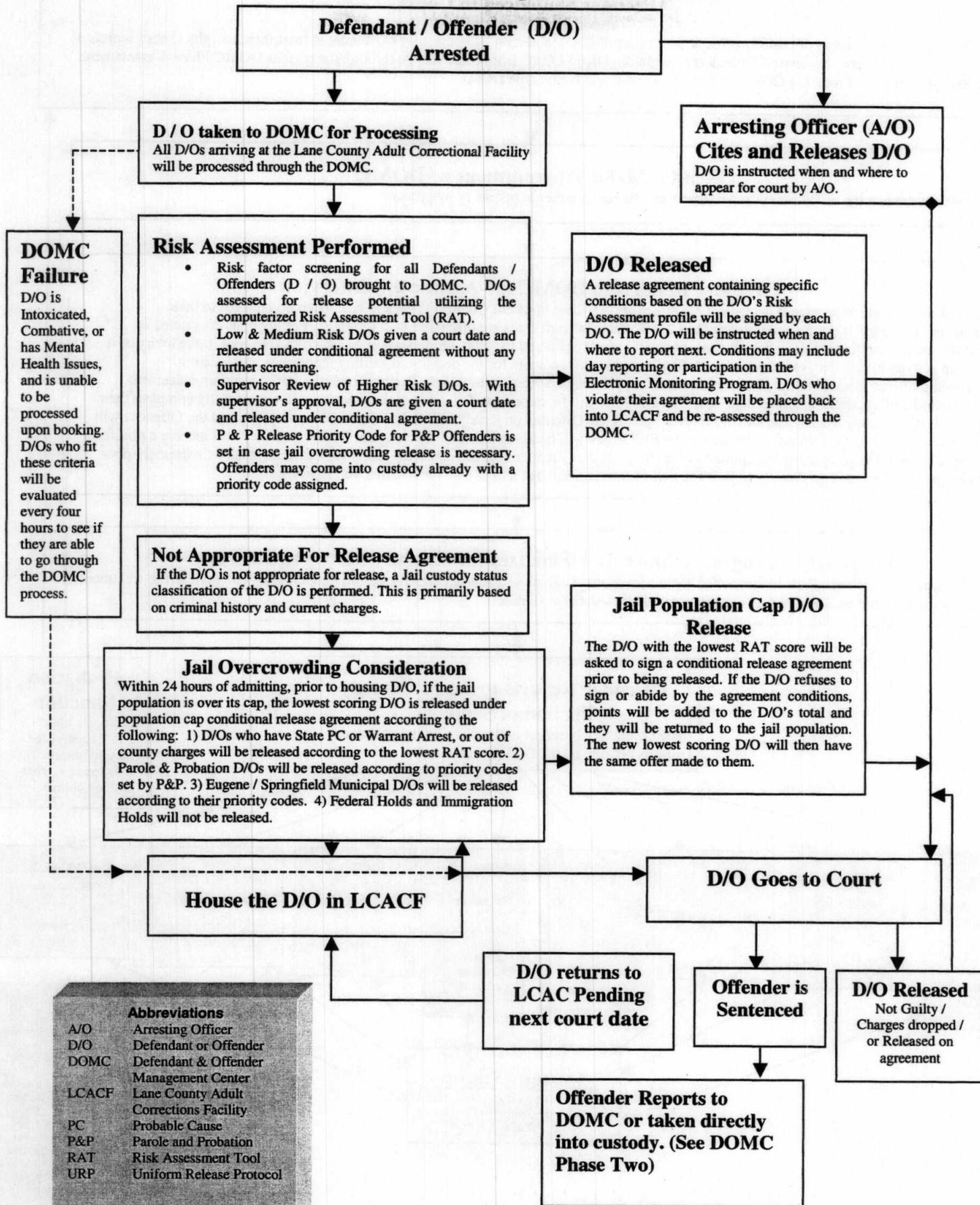
Phase Three: Case Management

In Phase Three operations of the DOMC, offenders will be scheduled for regular case reviews, to monitor progress monitored as they continue to serve their sentence. The case review team may alter the Custody Management Plan based on information available at the time of the review. This may include adding required treatment, moving the offender to a less restrictive program, including community supervision earlier than expected, or any other appropriate action indicated by the offender's behavior, attitude, cooperation, change in resources or employability, and level of participation. For example, a sentenced offender placed in the Forest Work Camp may work well on crew, but have difficulty getting along with other offenders in camp. During the review, the committee decides to require the offender to attend a communications or personal decisions course, such as the Boundaries course taught two years ago, at the Forest Work Camp prior to consideration for placement in Work Release. The case review team will be comprised of representatives from Parole & Probation the various LCAC alternative custody programs, medical and mental health services, kitchen staff, laundry staff and DOMC staff. Phase Three operations will also include classification review and selection of LCAC inmate workers.

C. Operational Protocol

The following flow charts illustrate the operational protocol of Phases One through Three of the DOMC. An expanded narrative version of the DOMC Phase One operational protocol may be found in the Appendix C.

DOMC Phase One Operational Protocol



Abbreviations	
A/O	Arresting Officer
D/O	Defendant or Offender
DOMC	Defendant & Offender Management Center
LCACF	Lane County Adult Corrections Facility
PC	Probable Cause
P&P	Parole and Probation
RAT	Risk Assessment Tool
URP	Uniform Release Protocol

DOMC Phase Two Operational Protocol

Offender Sentenced in Court

(sentenced to 12 months or less)

Sentencing Judge tells an out of custody offender to contact the DOMC within 24 hours, gives Offender at least three months to start sentence and a "complete by" date. Sentenced Offenders brought directly to LCAC from court will go through the regular DOMC Phase 1 assessment. Offenders sent by their Probation Officer to serve a sanction will contact the DOMC.

Offender Makes Appointment w/ DOMC

For those out of custody, an interview appointment will be set up either in person or by phone.

Offender Reports to DOMC for Assessment Interview

A copy of the offender's judgment is made. RAT information will be updated; Confirm that there have been no changes to their information. Interview is conducted utilizing the CNAT. Potential start dates are discussed with Offender. Follow up is conducted as necessary such as confirming the offender has a phone if being considered for EM. Offender is either instructed to wait in the lobby or if follow up activity is required, to recontact the DOMC by phone in 24 hours for the decision regarding report date and location. Interviewing officer formulates the Custody Management Plan and a sentence start date. The plan includes initial program placement, review period and treatment recommendations. The Offender will be informed of all information necessary to successfully complete their sentence. If the Custody Management Plan involves placing the Offender on Road Crew, a furlough will be prepared and the Offender will be given a start date. If the Offender is placed in the FWC, they will be given a date to report to the CCC where they will receive a physical and spend the night prior to being transported to the FWC. If the Offender fails the interview (i.e. intoxicated, combative, extremely poor attitude) process they may go directly to jail. They will be reconsidered at a later date for Alternative Programs.

Alternative Programs Supervisor Finalizes the Custody Management Plan

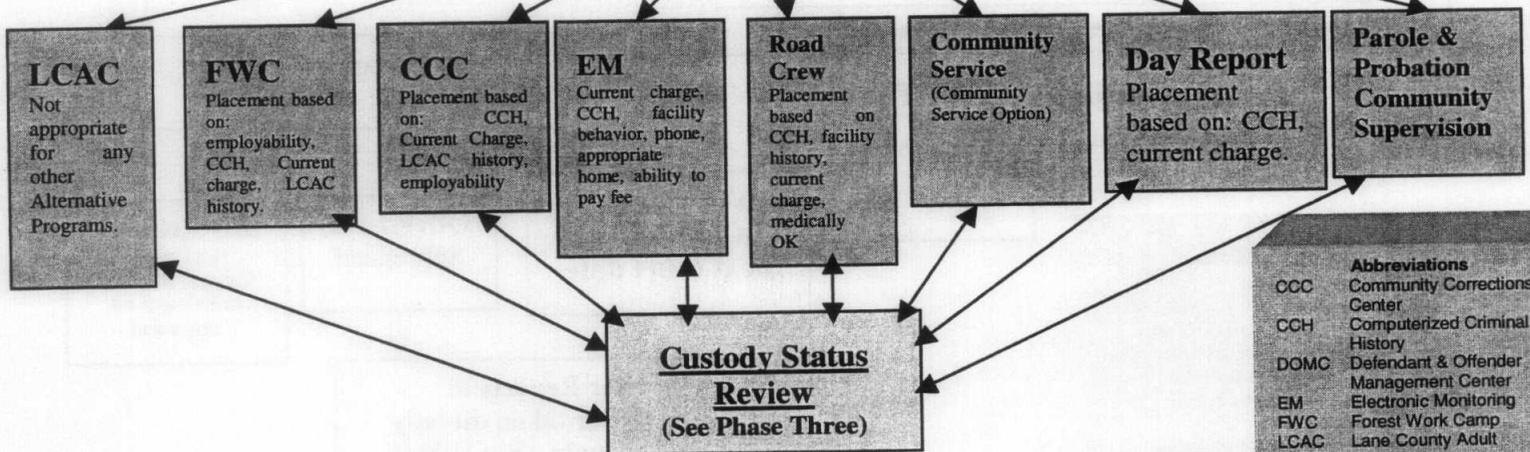
The Custody Management Plan is forwarded to the involved Alternative Program supervisor. The supervisor will review the treatment recommendations and finalize the plan according to their resources available.

Offender Reports to Serve Custody Portion of Sentence

The Offender will report to the place on the date and time as ordered by the DOMC staff.

Probation Sanction

Offenders under P & P supervision may be informally sanctioned to other custody options



Abbreviations	
CCC	Community Corrections Center
CCH	Computerized Criminal History
DOMC	Defendant & Offender Management Center
EM	Electronic Monitoring
FWC	Forest Work Camp
LCAC	Lane County Adult Corrections
NAT	Needs Assessment Tool
P&P	Parole & Probation
RAT	Risk Assessment Tool

DOMC Phase Three Operational Protocol

Regular D / O Custody Management Review

- The custody status / classification review of all sentenced and unsentenced inmates will take place approximately 30 days after the D/O has either entered the facility or began his or her sentence. This includes all inmates in LCACF and Alternative Programs.
- In addition to the standard 30-day review, a classification review will be triggered whenever an inmate becomes sentenced, or when they are re-housed to the Inmate Disciplinary Unit (IDU) in LCACF. Any staff member may request a special review if there has been a significant change in the D/O's situation.
- After the standard 30-day review, subsequent reviews will be set at 60 days, unless the review team recommends a shorter review period. All inmates are rotated through the review process as long as they are in the continuum of custody programs, or until they move on to one of the least secure program such as Road Crew, Community Service, Day Reporting, Electronic Monitoring. Offenders in the least secure programs are not generally reviewed, as they have reached the highest level of placement. The review team currently meets once a week.
- Reviews require input from staff regarding the sentenced Offender's behavior. Reviews also rely on initial risk and needs assessment information collected, and the Custody Management Plan recommended by the DOMC Officer.
- The review team may choose to maintain the Custody Management Plan, or change time lines based upon the D/O's current situation. The review team may change the D/O's treatment requirements, unless the treatment program is court ordered, or D/O's program placement. Factors considered will include the D/O's resistance or receptivity to change, participation in current programs, and compliance with program rules.
- Staff may also request a special review for any D/O who is assigned to Road Crew, Community Service, Day Reporting, or P&P Community Supervision if the D/O's situation necessitates a change in custodial program.

