

Date: November 26, 2012

To: Public Safety Performance Project, Pew Center on the States

From: Vera Institute of Justice, Center on Sentencing and Corrections

Subject: Supervision Response Guidelines

The Pew Center on the States, along with the American Probation and Parole Association and the National Center for State Courts, is co-hosting a conference on administrative sanctions and supervision responses. This memorandum explains how response guidelines may assist a supervising agency in achieving better outcomes with its supervisees and sending fewer people to prison on a revocation.¹

I. Background

A growing body of research has established the importance of responding not only to every detected violation of a supervised offender, but also to each positive benchmark and achievement. To be most effective, responses should be swift, certain, consistent, appropriate, and proportionate, and be part of a larger, evidence-based supervision approach that is engaged with each person's individual risk and needs profile.

Although some detected violations may deserve to be responded to with time in prison, many minor violations (e.g., missed appointments or failed drug tests) can be addressed with interventions that are both proportional to the seriousness of the violation and address the underlying reason why the violation occurred.² While some violations may be simple rules violations, others can be indicators of underlying problems that must also be addressed. Intermediate responses might therefore include both sanctions (such as increased reporting or curfew) and interventions like mandatory programming. Supervising officers with appropriate training can use violations as occasions to have interactions with their supervisees that are more effective in changing behavior in the long-run.

Responding to positive behaviors is as important: positive responses have been shown to enhance individual motivation and promote behavioral change.³ Explicitly recognizing the

¹ This memorandum is adopted from a memo originally prepared for the Delaware Department of Corrections, which must under Senate Bill 226 (signed into law in August 2012) develop guidelines for probation officers to assist them in providing consistent and appropriate responses to compliance and violations of the conditions of probation or supervision. Contact Peggy McGarry (pmcgarry@vera.org) or Alison Shames (ashames@vera.org) for more information about Vera's Center on Sentencing and Corrections.

² P. B. Burke, *Parole Violations Revisited: A Handbook on Strengthening Parole Practices for Public Safety and Successful Transition to the Community* (Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2004); P. B. Burke, A. Gelb, & J. Horowitz, *When Offenders Break the Rules: Smart Responses to Parole and Probation Violations* (Washington, DC: Pew Center on the States, 2007).

³ Research indicates that a ratio of at least four positive responses to every one negative reinforcement (4:1) is most effective for promoting behavior change. P. Gendreau, P. & C. Goggin, *Correctional Treatment: Accomplishments*

achievement by the supervised offender of certain goals or milestones can promote further positive behaviors. The action by the supervising officer can take many forms and may seem to have little to no direct impact on public safety: for example, words of praise, the assignment of a task that demonstrates confidence in the individual's abilities and level of responsibility (e.g., asking the individual to be a mentor to others), a token of appreciation (e.g., a written note of acknowledgement or a certificate of achievement), acknowledgement of accomplishment in front of others (e.g., praise in public, acknowledgement by a person in an authority position); a more desirable housing or work assignment; a "pass" on a scheduled office visit; reduced drug testing; or early discharge from supervision.⁴ However unrelated these seem to achieving public safety, the research is quite convincing on the impact of positive reinforcement on behavior and therefore on long-term public safety.

For the sake of consistency and providing supervising officers with an available list of response options for both positive and negative behaviors, many states use guides, grids, or matrices. Introducing these tools, in combination with supporting officers in the field with training and skill-building, helps ensure the successful implementation of a response guide. In addition, by codifying and directing officer behavior in this way, supervision agencies can provide officers with the legal protection they may feel they need if a case goes wrong and the officer had not previously sought revocation for violations.

II. Overview of Graduated Response Grids

Graduated response systems are a methodical approach for responding to violations that aims to promote consistency and swift responses. This approach utilizes a response grid that provides a menu of options that are selected and applied based on the severity of the violation and the offender's risk level while giving officers the flexibility to respond to the individual's underlying needs and life circumstances (for example, increased reporting that is likely to interfere with employment is counterproductive). The goal is to match responses more closely to risk and needs and to reserve prison (revocation) sentences for the most serious cases.

There is no one-size-fits-all model of graduated responses. A national review of current practices that Vera conducted in 2008 revealed three common tools that supervision agencies have used to formalize their response process: (1) a violation severity scale; (2) a violation response matrix; and (3) a response options list. These instruments may be used alone or combined in responding to violations and positive behavior, and they are described in more detail below. Examples of the tools are included in the appendix.

A. Violation Severity Scale

The violation severity scale is used to classify how violations vary in terms of their severity. These tools are typically based on a scale of low, medium, and high. This is a useful guide for officers in deciding how to respond to violations and in determining which responses require the most dedicated resources. Because a violation's severity may vary depending on the particular offender's risk and need profile, the violation severity scale is typically not a stand-alone tool,

and Realities, Correctional Counseling and Rehabilitation, edited by P. V. Voorhis, M. Braswell and D. Lester (Cincinnati, OH: 1997).

⁴ Mark Carey, *Coaching Packet: Shaping Offender Behavior* (Silver Spring, MD: Center for Effective Public Policy, 2009).

but is often combined with other grids. A copy of Pennsylvania's Violation Severity Ranges can be found in the appendix.

B. Violation Response Matrix

Violation response matrices are perhaps the most sophisticated of the grids. Unlike the other response grids, it incorporates the offender's risk level. The offender's risk level is often determined by the original offense, history of violence, or score on a validated risk assessment instrument such as the LSI-R or COMPAS. On the response matrix, the level of risk is generally on the y-axis of the grid and the violation severity is on the x-axis. Together, these factors guide the officer in responding most appropriately to the violation; for example, a violation may receive a more serious response if it is committed by a high-risk individual rather than a low-risk one. See California's Parole Violation Decision Making Instrument in the appendix.

C. Response Options List

The most commonly used grid is the response options list—15 of the 21 states that use some form of response grid report using a response options list. These grids provide officers with guidance on what response options are acceptable or the most appropriate for the specific violation in question. Some are exhaustive lists of all the available resources, while others serve as a discretionary guide.

Kansas's Behavior Adjustment Response Guide ("BRAG") lists responses for both positive and negative behavior to guide officers' decisions. Many states formally incorporate positive responses into their graduated sanction grids—including Georgia, Nevada, New Jersey, and West Virginia.

Kansas's BRAG lists suggested responses based on the conditions of supervision. The policy states that responses to violations and violation behavior should be based upon public safety and the assessed criminogenic risk and needs the offender presents. Many jurisdictions use the response options list in tandem with their violation severity scale or violation response matrix. Washington State's response options list, for example, distinguishes among "low, medium and high" responses based on its violation response matrix. Suggested responses for a low-level violation include: an apology letter, community restitution (less than 16 hours), verbal reprimand, among several others. Medium- and high-level responses include more restrictive sanctions such as additional drug testing and residential treatment. Thus, the response list matches resources to the most appropriate cases to ensure that public safety dollars are being spent most efficiently. Note, however, that violation severity may or may not be related to the risk level of the offender.

III. Findings from 50-State Scan

In addition to identifying the types of response guides being used around the country, Vera's 50-state review, completed in 2008, also examined the process for implementing the response policy and the results of its implementation. The review found the following:

1. *Minimal cost.* Most states reported that the implementation of a graduated response grid required minimal costs. Of the few states that did report an increase in costs, it was often

associated with the creation of new community-based options such as house arrest. A majority of the states, however, reported no significant costs beyond dedicated staff time. In addition, most states perceived graduated options as a way to formalize and standardize responses to violations and violation behavior that were already being utilized by many of their staff. To this end, responses to violations were streamlined and made consistent among all offices and parole agents. In some instances, costs were reduced because tools were used to better target costly resources—such as residential treatment, house arrest, intensive supervision—for offenders who posed the most significant threat to public safety. However, if a state decides to automate the grid in order to collect data and monitor officer compliance, it may incur additional costs.

2. *Decline in revocations for technical violations.* Most states that have implemented some form of graduated responses have experienced a decrease in the number of offenders admitted to prison for technical violations. States that did report an increase in prison admissions for technical violations indicated that this was associated with increased supervision and monitoring of offenders. However, due to the lack of rigorous, empirical research on this outcome, a caveat on the effectiveness of graduated response systems in this area is in order. While many states reported a decrease in returns to prison for technical violations, none were able to attribute this decline specifically to the implementation of the grid. Most indicated that the reduction was part of a larger effort to reform parole practices including a shift toward evidence-based practices in offender management, changes in hiring and evaluation procedures for officers, and other modifications in offender management that were often described as culture changes or paradigm shifts.

3. *Reduction in officer discretion.* Officer discretion is generally reduced as a result of using a graduated response system. Most agencies require that the grid be used in responding to violators; while in other jurisdictions, the tool is used on a discretionary basis, but its use is often highly encouraged, both informally and in the course of performance evaluations. Moreover, in order to ensure accurate and consistent application of the graduated responses, supervisor review of officers' decisions increases. However, jurisdictions have identified ways to preserve some officer discretion. For example, the South Dakota grid allows an officer to select from a fairly extensive menu of sanctions, rather than mandating a single or short list of responses. Only complete departures from the matrix—selecting a sanction higher or lower on the scale—requires supervisory approval. It should also be noted that states that did not involve officers in the development of their graduated response tool indicated that the new system was not implemented as effectively due to line staff resistance.