D. Risk Assessment Tool

The Defendant & Offender Management Center team established a subcommittee to develop and implement a Risk Assessment Tool (RAT). The subcommittee met with agency leaders to determine the most important risk factors. As mentioned earlier in this document, the major areas of concern about risk are:

- Risk of recidivism,
- Risk of dangerousness
- Risk of failure to appear or comply
- Indicators of defendant/offender criminogenic needs

In addition, the RAT should be reviewed and validated locally to indicate that it is an accurate prediction of risk in this community. Agency leaders expressed a desire to share the RAT with the District Attorney, Public Defender and Lane County Circuit Court. In addition to release decisions, the tool will be used to develop conditions of release and sentence conditions, if the defendant is convicted. The RAT contains a condensed criminogenic needs section. This needs section can be used in sentencing to hold offenders accountable for criminogenic treatment needs as well as any required custody time. In The Psychology of Criminal Conduct, D.A. Andrews defines criminogenic needs as "... a subset of an offender's risk level. They are dynamic factors that, when changed, are associated with changes in the probability of recidivism" (2003). Tailoring sentences, custody placements and treatment opportunities to an offender's criminogenic needs is a step toward reducing dangerousness and recidivism in our community. The criminogenic needs identified in the RAT will be further developed in the Criminal Needs Assessment Tool.

BUILD/BUY DECISION

Once the RAT team had a clear understanding of the requirements for the tool, they had to decide whether to build or buy a risk assessment tool. The team studied two pre-packaged risk assessment tools, the Level of Service Inventory, Revised (LSI-R), and Northpointe's Compas.

The prepackaged tools have a number of strengths including ease of implementation, and national (but not local) validation. Their weaknesses include: expense (approximately \$4.00 per interview), not locally validated, and the project would be reliant on a vendor for continuation of a product. In addition, only Compas is offered in a computerized format. The LSI-R is a handwritten assessment.

The team determined that using a prepackaged product could cost approximately \$64,000 per year if every new lodging resulted in an interview (16,000 bookings x \$4.00 per assessment). This, combined with the fact that a local validation study would have to be conducted anyway, convinced the team that developing a risk assessment tool would be a reasonable choice.

The value of developing our own tool is that it can be customized to meet local specifications. If future validation studies show that the tool is not measuring risk correctly, changes can be made quickly and without payment to a vendor.

DEVELOPING THE RISK ASSESSMENT TOOL

The team first conducted a literature review. This review examined research on designing risk assessment tools, how to use risk assessments to measure compliance and recidivism, and numerous tools from other jurisdictions. The team relied heavily on the work of other jurisdictions and the interview currently used by the Pretrial Release Office to develop a set of information to gather during each release risk assessment interview. Data sources were identified, such as whether the information would come from an interview of the defendant or another source. Verification of information provided in the interview was discussed and identified. The questions were then weighted to measure their relativity to each of the above-mentioned risk categories.

TESTING

The risk assessment instrument is now in an initial testing phase. 50 recent release decisions were scored using the new tool. The scores were compared to the release decision made at the time of the interview and the reasons for releasing or not releasing. Then the team reviewed whether the released defendants subsequently appeared in court, to determine if their FTA scoring was accurate. This study is ongoing, but the initial results show a close correlation between the score assigned to FTA risk and the defendant's behavior. A larger, pre-implementation study will be conducted after the plan is approved.

VALIDATION

Bob DenOuden, a Senior Research Analyst with Lane Council of Governments, designed the methodology for a validation study of the risk assessment instrument. The primary goal of the validation study is to assess how well the RAT scores predict risk for:

1. Recidivism
2. Dangerousness
3. Failure to appear/comply with pretrial release conditions
4. Overall risk of any type of "failure"

Validation of the RAT will examine in detail the specific data describing release decisions and their outcomes, and it will also look at broader performance measures of the pretrial release process in an attempt to determine if improvements are being made and how well the tool predicts the outcome of release decisions. The validation plan calls for a two phased approach. In the first validation phase, the current system of pretrial release is used for release decisions, and the RAT is completed, scored and compared to the current system. The second phase of testing begins when the RAT is used exclusively. Scores, decisions and the outcome of release decision will be analyzed over a six month period. Please refer to Appendix B: DRAFT Validation Plan for Lane County's Risk Assessment Tool, prepared by Bob DenOuden.

E. Criminogenic Needs Assessment Tool

The Defendant & Offender Management Center team established a subcommittee to design implementation of a Criminogenic Needs Assessment Tool (CNAT). The CNAT subcommittee is made up of the same people as the Risk Assessment Tool (RAT) subcommittee. At the time of this writing, the CNAT is still in the early development stages. The CNAT will be utilized during the Phase Two portion of the DOMC operation where a custody management plan will be formulated for each offender.

The Criminogenic Needs Assessment Tool will be a screening instrument. The CNAT will be used to identify factors known to be associated with a propensity for future criminal activity and harm to the community. The use of this instrument will allow for the referral of offenders to programs for further clinical assessment on their treatment needs. There are two major categories of need that the CNAT will address; 1) type of custodial placement required in order to maintain the safety and security of the community 2) treatment and economic issues. The CNAT will be a computer-based system utilizing decision tree formats. The CNAT will yield a recommended custodial and treatment program placement for each offender. Examples of treatment and economic needs are:

- Education
- Alcohol & Drug
- Domestic Violence
- Anger Management
- Sex Offender
- Employment
- Housing
- Peer Group / Social Contacts
- Parenting
- Mental Health
- Medical

Currently, components of the CNAT can be found in everyday use within the Lane County Adult Correctional System. For example, the Offender Management Team assesses the population of the jail on a daily basis for appropriateness in alternative custody programs such as the Community Corrections Center, Electronic Surveillance, and Forest Work Camp. Additionally, interviews are conducted with many offenders prior to their custody commencement in order to determine program placement. Once placed in a program such as the Community Corrections Center, the program supervisor reviews the offender's file and determines what type of treatment might benefit them, be it education, alcohol and drug, or domestic violence treatment. The computerized CNAT will streamline and enhance the current system gaining uniformity in the decision making process and a greater number of assessments to be accomplished utilizing existing staff resources.

The CNAT will build on the data already collected during Phase One operations utilizing the RAT. This data will be updated if necessary and added to by asking other questions that relate to the above-mentioned areas of need. Data will be collected and stored from one lodging to the next in order to track how long a need has existed in any area of

interest, and what resources, such as family, employment skills, and friends the offender may have.

Meeting the criminogenic needs of the offender is the goal. Resources to meet specific needs may not be available in all custody programs or in the community. The CNAT will be able to track offender needs for which a resource does not presently exist, in order to demonstrate to stakeholders and the community the level of needs not being met. This information will allow stakeholders and the community to make more informed resource allocation decisions.

DEVELOPING THE CRIMINOGENIC NEEDS ASSESSMENT TOOL

In developing the CNAT, the team has been referring to current alternative program evaluation tools utilized by the jail's Offender Management Team staff as well as a pre-packaged assessment tool, the LSI-R (Level of Service Inventory, Revised). The LSI-R and the current assessment tool are hand written (not computerized) and therefore not desirable as collecting statistical information from each tool would also have to be done by hand. The current system of evaluating sentenced offender's focuses on risk of dangerousness to the community; the present system does not adequately identify criminogenic needs. The value of developing a comprehensive tool is that it can be customized to local specifications and be integrated with the RAT currently under development. Customizable Case Management Software is available that contains criminogenic needs assessment tools. One program being considered has the capability of integrating with our existing law enforcement databases including Offendertrak.

The subcommittee is in the process of compiling the unique requirements and restrictions of each alternative custodial program. This information will dictate the questions necessary to determine if an offender is appropriate for a program or not. Criminogenic needs identified in the RAT will be further defined in the CNAT. After the list of CNAT questions has been completed, the next step is formatting the questions within computer software.

F. Physical Location

A site selection study explored potential locations for DOMC placement. Specific needs were identified, and a list of criteria compiled. Criteria includes: required physical modifications, security concerns, staff workspace, defendant/offender space, public access, and the desire for one physical location to house all phases.

Phase One operations require a level of security similar to the existing Book-in area. D/O's would be under observation while in the Phase One center, but they might not need to be secured in a holding cell, as is current practice. Phase One also requires photograph and fingerprint equipment, interview booths or counters and staff work stations. Mixing of Phase One D/O's with those engaged in Phase Two/Three activities is to be avoided.

Phases Two and Three require easy public access. Staff workstations and interview areas would not have to be secure, as in Phase One. The Phase Two/Three area must have a restroom suitable for urinalysis specimen collection. A conference room and space for a Day Reporting Center are desirable.

A report prepared by the site selection group is located in Appendix E.

G. Staffing Study

The DOMC will operate with existing staff and resources. A subgroup of committee members is engaged in a job classification study with representatives from Lane County Sheriff's Office Human Resources and Lane County Management Services. The subgroup is compiling a list of expected tasks associated with each position in all three phases of the proposed DOMC, including who presently performs each task. The information provided will include the number of FTE from each agency, and current classifications available to execute each task. Concerns regarding tasks and proposed staff will be listed. For example, a Pretrial Release Officer, a Deputy Sheriff or a Parole Officer may be asked to complete the same task.

Lane County Management Services will review the proposed task lists and compare them to current Lane County job descriptions, as well as classifications from other jurisdictions. Recommendations regarding task assignments and the appropriate job classification will be forwarded to the DOMC committee. This study will be similar to the National Institute of Corrections main jail staffing analysis completed in 2001. The study will use nationally accepted formulae to identify the appropriate and cost effective job classification for each task, as well as provide FTE recommendations that include the proper shift relief factor.

Appendix F is a proposed staff schedule utilizing staff from all three agencies. The schedule allocates two persons with release authority to operate two Phase One interview booths 24 hours a day, 7 days a week. It also allows for the presence of one support person on day shift seven days a week and a second support person also on day shift five days a week. The support person (a Court Operation Specialist, Records Specialist or Corrections Technician) can perform all the clerical, verification, court contact and/or Parole & Probation related work. They could also conduct interviews, apply the RAT and prepare the documents for the release decision-makers in Booths 1 and 2. This schedule will also operate three Phase Two interview and assessment desks on dayshift seven days a week. The schedule has built in an Office Assistant to provide Phase Two clerical support seven days a week (there will be two Office Assistants on Mondays).

Built into the schedule is an appropriate relief factor for the identified operational posts and utilizes only existing staff, with one exception. The exception is Deputy Sheriff position eight (of nine). This position would perform field operations three days a week, and staff a Phase Two interview station two days a week. Without it, field operations could not happen from the DOMC and the Phase Two operation would drop to only two operating interview stations two days each week. One option would be to use support staff from Phase One to work in the second Phase One interview booth, thus freeing up a Phase One Deputy Sheriff to work the third Phase Two interview desk. Optimally, a ninth staff member, whether a Release Assistant Officer or Deputy Sheriff would complete the schedule.

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Appendix A

RISK ASSESSMENT TOOL RISK FACTORS AND POINTS

QUESTION	FAILURE RISK	RE-OFFENSE RISK	DANGEROUSNESS	RESEISTANCE TO CHANGE
Historical FTAs	None = 0, 1 time = 1, more than 1 = 5	0	0	0
FTA's on current charge	None: 0 = 1 : 4	0	0	0
Resides with Victim?	0	Yes = 1	Yes = 3	0
Protective orders (RO/SO) Relationships?	0	Any = 3	Any = 4	0
Violations of protective orders?	2 X Number of Violations	1 X Number of Violations	4 X Number of Violations	2
Current charge for violation of protective order?	3	3	5	2
Current charge is violent felony?	5	0	5	0
Current charge is violent misdemeanor?	0	0	3	0
Current charge is high recidivism crime? (Rob., Burg, Arson, Theft, UUMV)	3	5	Rob, Arson = 4 Burg, Theft, UUMV = 1	4
Conviction for violent felony?*	4	4	5	4
Convictions for violent misdemeanors?*	0	1	2	1
Convictions for high recidivism crimes? (Rob.,Burg., Arson,Theft, UUMV)*	3	5	Rob, Arson = 4 Burg, Theft, UUMV = 1	4
Other Pending Charges?	One or more pending, same incident date = 1 Two or more pending, different dates = 3 Add 1 point for each felony pending	One or more pending, same incident date = 2 Two or more pending, different dates = 4 Add 1 point for each felony pending	0	0
Outstanding warrants? Y/N	4	3	0	2
Indicator crimes? (Animal abuse, Indecent exposure, Public indecency - current or historical)	3	5	4	5
Convictions for drug or alcohol felonies?	3	Drug = 2 Alcohol = 4	Drug = 2 Alcohol = 4	Drug = 2 Alcohol = 5
In current case is victim known or unknown, in violent offense only? (how long have you known victim?)	Victim known = 4 If APA (Domestic Violence) add 1	Victim known = 4	Sex Offense, victim unknown = 5 Sex Offense, victim known = 3 All others, victim known = 3	
Prior Release Agreement Failure?	4	0	0	3
Is defendant on Community Supervision now or in past 5 years?	Current = 3 Past = 2	Current = 3 Past = 2	0	3
Revocations or Custody Sanctions?*	Sanction = 1 Revocations = 3	Sanctions = 1 Revocations = 3	0	4
PO name?	0	0	0	0
Is defendant on Court Probation now or in past 5 years?	Current = 3 Past = 2	Current = 3 Past = 2	0	3
Alternative program history. Success / failure.	Successful completion = -2 Failure = 2	0	0	Success -1 Failure = 1
Place of birth	0	0	0	0
Current address	No address = 3; Lane County = 0; OR = 1 Other State = 2; Non-USA = 4	0	0	0
Length of stay at current address (if less than 1 year, consider previous address).	> 1 year = 0 6 mos. to 1 yr.=1 < 6 mos.=2; < 1 mos.=3	0	0	0
Time in Oregon	> 1 year = 0 < 1 year = 1	0	0	0
House/Apartment?	0	0	0	0
Own/Rent?	Own = -1 Rent = 0	0	0	0
Relationship / partner/marital status	Married/partnered more than 1 year = -1	0	0	0
Telephone? Specify Number: _____ Land line or wireless?	No telephone = 2	0	0	0

Appendix A

RISK FACTORS AND POINTS				
QUESTION	FAILURE RISK	RE-OFFENSE RISK	DANGEROUSNESS	RESESISTANCE TO CHANGE
(No points if disabled or full time student) Employed? How long? (Full time care giver counts as employment)	> 5 yrs. = -3; > 6 mos = -1 < 6 mos. = 1 No = 2	0	0	> 5 yrs. = -3; > 6 mos = -1 < 6 mos. = 1 No = 2
Employment or child care giver? Full-time? Part-time?	0	0	0	0
Employer: _____ Address: _____ Type of work: _____	Involves travel = 3	0	0	0
Student? Full/ part time?	0	0	0	0
Other vocation/ avocation/ volunteer activity?	Involved in pro-social activity = -1	0	0	Pro-social activity = -1
Community ties / associations / regular interactions (references?)	Ref. with CJ involvement = 1 Ref. give positive feedback = -1	Ref. with CJ involvement = 2	0	Ref. W/CJ involv. = 2
Access to vehicle with valid drivers license and insurance?	Yes = -2	0	0	0
Access to other transportation? Specify: _____	Yes = -1 No transportation = 2	0	0	0
Education. Last grade completed?	0	College degree = -2 High school grad or GRE = -1 No high school grad = 1	0	College degree = -2 High school grad or GRE = -1 No high school grad = 1
Primary language? Secondary language?	0	0	0	0
Citizen status?	American = 0 Foriegners: Felony=4; Misdos.=2	0	0	0
Able to write?	No = 2	No = 1	0	0
Able to read?	No = 2	No = 1	0	0
Alcohol/drug treatment? Current? Prior? When? Where?	0	0	0	0
Offender stated needs. Specify: _____	0	0	0	Denies identified need = 4 Acknowledges identified need = -1
Current/chronic health problems or disability?	0	0	0	0
Pregnant?	0	0	0	0
Suicide history or currently?	0	0	3	0
Mental health treatment history or current illness? Specify diagnosis: _____ Specify medication: _____	0	0	0	0
Income: Source: _____ Amount: \$ _____ Health insurance: _____	0	0	0	0
Escape, Flight, or abscond history in last 5 years?	Yes = 5	0	0	0
In last five years how long spent in jail or prison? Specify: _____	4-5 years = 5 3-4 years = 3 1-2 years = 1 <1 year = 0	4-5 years = 5 3-4 years = 3 1-2 years = 1 <1 year = 0	4-5 years = 5 3-4 years = 3 1-2 years = 1 <1 year = 0	0
Gambling habit?	Yes = 2	Yes = 3	0	Yes = 4
Weapon use in commission of crime?	0	Yes = 3	Yes = 5	0
Known legitimate threats made?	0	Yes = 5	Yes = 5	0

* Note: Charges and point values are for last five years, up to 5 convictions. If there are greater than 5 convictions point value doubles. For convictions over five years ago, decrease point value by 1/2. If there are five or more convictions over five

Appendix B: Risk Assessment Tool Validation Study

DRAFT Validation Plan for Lane County's Risk Assessment Tool

Prepared for the:

**Offender Management Team
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Prepared by:

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November 2003

Introduction:

In order to enhance the efficiency of the local criminal justice system in Lane County, agencies participating in that system have come together to re-evaluate certain aspects of its structure and operational characteristics. One of the outcomes of this process has been the identification of a need for a single risk assessment tool (RAT) and process to guide decision making on defendant and offender custody status at various points in the system. A working group was assembled with the intent to study the current state of the practice in risk assessment and recommend a tool that could be used for custody decisions at all phases of the system: pretrial, sentenced, and post-sentence supervision. This document describes a validation strategy to be used to assess the RAT. The validation plan is designed primarily for pretrial decisions, but the concepts will apply to all phases of the system assuming appropriate outcome measures are defined and data collected to support the study. One of the difficulties presented by the implementation of a new risk assessment instrument for defendant/offender management in the adult corrections system will be the lack of available time and resources to complete an exhaustive, statistically-based validation test of the proposed instrument prior to implementation. In order to compensate for this limitation, the validation plan proposes a multiple phase process which will provide iterative assessments of the tool's predictive ability. This can be thought of as a sort of "adaptive management" approach to the problem, recognizing that improvements to the process will be made as further analysis and experience with the tool provide direction for enhancements.

Goals of the Validation Study:

The primary goal of the validation study is to assess how well the RAT scores predict risk for:

1. Failure to appear/comply with pretrial release conditions
2. Recidivism
3. Dangerousness
4. Overall risk of any type of "failure"

A key to this study will be effective data collection through each phase of the validation and initial implementation of the tool. An outline of data collection activities is provided in Appendix A.

It is important to note that, while this validation study focuses primarily on the performance of the RAT scores in predicting outcome of release decisions, the ultimate goal of the broader offender management planning effort of which the RAT is a component is to make the entire system function better. Validation of the RAT will examine in detail the specific data describing release decisions and their outcomes and it will also look at broader performance measures of the pretrial release process in an attempt to determine if improvements are being made.

Recommendation:

This validation plan recommends a two phase study of the proposed RAT. In the first phase, the current system will remain essentially intact while required data for the proposed RAT are gathered and scores/recommendation using this process are calculated and analyzed. While this will add significant additional effort to the current pretrial release process, it will allow for an initial calibration of the new tool as well as a trial period in which the risk assessment process itself is adjusted where necessary. This

should provide a level of confidence that will allow a longer second phase validation study to occur.

Phases of the validation process:

Phase I - Compare existing and new release processes: In the first phase of the risk assessment instrument validation, the current Custody Referee (CRef) release process will continue to be used, while the proposed risk assessment tool (RAT) scores will also be calculated. Decisions will remain based on the CRef interview process, but additional data required to calculate the RAT scores will be collected. After a sufficient period of time, two to three months is proposed¹, the data will be analyzed to compare CRef decisions to the proposed RAT score/decision, summarizing both the decisions produced by the processes and the outcomes of those decisions². Prior to this analysis, an initial decision threshold value for the RAT score will be determined by the RAT team in order to attribute RAT release decisions for each offender/defendant in the sample set. Also prior to the analysis, outcome measures for pretrial failure, recidivism, and dangerousness must be operationalized in order to be specifically measured and defined as categorical variables for the analysis. Upon completion of the test period, each of the following decision possibilities will be analyzed:

	CRef	RAT
Result 1:	Release	Hold
Result 2:	Hold	Release
Result 3:	Release	Release
Result 4:	Hold	Hold

Result 1: For those situations where the CRef decision was to release while the RAT score would have led to a decision to hold, outcome data can be analyzed to determine if the RAT score would be a good predictor of outcome. One issue to be addressed will be the allowance of sufficient passage of post release time for the collection of outcome data, particularly recidivism data. A minimum six month period would be desirable, but not practical. Three months is likely the maximum that can be allowed. This should provide an adequate outcome tracking period for release compliance with court dates and/or other release agreement components, but will not be a strong measure of recidivism or dangerousness risk.

Result 2: Where the CRef decision is to hold while the RAT process would have resulted in a release, theoretically there would not be outcome data to analyze (since the offender/defendant would be held in custody and would not have the opportunity to fail or succeed). In examining recidivism and dangerousness risks, it will be important to attempt to normalize the re-arrest data to compensate for varying levels of "availability" to commit new crimes for those who are held pending trial. There will be, however, a number of individuals whose CRef decision was a hold, but who were subsequently

¹ It is estimated that one month of data collection will yield approximately 800 interviews and release decisions; hence a two month test period will result in a sample size of approximately 1,600 release decisions and three months would yield approximately 2,400 decisions.

² The outcome analysis should omit cases that currently, and in the future, will continue to be excluded from release consideration. These include Federal holds and any other type of hold that would preclude a CRef or Matrix release as a possibility.

released through the matrix process³. Outcome results for these cases will be analyzed to determine if the RAT score was a good predictor of outcome risk. This is a critical test sample since it potentially sheds light on the ability of the RAT to avoid “false positives” where defendants are held in custody despite a risk measure that would allow them to be released. This will be difficult to ascertain in later phases of research when the RAT is used exclusively.

Result 3: Where both processes agree on a decision to release, the analysis will have straight-forward outcome results to analyze.

Result 4: Where both processes agree to hold the offender/defendant, there will be outcome data to analyze only for those who, similar to Result 2 cases above, are later released through the matrix process.

Analysis of validation Phase I decisions and outcomes: In order to analyze the results of the first phase of RAT testing, risk factor and outcome data for all defendants/offender that were released, either through the CRef process or the matrix, will be examined and t-tests conducted to assess predictive value of the overall score on the likelihood of failure, recidivism, and dangerousness. Similar analysis will be run for each individual risk score component examining failure risk score as an overall predictor of failure, re-offense risk score as a predictor of recidivism, and dangerousness risk score as a predictor of dangerous re-offenses.

Examine individual risk variables: In order to assess the contribution each of the individual risk factors make to the overall effectiveness of the tool, the next step in the analysis is to conduct bivariate tests of statistical significance between the criterion variables and each predictor variable. Chi-square tests should be conducted for predictor variables with discrete categories. For predictor variables measured at the interval or ratio scales, conduct t-tests for significance. These results should be summarized in a set of tables such as the following (Note that the final list of risk factor variables may be modified prior to Phase I testing. The list below represents the current factors that contribute to the RAT scores at the time of writing):

Variable	Failure to appear/comply			Significance (p)
	No failure (percent)	Failure (percent)	Missing Data (percent)	
Historical FTAs				
FTA's on current charge				
Resides with Victim				
Protective orders (RO/SO) Relationships				
Violations of protective orders				
Current charge for violation of protective order				
Number of historical violations of protective orders				

³ A sampling of release data for July-September, 2003 shows that out of 2,456 interviews conducted, 59.2% resulted in a CRef release agreement and 33.4% resulted in a matrix release (3% were matrix released prior to the CRef interview taking place). Thus, the sample size of defendants/offenders on either a CRef or Matrix release will be fairly large.