IV. Do Response Grids Lower Revocation Rates?

The Ohio Department of Rehabilitation and Correction's Adult Paroling Authority conducted a systematic review of the effectiveness of its progressive sanction grid; the review was completed in October 2008, and its findings included:

- The use of a violation policy and progressive sanction grid accomplished certain procedural objectives, including reduced reliance on revocation hearings, revocation sanctions, and local jail detention.
- The progressive sanction guidelines had no independent impact on recidivism.

- Program and treatment-based interventions are more important than punitive sanctions in reducing reoffending, and the sanction guidelines enhance the effectiveness of these interventions, especially for higher-risk offenders.
- Implementation of the sanction grid policy was facilitated by uniformity of staff training, but undermined by perceived agency disregard of officer opinions and professional autonomy.

While the study does not provide concrete evidence that using response grids will result in lower revocation rates, the researchers who conducted the study believe that guidelines “provide a structural opportunity to align treatment sanctions with high-risk and potentially chronic violators on the front-end of supervision.” The researchers suggest that low-risk offenders should be downgraded to an administrative caseload as soon as possible, so that interventions (including those suggested in the response grid) can be focused on higher-risk offenders.

V. Conclusion

As the examples above illustrate, many states are working on new approaches to safely reduce revocations caused by technical violations. Benefits offered by a system of graduated responses and other approaches include: a method for ensuring a wider array of response options is available and utilized; development and utilization of responses that are proportional to the violation; reduction in the time between the violation and the response; and consistency in handling of violations across officers and regions. As experienced in other jurisdictions, these reforms require system and agency-wide commitment to embracing change. If properly implemented, these policies may help reduce corrections spending, while at the same time maintaining public safety and justice.

Systems of Graduated Responses in Other Jurisdictions

Kansas

BEHAVIOR RESPONSE/ADJUSTMENT GRID

Reinforcement	Desired Behavior	Condition	Behavior	Sanction Level
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	No missed reporting and no travel violations X 6 months	Reporting, Travel, and Residence	Abscond upon release	DRC GPS/EMD Increased reporting House Arrest Structured living Jail sanction Community Service Curfew Verbal reprimand Written behavior report
			Abscond >30 days Absconding more than once during supervision period Other reporting and travel violations	
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	No violations X6 months	Laws	New felony conviction(s)	Revoke
			Assaultive misd. Conviction(s) Non-assaultive misd. Conviction(s) Failure to report an arrest Other laws violations	DRC GPS/EMD Increased reporting House Arrest Structured living Jail sanction Community Service Curfew Verbal reprimand Written behavior report
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	No violations X6 months	Weapons	Possession of a firearm or weapons defined by law	Revocation is recommended in the absence of mitigating circumstances (Disposition requires concurrence of Parole Director)
			Constructive possession of firearm Possession of weapons with mitigating circumstances	

Reinforcement	Desired Behavior	Condition	Behavior	Sanction Level
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	No violations X6 months	Personal Conduct	Assaultive activities (person related) Assaultive/ Violent activities (property related)	DRC GPS/EMD Increased reporting House Arrest Structured living Jail sanction Community Service Curfew Verbal reprimand Written Behavior report
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	No violations X3 months No violations X6 months	Narcotics/ Alcohol	2 or more Positive UAs Falsifying UA One Positive UA Other violations	DRC GPS/EMD Substance Abuse Treatment Increased reporting House Arrest Structured living Jail sanction Community Service Curfew Verbal reprimand Written Behavior Report
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	No violations X6 months	Association	Gang activity Other violations	DRC GPS/EMD Increased reporting House Arrest Structured living Jail sanction Community Service Curfew Verbal reprimand Written Behavior Report

Reinforcement	Desired Behavior	Condition	Behavior	Sanction Level
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	Steady employment X6 months	Employment	Failure to maintain employment	DRC GPS/EMD Increased reporting House Arrest Structured living Jail sanction Community Service Curfew Verbal reprimand Employment referral services
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	Positive attendance and participation	Education	Failure to pursue further education as directed	Community Service Curfew Verbal reprimand Education referral services
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	Payments and fees up to date x6 months	Costs	>6 months in arrears >3 months in arrears <3 months in arrears	DRC GPS/EMD Increased reporting House Arrest Structured living Jail sanction Community Service Curfew Verbal reprimand