Current charge is violent felony				
Current charge is violent misdemeanor				
Current charge is high recidivism crime				
Conviction for violent felony				
Convictions for violent misdemeanors				
Convictions for high recidivism crimes				
Other Pending Charges				
Outstanding warrants				
Indicator crimes				
Convictions for drug or alcohol felonies				
In current case is victim known or unknown (in violent offense only)				
Prior Release Agreement Failure				
Is defendant on Community Supervision now or in past 5 years				
Revocations or Custody Sanctions				
Is defendant on Court Probation now or in past 5 years				
Alternative program history.				
Current address local				
Length of stay at current address				
Time in Oregon				
Own/Rent				
Relationship / partner/marital status				
Telephone Available				
Employed? How long				
Employment requires Travel				
Other vocation/ avocation/ volunteer activity				
Community ties / associations / regular interactions				
Access to vehicle with valid drivers license and insurance				
Access to other transportation				
Education. Last grade completed				
Citizen status				
Able to write				
Able to read				
Offender stated needs.				
Suicide history or currently				
Escape, Flight, or abscond history in last 5 years				
In last five years how long spent in jail or prison				
Gambling habit				
Weapon use in commission of crime				

Known legitimate threats made				
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The summary table above should be repeated for Recidivism and Dangerousness risk as well as overall "failure" risk. Note that, even though not all of the risk variables are included in the calculation of risk scores for each risk type, an analysis of statistical relationships between all variables collected to each type of risk should be conducted. It is possible that the analysis will reveal the possibility of unanticipated relationships in other risk categories. Also note the validation plan assumes that all RAT variables will be recorded and collected for all release decisions during the period of analysis, but it is likely that for a number of defendants/offenders there will be missing data⁴. The analysis will also check for multi-collinearity with correlation matrices of risk variables to determine which variables are candidates to remove from the risk score calculation based on strong correlation between individual risk indicators.

The results of this analysis will be a measure of the strength of the relationships between each of the selected RAT risk variables and the measured outcomes from the test period defendants/offenders.

Phase II – longer term analysis of RAT decision outcomes: After the switch is made to exclusive use of the RAT process for release decisions, the analysis will examine scores, decisions, and outcomes⁵ over the first six months of this process. The analysis of these data will essentially be the same as the analysis for phase I with the addition of a step to refine the RAT scores through the application of logistic regression.

The outcome results of the first three months of release decisions will be summarize in a table such as the following⁶:

	Sample size	Percent of decision	Ave. RAT score (overall)	Percent with any type of failure	Ave RAT score (Failure risk)	Percent with subsequent RA failure ⁷	Ave. RAT score Recidivism	Percent with re-offense ⁸	Ave. RAT dangerousness	Percent with dangerous re-offense ⁹
Released										
Held ¹⁰				NA		NA		NA		NA

⁴ If data for particular variables are difficult to collect, this might indicate the need for further refinement of the RAT question(s) related to that variable or the removal of question(s) from the tool.

⁵ Note; the assumption is that only decisions that result in a release agreement will have pretrial failure outcomes to analyze. Decisions to hold an offender/defendant presumably will not result in an opportunity to fail to appear/comply and they will presumably have a reduced likelihood to recidivate since they would have been held in custody pending court processing.

⁶ In order to have six months of RAT release decisions and at least six months of post decision outcome data, a minimum of twelve months of data collection will be required.

Analysis of decisions and outcomes:

For those defendants/offenders who were released, again conduct t-test for predictive value of overall score on likelihood of failure to appear, recidivism, and dangerousness. Similar analysis will be run for each individual risk score component, examining failure to appear risk score as a predictor of failure to appear, re-offense risk score as a predictor of recidivism, and dangerousness risk score as a predictor of dangerous re-offenses. It is important to note again the potential bias introduced into the analysis by the fact that data on only those offender/defendants who are on a release agreement will be analyzed. This is particularly true to the efforts to understand the "false positive" cases where individuals were held that would not have produced a pretrial failure.

Refinement of the Instrument:

The next step in the validation is to attempt to reduce the number of questions included in the RAT instrument. In order to assess the contribution each of the individual elements of the risk instrument make to the overall effectiveness of the assessment, again conduct bivariate tests of statistical significance between the criterion variables and each predictor variable. These results should be summarized in a set of tables similar to those created in Phase I of the validation.

As in Phase I, the tables should be repeated for Recidivism and Dangerousness risk as well as overall "failure" risk. The analysis will again check for multi-collinearity with correlation matrices of risk factor variables as well as examine missing data to determine which variables are candidates to remove from the risk score calculation based on strong correlation between individual risk indicators.

The results of this analysis will be a re-measure of the strength of the relationships between each of the selected RAT risk variables and the measured outcomes from the Phase II test period defendants/offenders. Based on the statistical analysis of risk factors, a reduced set of factors exhibiting statistical significance with outcome variables will be retained in the RAT.

Analysis of "overrides": One feature of the RAT will be the ability for a release officer to recommend a decision that is contrary to the outcome of the RAT score (either to hold a defendant/offender whose RAT score indicates a release or to release when the score indicates the defendant/offender should be held). These cases should be identified throughout the test phase and risk factor/outcome data should be summarized and analyzed separately. These cases might indicate the need for additional risk factors or other changes to the RAT.

⁷ A risk agreement *failure* will be defined as one or more FTA/FTC violations attributed to a release decision during the analysis period.

⁸ The recidivism *failure* measure will be defined as one or more arrests (or CLCs) on a new charge during the time period analyzed. An open issue for the RAT team to decide is whether to consider only convictions, where data would be more difficult to obtain and more post-decision time would be required for the study.

⁹ A dangerousness *failure* measure will be defined as one or more arrests (or CLCs) where charges include a violent person crime. A more specific measure should be developed by the RAT team.

¹⁰ If the decision is to hold the defendant/offender, there will not be outcome data to summarize

Fitting a model, adjustments to weights and scores: For each of the outcome variables of interest, pretrial failure, recidivism, dangerous offense, or any negative outcome, stepwise logistic regression¹¹ will be used in order to determine the best model based on the set of statistically significant predictor variables. Once the best models are determined, additional regressions can be run to determine the maximum likelihood coefficients. This yields a set of models that, based on the predictor variables, calculates the odds of a subsequent negative outcome in each of the three areas of risk as well as the overall odds of a negative outcome. The model coefficients can then be analyzed in an effort to adjust the RAT weights and scoring methodologies or the RAT scoring model could be replaced by the regression equation itself.

An optional step in the development of the logistic regression model and adjustment of the RAT scoring model would be to divide the sample used to develop the model into two components: an estimation sample to be used to derive the regression equation and a validation sample to be used to calculate predicted probabilities of negative outcomes to compare to the subsequent outcome failure rates. This would imply a longer test period to collect the larger sample size. The decision to proceed would largely be driven by the results of the Phase I testing period and the confidence of those involved in the RAT development team. The final step in the regression analysis might be to adjust the scoring methodology in the RAT. In order to make the adjustment, the maximum likelihood regression coefficients are transformed into point scores using a unit weighting methodology. The necessity of this step will be determined through the results of the testing phases.

Overall system performance analysis: While this validation plan focuses primarily on an assessment of the validity of the RAT in predicting outcome behavior, the tool is part of an effort to improve system function overall and an assessment of the performance of the new risk assessment methodology is important to that effort. It is anticipated that the implementation of a single, reliable risk assessment tool will, during the pretrial process, lead to better decisions on who to hold in custody and who to release. The system wide implications of this are that jail space will be better used and the community will be exposed to less risk. These are difficult concepts to quantify, let alone statistically analyze, but it will be important for the RAT validation process to summarize its effect by presenting overall FTA and FTC rates during the phases of the validation and comparing those to previous rates. The Offender Management Team (OMT) has defined a set of system performance measures to be tracked throughout the implementation of offender management changes, of which the measures of RAT implementation are one. The draft objectives of these efforts are to:

- Increase the Rate at Which defendants/offenders (D/O) Appear for Scheduled Court Proceedings
- Reduce risk of community harm {d/o released into community}
- Increase the number of positive case closures

¹¹ Logistic regression allows one to predict a discrete outcome such as pretrial failure versus pretrial success from a set of variables that may be continuous, discrete, dichotomous, or a mix.

- Increase the Rate of OMC Assessed D/O who are not arrested for a new crime six months post OMC supervision

While the RAT is only one piece of the OMC process, it has potential direct or indirect impacts on all of these stated objectives and progress toward them should be monitored closely.

RAT Validation Timeline:

Phase I: Data collection	2 – 3 months
Phase I: Outcome follow-up ¹²	3 months
Phase I: Analysis and RAT adjustments	2 months
Phase II: Data collection	6 months
Phase II: Outcome follow-up	6 months
Phase II: Analysis and RAT refinements	2 months

¹² During the outcome data collection period analysis of all other aspects of the RAT can occur , such as an examination of issues with particular questions/data items and other operational issues with the tool.

Data Collection Efforts

Data to be collected: Phase I

Risk variables	<ul style="list-style-type: none"> • All RAT factor response data should be collected in a single database • Data on overrides • Calculated RAT scores for each risk class
Outcome measures (for both CRef and matrix releases)	<ul style="list-style-type: none"> • Subsequent failures to appear or comply with release agreement conditions during period leading to case outcome or three months, whichever is shortest. • Successful court appearances • DA decisions to file • Plea outcomes • Court trial outcomes • Sentence data • Any arrests (or CLCs) for new crimes committed during the three month test period • Specific charges lodged for any re-arrests during that period
Optional: operational characteristics	<ul style="list-style-type: none"> • Length of time taken to complete a sample of RAT interviews • Subjective difficulty in collecting particular risk factor information

Data to be collected: Phase II

Risk variables	<ul style="list-style-type: none"> • All responses from every RAT question must be collected
Outcome measures	<ul style="list-style-type: none"> • Subsequent failures to appear or comply with release agreement conditions during period leading to case outcome or three months, whichever is shortest. • Successful court appearances • DA decisions to file • Plea outcomes • Court trial outcomes • Sentence data • Any arrests (or CLCs) for new crimes committed during the three month test period <p>Specific charges lodged for any re-arrests during that period</p>
Optional: operational characteristics	<ul style="list-style-type: none"> • Jail beds occupied by RAT release agreement defendant/offenders • Average length of jail stay pretrial • Court data • <i>Add applicable OMC performance measures when finalized</i>

VALIDATION PLAN REFERENCES

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Appendix C: DOMC Phase One Operations Guidelines
The following is based upon the site scenario in which the area currently known as Book-in is utilized as the DOMC Assessment Center.

DOMC Phase One Operations Guidelines Including the Uniform Release Protocol (URP) *Expanded Version*

Contents

Non Municipal / Probable Cause (PC) and Warrant Arrests Protocol
Non Cooperative / PC Warrant Arrest (Non Municipal) Protocol
Municipal PC and Warrant Arrest Protocol
Parole Holds Release Protocol
Mixed Court (Combination Municipal / State / P&P) Arrests Protocol
Direct Commitments from Court
Incoming Trip Protocol
Out of County Holds
Suicide Watches in the DOMC
Code 3
Bail Releases
Vulnerable D/O's
Federal Holds/Federal Trip
In-Custody Interviews
Out of Custody Interviews
Psychiatric Security Review Board (PSRB) Holds
Immigration and Naturalization Service (INS) Holds
Releases of D/Os housed in Lane County Adult Corrections Facility (LCACF)
DOMC Overcrowding/Non-Scheduled Releases Protocol
Outbound Trips
Transfers to Alternative Programs
Illustration #1

Acronyms

AIRS	Area Information Regional System
A/O	Arresting Officer
CNAT	Criminogenic Needs Assessment Tool
D/O	Defendant or Offender
DOMC	Defendant & Offender Management Center
LCACF	The Lane County Adult Correctional Facility (Jail)
PC	Probable Cause
P&P	Parole and Probation
RAT	Risk Assessment Tool
Trip	Group of inmates being transported to or from correctional institutions for a variety of reasons, including: witness in a trial, Order to Produce, out of county arrests etc.
URP	Uniform Release Protocol

<u>Staff Titles</u>	<u>Brief Descriptions</u>
Assessment Officer	Assigned to DOMC. Interviews D/O's. Applies RAT. Makes a release decision. Selects inmate from main jail for overcrowding release as needed.
Processing Officer	Assigned to DOMC. Conducts appropriate level of search. Dresses D/O's into jail greens. Coordinates housing, court transports, outgoing trip, jail releases.
Property Records Officer	Assigned to DOMC. property room. Inventories and receipts property of D/O's being lodged in main jail. Processes main jail releases
Records Officer	Assigned to DOMC. Receives booking sheet from A/O. Checks booking sheet for errors and omissions, priority codes. Orders computerized criminal history reports from LEDS. Maintains jail files, processes court papers, prepares sentence computations.
Security Officer	Assigned to DOMC. Takes custody of D/O from arresting officer. Maintains safety and security inside the DOMC Phase One waiting area. Fingerprinting and photographing. Responds to jail facility code 3's.

Non Muni / PC and Warrant Arrests Protocol

Step 1: Defendant/Offender is Arrested and taken to the DOMC by A/O (Illustration 1 Box B)

When an A/O arrests someone and makes the decision not to cite and release the D/O, they will bring the D/O to the DOMC. They may utilize the officer workstation outside of the entrance to the DOMC (now known as the "Prebook" room).

Step 2: Collection of Property and Money by A/O (Illustration 1 Box B)

Prior to contacting a DOMC Security Officer at the Book-in slider, the A/O will make a thorough search of the D/O's pockets and place all pocket property and items such as belts in a plastic bag to be sealed later. *(The bag is not sealed at this point in case a DOMC officer finds additional items during pat search).* The A/O will inventory and receipt all property collected from the D/O. Any money collected from the D/O will be placed in a separate plastic bag and receipted. *(The money is being kept separate in case the D/O is booked into custody and the money needs to be placed on the D/O's books).*

Step 3: Verify Identity and Charges by A/O (Illustration 1 Box B)

Prior to contacting a DOMC Officer, the A/O will complete a booking sheet containing the following information: charges, identification, suicide risk, current mental health, recent head injury/trauma, recent drug ingestion, chronic medical condition or communicable disease. The A/O will attach a temporary wrist bracelet on the D/O containing the D/O's name, AIRS number and current date.

Step 4: Medical Acceptability (Illustration 1 Box B)

The A/O will proceed to the DOMC entrance slider with the D/O. The DOMC Security Officer will meet the A/O at the slider, bring the D/O into the DOMC and conduct a brief series of questions and observations to determine if the D/O is medically acceptable to enter the DOMC. If there is any question as to the D/O's acceptability, LCACF Medical personnel will be summoned to make the final decision. In the event that LCACF Medical staff is not available, the on duty supervisor will be contacted to make the determination.

If the D/O is determined to not be medically acceptable, the A/O will take the D/O to the hospital for treatment and/ or obtain a medical clearance from the hospital prior to returning to the DOMC. The arresting agency may choose to cite and release the D/O if the hospital does not clear the D/O for jail.

The DOMC Security Officer will also ask a brief series of questions to determine if the D/O is a suicide risk. The D/O responses will be compared to the information documented on the booking sheet (see step 3). All medical and suicide related questions will be documented.

Step 5: Transfer of the D/O's Pocket Property (Illustration 1 Box B)

The DOMC Security Officer will then conduct a thorough pat down search of the D/O. If anything is found on the D/O that the A/O originally missed, it will be placed in the yet to be sealed plastic bag that is still in the A/O's possession. At this point the property bag and money bag will be sealed with a copy of the receipt attached to them and a copy given to the D/O. The DOMC Security Officer will then accept the property and money bags from the A/O, giving the A/O a receipt for "One sealed plastic bag received from Arresting Officer (Officer's Name & Badge #) on (date)." The amount of money will also be recorded on the receipt. The A/O and the DOMC Security Officer will sign the receipt. The property and money bags will be secured in the presence of the D/O. The D/O will then be instructed to have a seat in the appropriate waiting room. *(At this point the DOMC has only accepted responsibility of collecting a sealed bag of property and money from the AO. It is imperative that the seals on the bags not be broken while the D/O is in the DOMC).* The DOMC Security Officer and Processing Officer will possess keys to the property lockers. The number of the D/Os property locker will be written on the receipt. The DOMC copy of the receipt will be kept with the booking sheet.

Step 6: A/O Delivers Booking Sheet to Records

The A/O will contact Records staff at the Records window and turn in the booking sheet. The Records Officer will check the booking sheet for other outstanding warrants, errors and omissions. Once the booking sheet has been approved, the A/O may leave the DOMC. The Records Officer's priority should be to help the next A/O who might be waiting. Records Officer tasks include the data entry necessary to initiate the D/Os workflow in Offendertrak (See below), check for priority codes, pull or create jail file for the Assessment Officer, book the D/O into Offendertrak, set arraignment date in case the D/O is lodged, and submit computerized criminal history request.

Step 7: The D/O Will Wait Until Called (Illustration 1 Box B)

The D/O, according to their gender will be seated in either Waiting Room One or Two. The doors to these waiting rooms will remain open, except in cases of emergencies. In the event of a facility Code 3, waiting room doors will be secured so that the DOMC Assessment Officers are available to respond. The D/O's will be instructed not to cross the line at the threshold of the door unless they are called for via the intercom paging system. D/Os will follow different colored stripes painted on the floor, leading to the various stations.

Step 8: Offendertrak Work Flow Initiated (Illustration 1 Box B)

Utilizing the booking sheet provided by the A/O, the Records Officer will initiate a DOMC Offendertrak workflow, and place the D/O into "prebook" housing status. The workflow will begin with the Records station, go to the DOMC Assessment Officer in order to input the medical acceptability information, Risk Assessment Tool, demographics, release determination (including release agreement), and end with the Security Officer (photograph and fingerprint collection). *(This order will allow the Assessment Officer time to assemble paperwork while the D/O is being processed. If necessary, a paper system utilizing a series of in / out baskets could be utilized until an automated workflow is in place).*

Step 9: Information Collected by Release Assessment Officer (Illustration 1 Box B)

Once the Records Officer has completed the records portion of the workflow, the DOMC Release Assessment Officer will page the D/O to the interview booth. The interview booths will have doors, but remain in the unlocked position so that D/Os may come and go as instructed. The DOMC Release Officers will process all PC and warrant arrests including all municipal arrests. Additionally, the DOMC Release Officer will process any D/O that is brought in on any trip. *(in order to classify and assign an overcrowding matrix score based on the Risk Assessment Tool).*

Based on the information collected during the interview several decisions will be made:

Book into Jail or Release: If the RAT indicates that the D/O is of too great a risk to release, the DOMC Release Assessment Officer will notify the Processing Officer of the D/O to be housed. If the D/O is to be released, a conditional release agreement will be prepared. The agreement will contain conditions based on the D/O's risk level and criminogenic needs.

Jail Overcrowding (Matrix) Decision: If the D/O is to be kept in jail and the jail population is at it's maximum level, a D/O will be released from LCAC housing. This D/O will be selected based on the RAT point totals. The DOMC Assessment Officer will notify the Property Records Officer and the Processing Officer of the release. *(The rest of this protocol is yet to be discussed).*

Step 10: The D/O is Photographed and Fingerprinted

Once the DOMC Assessment Officer has completed the D/O's workflow, the DOMC Security Officer assigned to the Mug & Print room will call for the D/O over the

intercom and have them report for processing. Necessary fingerprints and photographs will be collected and the D/O will be sent back to the Waiting Room.

Step 11 A: The D/O is Housed in LCACF

If the D/O is to be housed in LCAC then the Processing Officer will be contacted by DOMC staff and notified that the D/O is ready for housing. The Processing Officer will contact the D/O at the entrance to the waiting room and escort them to the property locker where their pocket property has been temporarily stored. The Officer will then escort the D/O to a dressing room and conduct the proper level of search and provide the D/O with jail clothing. The Records Officer assigned to Property Control will receive and re-receipt the D/O's property and money, record the D/O's clothing sizes in Offendertrak, and print labels for property storage. The D/O will be secured in a holding cell. The appropriate housing area will be notified. The receiving housing area will arrange for an LCAC Support Officer to escort the D/O from the holding area to housing.

Step 11 B: The D/O is Released on a Conditional Agreement

The release agreement document is prepared by the DOMC Assessment Officer, and signed by the D/O. The Assessment Officer advises a Security Officer of the DOMC release. The Security Officer will escort the D/O to the property locker and retrieve their pocket property. The D/O will sign a receipt that they have received their property and then be escorted to the exit by the officer.

Non Cooperative / PC Warrant Arrest (Non Muni) Protocol (Illustration 1 Box C)

Uncooperative, disruptive, or incoherent D/O's will be escorted directly to Segregation at any point during the assessment process as it becomes necessary. In this case, the D/O and their property will be booked directly into LCAC. The Processing Officer will be called for assistance. The A/O will deliver the D/O's property and money directly to the Processing Officer. The A/O will give the booking sheet to Records, as usual. The D/O will be assessed at regular intervals (every 4 hours) in order to determine readiness for the DOMC assessment process.

Municipal PC and Warrant Arrest Protocol

Municipal court PC and warrant arrestees are handled in the same manner as non-municipal court arrestees with the following exceptions:

The RAT will be applied for reasons of determining a RAT score and classification of the D/O. Eugene Municipal Court example: The D/O is brought to the DOMC and the beds that Eugene pays for are full (currently 17), the Release Officer will determine whom to release from a Eugene bed based on the Eugene priority codes. Where there is a "tie", the RAT score will be used as the tiebreaker. The lowest RAT score will be released. The release will be given a court date only. A release agreement will not be provided unless other instructions are received from the Eugene Court.

The same protocol will apply for Springfield Municipal court arrestees. (Current beds paid for by Springfield = 5).

If it is determined that any other (besides Eugene or Springfield) municipal court arrestee is to be released, that community will be contacted and be given the option of either picking up the D/O or assigning a court date for the D/O to report.

Parole Holds Release Protocol

All new parole and probation D/Os brought to the DOMC will be processed as a PC / Warrant arrest with the following exceptions:

P&P personnel will be responsible for assigning priority codes to all of those they have housed at LCACF. When a P&P warrant is issued for an individual, the priority code will be included on the warrant at that time. A P&P D/O without a P&P priority code will not be released. This D/O will be held until P&P can evaluate and assign a priority code. P&P will be assigned a set number of beds that may be dedicated for D/Os that are serving parole sanctions only (no other charges). When a P&P D/O is to be released due to jail overcrowding, they will be released according to the P&P priority code. In the event of a "tie," length of time in custody will serve as the tiebreaker.

Mixed Court (Combination Muni / State) Arrests

D/Os arrested with charges that include both State and Municipal charges (or probation sanctions) will be processed the same as all other PC / warrant arrests with the following exceptions:

The D/O will first be considered for release on the State charge(s). If they qualify for release, the State charges will be released, on a signed release agreement. The D/O will now be held on the Municipal charge(s). The Municipal charge protocol is initiated. If the only remaining charge is a P&P sanction, the P&P protocol will apply.

Direct Commitments from Court

D/Os who are brought into the DOMC directly from court will be processed per standard procedure. The only exception is that the D/O may be brought in by Transport Deputies through the Processing area entrance / exit. In that case the Transport Deputy acts as the A/O.

Incoming Trip Protocol

D/Os arriving on the trip will be processed per regular PC / warrant arrest protocol with the following exceptions:

Incoming trips will enter through the DOMC entrance slider. Advance preparations can be made for trip arrivals. These preparations include: temporary wristbands, (*wrist bands may be prepared and applied by Transport Deputies before leaving the hub*) booking sheets and Offendertrak charge entry. The Records Officer assigned to the Assessment area of the DOMC will perform all of these operations. Extra DOMC staff may be assigned to the area to assist in the processing of the trip.

Holding rooms may be utilized as needed in order to keep separate those who need to be isolated from the rest of the D/Os for security reasons. This will be according to Security Officer discretion.

Out of County Holds

D/Os brought to the DOMC will be processed according to standard procedure with the following exceptions:

After the RAT is applied, if the Release Officer determines that the D/O would otherwise qualify for release, a decision will be made whether to release the D/O on a conditional agreement or to hold the D/O over for the next outbound trip.

Suicide Watches in the DOMC

D/Os who are determined to be a suicide risk will be processed as per standard protocol with the following exceptions:

If the risk level is a 30-minute watch, the D/O can remain in DOMC for regular processing (interview, RAT, release decision), the Security Officer shall document 30-minute observations. If the D/O is appropriate to release, utilize existing mechanisms to release a known suicide risk (Mental Health staff will interview/assess; release to responsible party; escort to Sacred Heart Emergency Room for a Police Officer's Hold).

If the risk level is 15 minutes or less, the D/O should be placed into the appropriate jail housing (Segregation). DOMC Assessment Officers to check with housing staff in regular intervals to determine when D/O is ready to be interviewed. In this way the D/O will be processed the same as a non-compliant D/O.

Code 3's

DOMC Security Officers will still respond to code 3 (emergency) situations throughout the main jail, LCPH & CCC. In the event of a code 3, the waiting room doors will be secured. All D/O's in the DOMC are to be secured. At least one Security Officer will remain in the DOMC to monitor D/O's in the area.

Bail Releases

If a D/O in the DOMC would like to post bail, the Security Officer will give them access to their pocket property. The D/O will sign for the cash &/or credit cards removed from their property. The Security Officer will document the items have been removed and re-secure the bag.

Vulnerable D/O's

If a D/O's safety is thought to be at risk because of another D/O in the area, the D/O at risk may be temporarily placed in a holding room. This will be according to Security Officer discretion.

Federal Holds/Federal Trip

Federal Holds will be processed according to standard protocol regarding incoming trips. However, Federal Hold inmates will never be released by the DOMC. If housing a Federal inmate causes the population cap to be exceeded, then the standard overcrowding release protocol applies.

In-Custody Interviews

D/O's housed in the jail who need to be interviewed by the Release Officer because of a change in their status will enter the DOMC via the elevator sally port (east end of DOMC). The Security Officer will secure the D/O in an interview booth. Once the interview is complete, the D/O is to be escorted back to elevator sally port & returned to housing. Secure the D/O in a holding cell or interview booth if not returned to housing immediately.

Out of Custody Interviews

Out of custody interviews to clear warrants are presently brought into the Custody Referee Office. In the future, this will be done in the DOMC Two reception or interview areas during regular business hours.

Psychiatric Security Review Board (PSRB) Holds

All PSRB holds are to be booked into the jail. PSRB Hold D/O's must be classified. No interview is necessary; the RAT does not need to be applied. All PSRB holds are to be sent out on next scheduled trip.

Immigration and Naturalization Service (INS) Holds

INS only D/O's are not to be released. They will be classified only and no interview is necessary. If there are mixed charges (INS hold + another jurisdiction) they will be interviewed, the RAT applied, and classified.

Releases of D/Os housed in LCACF:

The Property Control Records Officer coordinates scheduled releases from the main jail. The Property Control Records Officer will notify the Processing Officer of any D/Os who are scheduled for release from the facility due to completed sentence or sanctions; or holds and detainers have been dropped. The Property Control Records Officer will prepare the D/Os property and money for release. The Property Control Records Officer will place the D/O into pre-release housing area in Offendertrak. The Processing Officer will call for the release to be sent to the Processing area. The release will be given their clothing by the Processing Officer. When dressed, the Processing Records Officer will return the D/O's money and pocket property and have them sign for it. The Processing Officer will escort the D/O to the Processing exit slider. The Processing Records Officer will take the D/O out of custody in Offendertrak.

DOMC Overcrowding/Non-Scheduled Releases Protocol

Release candidates will be called from housing to the interview booths in the DOMC. These inmates will be locked in the booth or kept under direct observation by staff. If the inmate is to be released they will sign a conditional release agreement. The D/O will return to their housing area to collect their property. The Release Officer will contact the Property Records Officer, who will notify the Processing Officer of the pending release. When the Property Records Officer is ready, the release will be sent to the Processing area. The release will dress out, receive their property and a check for the

balance of their inmate trust fund account. The Processing Officer will escort the release to the exit slider located at the west end of what is now the Intake corridor.

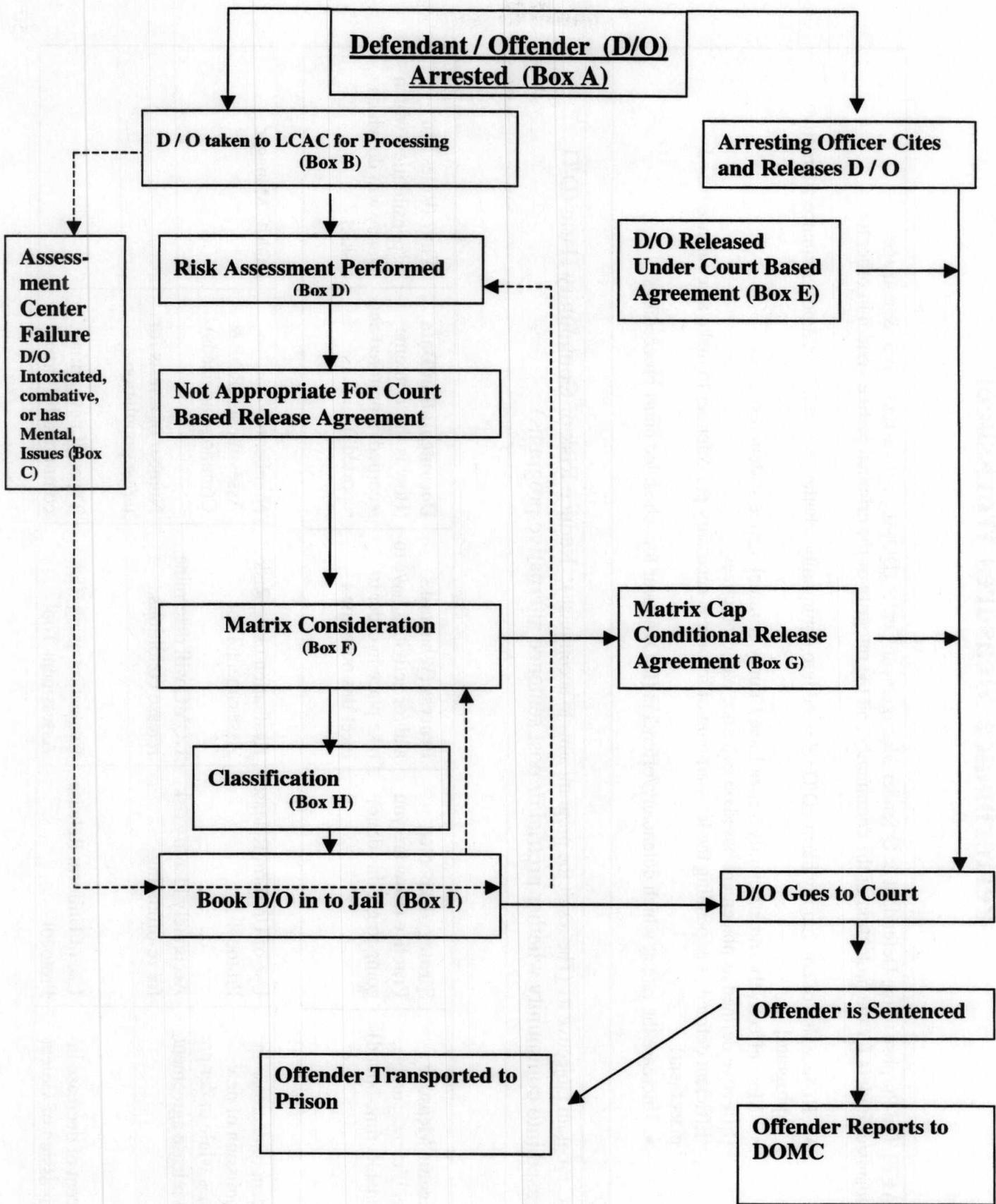
Outbound Trips

The Processing Records Officer will notify the Processing Officer of all inmates scheduled for the outbound trip, will prepare all necessary paperwork, and make ready all of the inmates property and money for transfer. The Processing Officer will call for the inmates from their respective housing areas to be sent to the Processing area. The inmates will be locked into holding cells until the Transport Officers are present to prepare them for transport. All outbound trips will depart the facility through the Processing area slider into Secure Parking.

Transfers to Alternative Programs

Any D/O being transferred to an Alternative Custody Program (such as the Forest Work Camp or Community Corrections Center) will be processed (this may include dressing out the D/O and returning their property) through the Processing area and escorted out by the staff assigned to the Alternative Program receiving the D/O (or a Transport Deputy) through the Processing slider.

Illustration 1



Performance Measures Worksheet

{DRAFT} The Purpose of the Defendant & Offender Management Center (DOMC) is to assess, place & manage defendants/offenders for the protection of the community and the integrity of the criminal justice system in order to:

- Reduce risk of community harm {D/O released into community whether pre-trial or in a post sentence alternative program}
- More effectively and efficiently utilize Lane County criminal justice system resources (Effective defined as placement based on evidence based practices)
(Efficient defined as expending the least amount of resources necessary per offender to make an evidence based placement)
- Increase the rate at which defendants/offenders (D/O) appear for scheduled court proceedings

OMC Program Objective #1 (The result the program aims to accomplish): Reduce Risk of Community Harm (D/O released into community whether pretrial or post sentence alternative programs)

Outcome Measure (Specific, measurable, attainable, time bound)	Strategy/Expected Practice (How are you going to get this done)	Process (What tasks and/or activities have to take place in order to meet this outcome.)	Documentation/Data (How is this outcome recorded, monitored and reported?)	Who? (Roles and responsibilities: which agency will do which tasks.)
Percent of decrease in commission of new crimes while under pre-trial release agreement.	Use of Uniform Release Protocol Accurately identify risk for re-offending	Evaluation using Risk Assessment Tool DOMC will determine release conditions.	Number of Assessments (Risk & Criminogenic needs) Number of arrests for target population	DOMC Manager
Percent of decrease in commission of violent	Use of Uniform Release Protocol	Evaluation using Risk Assessment Tool	Types of new crime committed by target	

Performance Measures Worksheet

<p>crimes while under pre-trial release agreement.</p>	<p>Accurately identify risk for re-offending</p>	<p>DOMC will determine release conditions.</p>	<p>population Fidelity to system (reasons for override)</p>	
<p>Percent of decrease in commission of new crimes by sentenced offenders under DOMC supervision.</p>	<p>Match intervention with D/O criminogenic needs</p>	<p>Evaluation using Criminogenic Needs Assessment Tool DOMC will determine program assignments.</p>	<p>Same as above</p>	<p>Same as above</p>
<p>Percent of decrease in commission of violent crimes by sentenced offenders under DOMC supervision.</p>	<p>Match intervention with D/O criminogenic needs</p>	<p>DOMC will conduct program assignment reviews on a weekly basis. Assignment to program that addresses the identified criminogenic needs. Same as above</p>	<p>Same as above</p>	<p>Same as above</p>
<p>Percent of decrease in commission of any crime by offenders within 6 months of</p>	<p>Application of Risk Assessment Tool (pre-trial defendants) and Criminogenic Needs</p>	<p>Same as above</p>	<p>Same as above</p>	<p>Same as above</p>

Performance Measures Worksheet

<p>DOMC supervision completion.</p> <p>Percent of decrease in commission of violent crime by offenders within 6 months of DOMC supervision completion.</p>	<p>Assessment Tool (sentenced offenders)</p> <p>Application of Risk Assessment Tool (pre-trial defendants) and Criminogenic Needs Assessment Tool (sentenced offenders)</p>	<p>Same as above</p>	<p>Same as above</p>	
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Performance Measures Worksheet

{DRAFT} The Purpose of the Defendant & Offender Management Center (DOMC) is to assess, place & manage defendants/offenders for the protection of the community and the integrity of the criminal justice system in order to:

- Reduce risk of community harm (d/o released into community whether pre-trial or in a post sentence alternative program)
- More effectively and efficiently utilize Lane County criminal justice system resources (Effective defined as placement based on evidence based practices)
(Efficient defined as expending the least amount of resources necessary per offender to make an evidence based placement)
- Increase the rate at which defendants/offenders (D/O) appear for scheduled court proceedings

OMC Program Objective #2 (The result the program aims to accomplish): **More Effectively and Efficiently Utilize Lane County Criminal Justice System Resources.**
 Effective defined as placement based on best practices research
 Efficient defined as expending the least amount of resources necessary per offender to make a best practice placement

Outcome Measure (Specific, measurable, attainable, time bound)	Strategy/Expected Practice (How are you going to get this done)	Process (What tasks and /or activities have to take place in order to meet this outcome.)	Documentation/Data (How is this outcome recorded, monitored and reported?)	Who? (Roles and responsibilities: which agency will do which tasks.)
Decrease Matrix Releases	Uniform Release Protocol P&P Matrix Silo P&P staff member assigned to DOMC	Implement RAT Finalize/Implement URP	Number of matrix releases post-implementation (monthly)	DOMC Manager

Performance Measures Worksheet

<p>Increase Percent of DOMC D/O's Placed according to evidence based Practices (Andrews, Latessa)</p>	<p>Apply Criminogenic Needs Assessment Cost Analysis Evidence based placements</p>	<p>Develop CNAT & alt's review process utilizing CNAT Weekly alt's review mtg. Develop program placement tracking system</p>	<p>Cost/Benefit Analysis of lodging expense per offender – given best research practice placement Count total program placements Count number of sentenced D/O's matrix released Count number of D/O's placed in program other than designated program (eg: jail bed instead of FWC) Report of in-custody D/O's under community supervision</p>	<p>DOMC Manager P&P Director</p>
<p>Increase percentage of D/O's placed in CNAT identified programs</p>	<p>Same as above</p>	<p>Same as above</p>	<p>Same as above</p>	<p>Same as above</p>
<p>Decrease percentage of D/O's delayed in placement CNAT identified programs</p>	<p>Same as above</p>	<p>Same as above</p>	<p>Same as above</p>	<p>Same as above</p>
<p>Decrease in percentage</p>	<p>Same as above</p>	<p>Same as above</p>	<p>Same as above</p>	<p>Same as above</p>

Performance Measures Worksheet

<p>of D/O's unable to place in CNAT identified programs</p> <p>Increase percent of D/O's held until sanction is completed</p> <p>Decrease number of days it takes for D/O to receive sanction (when held pending hearing)</p>	<p>P&P Matrix Silo</p> <p>P&P staff member assigned to DOMC</p> <p>Same as above</p>	<p>Develop P&P matrix silo computer program</p> <p>Add P&P staff to DOMC</p> <p>Same as above</p>	<p>Report of in-custody D/O's under community supervision</p> <p>Same as above</p>	<p>DOMC Manager and P&P Director</p> <p>Same as above</p>
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Performance Measures Worksheet

<p>{DRAFT} The Purpose of the Defendant & Offender Management Center (DOMC) is to assess, place & manage defendants/offenders for the protection of the community and the integrity of the criminal justice system in order to:</p> <ul style="list-style-type: none"> • Reduce risk of community harm {d/o released into community whether pre-trial or in a post sentence alternative program} • More effectively and efficiently utilize Lane County criminal justice system resources (Effective defined as placement based on evidence based practices) (Efficient defined as expending the least amount of resources necessary per offender to make an evidence based placement) • Increase the rate at which defendants/offenders (D/O) appear for scheduled court proceedings 		
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OMC Program Objective #3 (The result the program aims to accomplish): Increase the Rate at which Defendants/Offenders Appear for Scheduled Court Proceedings

Outcome Measure (Specific, measurable, attainable, time bound)	Strategy/Expected Practice (How are you going to get this done)	Process (What tasks and /or activities have to take place in order to meet this outcome.)	Documentation/Data (How is this outcome recorded, monitored and reported?)	Who? (Roles and responsibilities: which agency will do which tasks.)
Percent of increase over base rate at which defendants/offenders appear for scheduled court proceedings each quarter (90 days) by release type.	Assessment of Risk Inform D/O of Appearance Date (Release Agreement) Transition Team	Implement use of Risk Assessment Tool (RAT) Create & implement Uniform Release Protocol Use Uniform Release Protocol to craft	Validation study (apply RAT & CNAT to a representative sample) Calculation of base rates Completed Risk Assessments	Liz and Laura will establish base rates for Oct '02 and Feb '03 (working with Oct. 2 nd as their deadline) DOMC pre-trial staff (possible combination of PTS & Corrections)

Performance Measures Worksheet

		<p>appropriate release agreement</p> <p>Develop reminder systems/tools - Reminders (mail, client calls/reports in, agency calls client, volunteer trackers, beepers, appt book/daily planner, kiosks in community, web page &/or email, refundable fee (pay lump sum, recv installments for pro-social behavior), pre-conviction good time/CTS/compliance credit, surplus cell phones programmed to our number only, GPS tracking, cognitive approach to repair thinking errors, assertive case management (find them & bring them to appearance) bus tokens/LTD sticker/LTD pass</p> <p>Assign P&P staff to OMC</p> <p>OJIN FTA rates (limited to events/ can't calculate</p>		
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Performance Measures Worksheet

		# of people)		
		# of persons released on release agreements (Offendertrak)		
		# of persons released on matrix release		
		Case Management Software		

Appendix E: Site Selection Study

HISTORY

In July 2003, committee members toured the jail in order to identify potential locations for the Defendant & Offender Management Center. The committee focused on 5 areas: The South Annex, Intake, Book-in, Pretrial Service's Office and the Lane County Psychiatric Hospital. Committee members were looking for a location that could accommodate all three phases of the DOMC and inter-departmental staff.

Specific needs were discussed during the following meetings. Criteria included: required physical modifications, security concerns, staff workspace, defendant/offender space, public access, and the desire for one physical location.

Phase One operations require a level of security similar to the existing Book-in area. D/O's would be under observation while in the Phase One center, but they might not need to be secured in a holding cell, as is current practice. Phase One also requires photograph and fingerprint equipment, interview booths or counters and staff work stations. Mixing of Phase One D/O's with those engaged in Phase Two/Three activities is to be avoided.

Phases Two and Three both require easy public access. Staff workstations and interview areas would not have to be secure, as in Phase One. The Phase Two/Three area must have a restroom suitable for urinalysis specimen collection. A conference room and space for a Day Reporting Center are desirable.

SOUTH ANNEX

The South Annex is a large two tiered housing unit located in the southwest corner of the jail facility. This area has five single cell units and three dorm units, with a total of 106 beds. All of the units radiate from the open plan staff station. On the west side of the building there is a fenced courtyard.

The most positive aspect of this site is the amount of room available for current and future needs. The Phase Two and Phase Three operations of the planned center could easily be conducted within this area. The open space to the west of the South Annex could accommodate a secure parking area and sally port. For photograph and fingerprint services, D/O's would have to be escorted to existing equipment in book-in area, or a duplicate station would be constructed.

Less desirable features include the distance from the Book-in area and jail records, loss of 106 jail beds, cost for modification, and confusion for arresting agencies over where to bring their arrestee.

INTAKE

The Intake unit is located at the northwest corner of the jail facility and consists of 35 individual cells, two dayrooms, two secure atriums and a small staff station. The Intake corridor borders the south side of the Intake unit. The West end of the corridor has an

emergency exit door which leads into the secure parking area. The 35 cells are divided into three linear tiers, A, B and C.

A secure exit could be installed at the West end of the Intake corridor. The largest day room space could be used for Phase One pre-trial risk assessment. The cells could be used as holding rooms for D/O's awaiting processing. A separate exit could be installed for D/O's released on an agreement. Phase Two and Three operations could be held in the smaller day room area. A Phase Two/Three entrance and exit could be added to the North end of C tier. For photograph and fingerprint services, D/O's would have to be escorted to existing equipment in book-in area, or a duplicate station would be constructed. Staff would not have immediate access to jail records.

This site would require extensive modifications, and is not large enough to allow for program growth.

BOOK-IN

The Book-in area is located at the southwest corner of the facility. Book-in contains the entire records section, printer and photo identification work room, four secure interview booths, 12 holding cells of various sizes, property room, two search/dressing rooms, staff restrooms and a small break area. Two secure waiting rooms have television, pay phones and lavatories.

Arresting officers would enter through the existing entrance. Risk assessment interviews could take place in existing interview booths. The Book-in area could be modified to contain only Phase One operations. Phase Two and Phase Three operations would not fit in the Book-in area. The space is not large enough, and the security needs of keeping Phase One D/O's physically separated from Phase Two/Three D/O's could not be accommodated without expensive modifications.

PRETRIAL SERVICES OFFICE/COMMON SERVICES AREA/BOOK-IN (OPTION A)

Both the Common Services area and the Pretrial Services Office are located along the South façade of the jail facility. A common North/South wall splits the two work units. The Common Services area is within the jail's secure perimeter, the Pretrial Services Office is outside the secure perimeter. The Common Services space includes one large room divided by an accordion partition, a janitor closet, two inmate lavatories, three independent offices, and a mechanical room. The Pretrial Services Office has window and pass-through access to the four secure interview booths located in Book-in. This space also includes two independent offices, a large common space presently used for open workstations and filing, and a single rest room.

Phase One activities would take place in the current Book-in area. Phase Two and Three activities would take place in the current Pretrial Services Office and Common Services space.

PRETRIAL SERVICES OFFICE/COMMON SERVICES AREA (OPTION B)

Pretrial Services Office and Common Services both described above.

Phase One activities would occur in the Common Services space. A new secure parking space would be created in the southeast area just outside Common Services. The door between Common Services and the East corridor of the jail facility would be replaced with a slider. D/O's booked into the jail would be escorted to Book-in via the East corridor. D/O's would have to be escorted to existing photo and fingerprinting equipment in book-in area, or a duplicate station would be constructed.

Phase Two and Three activities would take place in the existing Pretrial Services Office. An outside entrance is already in place.

LANE COUNTY PSYCHIATRIC HOSPITAL (LCPH)

The Lane County Psychiatric Hospital is separated from the current jail facility by the jail lobby and the central control vestibule. LCPH features secure public and law enforcement entrances, a flexible design of open dayroom and staff station areas, and single cell units.

With modifications, Phase One, Two and Three could be accommodated in this space. D/O's would be triaged in the central control vestibule. Combative or intoxicated D/O's would be sent directly to Book-in.

Limitations of this space include congestion in the central control vestibule, extra work for central control, jail records not readily accessible, and the expense of creating a secure space for Phase One. Furthermore, LCPH is not available.

After each area was considered, the committee members were polled to determine a preferred recommendation.

The results were:

- #1. Pretrial Services/Common Services/Book-in – Option A
- #2. Book-in Option A
- #3. Lane County Psychiatric Hospital

PIMA COUNTY SITE VISIT

Four committee members traveled to Tucson Arizona to tour and learn as much as possible about the Pima County Pretrial Services (PTS) Intake Unit. Information gathered from the trip was shared with the committee. The Pima County PTS Intake Unit opened in June 1979. All misdemeanor arrests are screened for pretrial release. Pima's PTS Intake Unit shares secure parking with the Pima County Jail. Arresting officers walk misdemeanor arrests to the PTS Intake Unit. Misdemeanants are screened for pretrial release while the arresting officer waits. If the misdemeanor does not qualify for release, the arresting officer walks the misdemeanor across the secure parking area to the Pima Co Jail Booking area. At the time of the visit, construction was underway for a new Intake Center. Their new center would incorporate both pretrial release assessments and booking functions. In the future, arresting officers will not have to wait through pretrial

release screening or walk their arrest back through the parking lot to the jail. All future arrests in Pima Co will be processed through the new center, not just misdemeanants. Medical screening, pretrial release, jail records, classification, and a video arraignment courtroom radiate from a central waiting area known as The Pit. Pima County has in custody arraignments twice daily. Their goal is to empty The Pit every twelve hours.

Pima County's experience showed us the importance of combining our current booking process with pretrial release screening. Most of our scenarios duplicated functions such as medical acceptance screening, pat down search, property inventory, photo and fingerprint collection. Combining current booking procedures and location with Phase One activities seemed the most logical, least expensive and least disruptive choice.

RECOMMENDATION

Uniting the Book-in area, the Pretrial Service's Office and Common Services is the best option for the Defendant & Offender Management Center. The modifications include sealing off access to Common Services from the Jail East corridor, and the installation of doorways connecting the three spaces. This would create one large work area accommodating all phases of the Defendant & Offender Management Center, and mirror our inter-agency collaboration.

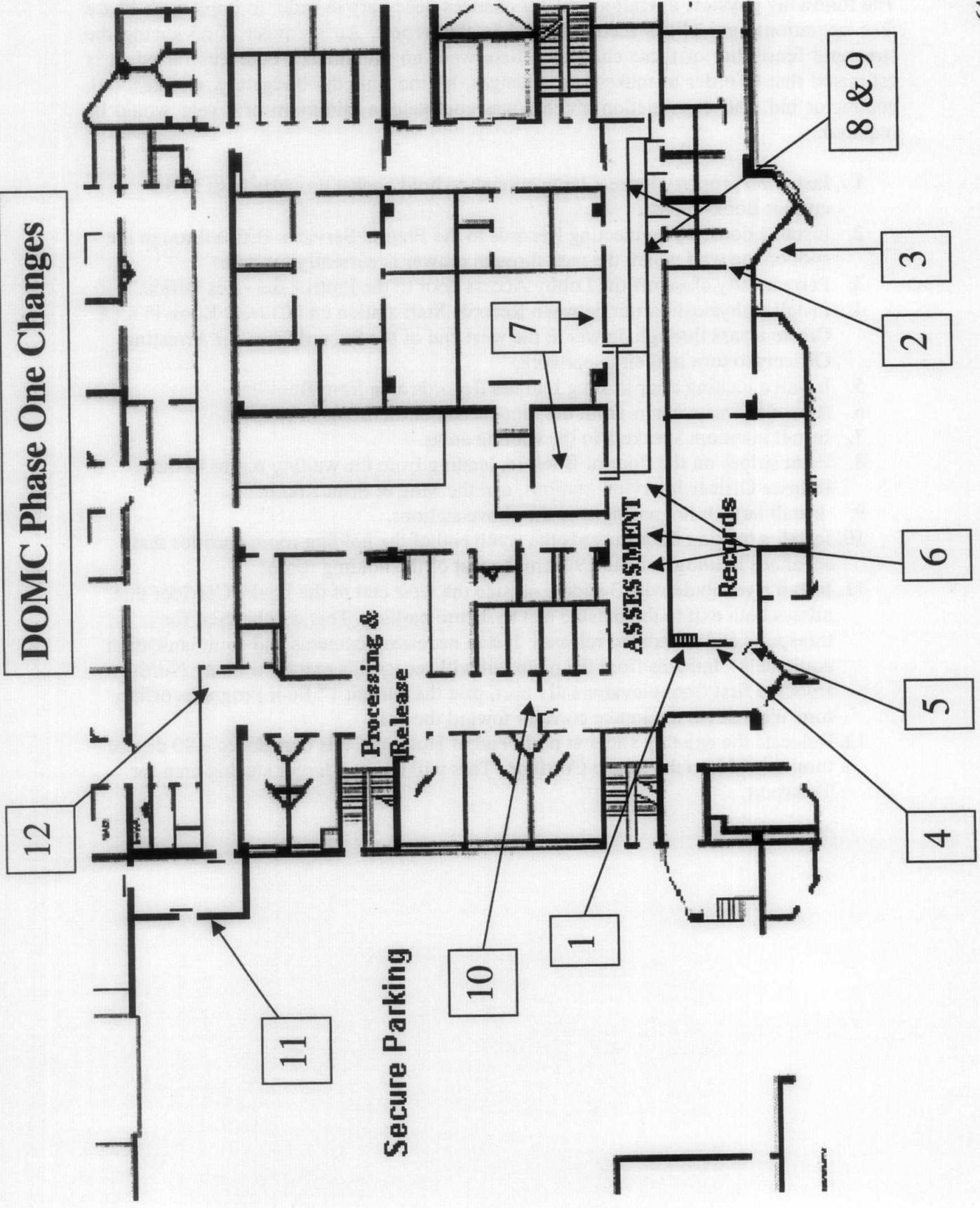
The following lists detail recommended physical changes in order to operate the Defendant & Offender Management Center as proposed:

**DOMC Current Book-in Site Scenario Physical Changes Recommended for Phase One
(Listed in order of priority)**

The following physical alterations reflect changes necessary in order to implement Phase One operational guidelines recommended in this report. An architect is reviewing the structural feasibility of these changes. There were no preliminary concerns raised. It is estimated that in order to make these changes, by the time the budgetary, architectural, contractor bid, and construction process was complete, a minimum of a year would be required.

1. Install 50 property lockers large enough to hold pocket property bags in the current Book-in area.
2. Install a doorway connecting Records to the Pretrial Services Office through the spot on the wall where the pass through drawer is currently located.
3. Permanently close off the Lobby Access door to the Pretrial Services Office.
4. Install a physical barrier between Records Staff station and Current Book-in area. Create a pass through drawer at the west end of the Records area for Arresting Officers to turn in their paperwork.
5. Install a locking door leading into the Records area from Book-in.
6. Remove inmate chairs from the inmate side of the Book-in counter.
7. Install intercom speakers in the waiting areas.
8. Paint stripes on the floor of Book-in, leading from the waiting rooms to the Release Officer Interview stations, and the Mug & Print Room.
9. Install large bilingual signs at the above stations.
10. Install a locking door towards the south end of the holding room corridor that separates holding 1, 8, and 9 from the rest of the holding rooms.
11. Install a vestibule with 3 sliders outside the west end of the Intake Corridor that allows both exit to the outside and to secure parking. This will be used for transports and scheduled releases. Install necessary cameras and communication equipment. Inmates from the main jail will access this exit by walking North from the first floor elevator sally port, past the current 1st floor programs office, turn West down the Intake corridor toward the exit.
12. Relocate the existing slider at north end of Holding Cells corridor to a 90 degree turn around into the Intake Corridor. This will create a larger staging area for Transport.

DOMC Phase One Changes



**DOMC Current Book-in / Common Services Site Scenario Physical Changes
Recommended for Phase 2 & 3 (Listed in order of priority)**

The physical changes listed below reflect those changes necessary in order to follow the Phase Two operational guidelines contained in this report. The changes are listed in order of priority. An architect is currently considering the structural feasibility of these changes. There were no preliminary concerns raised. It is estimated that in order to make these changes, by the time the budgetary, architectural, contractor bid, and construction process was complete, a minimum of a year would be required.

The changes below are based on utilizing the current commissary room as a reception area, the next room to the west as a staff office, the most southwest office as the supervisors office, the existing Pretrial Services restroom as a sally port connecting current common services with the current Pretrial Services area. The southernmost classroom will be used as a defendant/offender (D/O) interview area. The northern classroom would be used as a break / conference room.

Specific Required Changes

1. Seal off the door to the East corridor.
2. Install a public entry on the South wall of the room currently used for commissary.
3. Install reception counter in the same room.
4. Install 3 officer / client interview stations in the south classroom.
5. Upgrade existing restrooms to meet current standards.
6. Convert existing restroom in Pretrial Services area into a sally port with one Central Control operated door on the current Pretrial Services side and the other on the Common Services side. Since this will be within the secure perimeter, the doors would need to be interlocking (only one could be opened at a time). Add cameras and intercoms as necessary (this change is optional).

Appendix F: Staffing Schedule

First Shift

	<u>Saturday</u>	<u>Sunday</u>	<u>Monday</u>	<u>Tuesday</u>	<u>Wednesday</u>	<u>Thursday</u>	<u>Friday</u>
Deputy 1	Booth 1	OFF	OFF	Booth 1	Booth 1	Booth 1	Booth 1
Deputy 2	Booth 2	Booth 1	Booth 1	OFF	OFF	Booth 2	Booth 2
RAO 1	Relief	Relief	Relief	Relief	Relief	OFF	OFF
RAO 2	OFF	OFF	Booth 2	Booth 2	Booth 2	Relief	Relief

Second Shift

	<u>Saturday</u>	<u>Sunday</u>	<u>Monday</u>	<u>Tuesday</u>	<u>Wednesday</u>	<u>Thursday</u>	<u>Friday</u>
Deputy 3	Booth 1	OFF	OFF	OMT 1	OMT 1	Relief	Relief
Deputy 4	Booth 2	Booth 1	OFF	OFF	OMT 2	OMT 2	Booth 2
Deputy 5	OMT 1	OMT 1	OMT 1	OFF	OFF	OMT 1	OMT 1
Deputy 6	OMT 2	OMT 2	OMT 2	OMT 2	OFF	OFF	OMT 2
Deputy 7	OMT 3	OMT 3	OMT 3	OMT 3	OMT 3	OFF	OFF
Deputy 8 *	OFF	OFF	Field	Field	Field	OMT 3	OMT 3
RAO 3	OFF	Booth 2	Booth 2	Booth 2	Booth 2	Booth 2	OFF
RAO 4	OFF	OFF	Booth 1	Booth 1	Booth 1	Booth 1	Booth 1
RAO 5	Relief	Relief	Relief	Relief	Relief	OFF	OFF

Phase One Support

COS 1	OFF	OFF	Support 1				
COS 2	Support 1	Support 1	OFF	OFF	Support 2	Support 2	Support 2
Rec. Spec.	Relief	Support 2	Support 2	Support 2	OFF	OFF	Relief
Corr. Tech.	OFF	Relief	Relief	Relief	Relief	Relief	OFF

Phase Two & Three Support

O.A. 1	OFF	OFF	Support 1				
O.A. 2	Support 1	Support 1	Support 2	OFF	OFF	Relief	Relief
O.A. 3	Relief	Relief	Relief	Relief	Relief	OFF	OFF

Third Shift

	<u>Saturday</u>	<u>Sunday</u>	<u>Monday</u>	<u>Tuesday</u>	<u>Wednesday</u>	<u>Thursday</u>	<u>Friday</u>
Deputy 9	Booth 1	OFF	OFF	Booth 1	Booth 1	Booth 1	Booth 1
RAO 6	Booth 2	Booth 1	Booth 1	OFF	OFF	Booth 2	Booth 2
RAO 7	Relief	Relief	Relief	Relief	Relief	OFF	OFF
RAO 8	OFF	OFF	Booth 2	Booth 2	Booth 2	Relief	Relief