*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	Positive participation in any treatment program	Treatment. Programs and Placement	Two unexcused absences from SOTP aftercare	Revoke DRC
			Failure of inpatient/ residential treatment Failure to progress Other treatment related violations Failure to attend SATP aftercare one time	DRC GPS/EMD Increased reporting House Arrest Structured living Jail sanction Community Service Curfew Verbal reprimand
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	No violations x6 months	Victim	Unauthorized contact with victim or victims family	DRC Revoke GPS/EMD House Arrest Jail Sanction
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition Reclassify supervision * Public recognition * Request early discharge * Other	No violations X6 months	Search	Refusal to allow search	DRC GPS/EMD Increased reporting House Arrest Structured living

appropriate recognition				
Reinforcement	Desired Behavior	Condition	Behavior	Sanction Level
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	Positive participation/ successful completion	Day Reporting Center	Failure to successfully complete DRC imposed as a sanction for violation behavior	<u>Treatment</u> <u>House Arrest</u> Revoke
*Verbal praise *Compliance certificate *Verbal or written praise from PS or PD *Enhanced travel flexibility *Removal of condition or modification of condition to make it less restrictive *Reduce number of times the offender reports to the parole office *Letter of Recognition * Reclassify supervision * Public recognition * Request early discharge * Other appropriate recognition	No violations x 6 months	Violation of Special Conditions	Violation of KPB or PO imposed special conditions	DRC GPS/EMD Increased reporting House Arrest Structured living Jail sanction Community Service Curfew Verbal reprimand Written Behavior Report

Georgia

Behavior Response Guide			
↩	↩	↩	↩
SUGGESTED RESPONSE	POSITIVE BEHAVIOR	NEGATIVE BEHAVIOR	SUGGESTED RESPONSE
Verbal Recognition Letter of Recognition 6 month Certificate of Progress	90 Days Clean 90 Days employed 6 months stable residence Completed 1st semester school or 30 days regular GED attendance 30 days EM violation free 2 month perfect cog attend. Complete out patient program	+ Drug Screen (s) Assessment non-attendance Program non-attendance(s) Failure to report EM Violations (minor) Failure to support dependents Unemployed (short period) Special Condition Violation Fee arrears \$60.00 or < Technical Violation Other	Verbal Warning Specific Issue Hearing Out patient Program Self Help Program PO Letter Reprimand PO Verbal Reprimand ↑ screening ↑ reporting
Letter of Recognition 1 year Certificate of Progress Mr. Clean Award Stability Award EM early termination Chief Recognition ↓ Reporting ↓ Supervision level	12 months Stability (Emp & Res, little to no violations) 6 months clean 2 months perfect cog attendance completed 1 year of school or 6 months regular GED attendance 90 days EM violation free Out patient program completion Cog completion	Misdemeanor Arrest Multiple + Drug Screens ↑ Program Non- attendance EM violations (serious) Unemployed (lengthy) Assessment Non-attendance (multiple) S.O. Violations (minor) Fee Arrears \$100.00 or < <u>High Profile Precursors</u> Combination: • Unemployment • Drug use / fail to attend S.A.C. • Unstable residence • Unlawful acts	Admin Hearing Restart program EM extension In-house program Out Patient Program Specific Issue Hearing ↑ Drug Screening ↑ Reporting Verbal Reprimand Chief CS Work ↑ supervision level Request warrant & evaluate option to recommend continuance or revocation
Commutation Request Donated Gift Cert. (GED or Grad of School). Cog Graduation Lifestyle Commitment Award 2nd Mr Clean Award 2nd Stability Award ↓ Reporting	24 months stability Completed school or GED 12 months clean Volunteer work, church affiliation, Prosocial activities	Felony Arrest Violent Misd. Arrest or DUI Positive Screens (Critical) Program Nonattendance (critical) S.O. Violation (serious) EM Violations (critical) Possession of Weapon Absconding /TRW issued Failure to attend Admin. Hearing Unemployed (critical) Fee arrears \$100 +	STI (local detention) EM/ EM Extension Admin. Hearing In-house Program Out Patient Program Whitworth Center Homerville Center Pulaski Center Pursue Revocation

Washington

CCOs must consult with his/her supervisor and obtain approval to impose a sanction that falls above or below the levels shown in this guide.

Note: Unclassified offenders who violate should be handled as follows

- Current conviction is violent crime: RMA
- Current conviction is non-violent crime: RMB

Note: CCOs may, with the exception of offenders under the ISRB, request a conditional release for an offender pending resolution of the alleged violation, when the release would not pose an increased risk to the safety of the community. CCOs are also authorized to place offenders in a treatment program immediately in those instances where treatment could likely assist in addressing the offender's conduct and needs.

***Pursuant to ESSB 6157, offenders who violate with a felony arrest are not eligible for conditional release.**

Step 3: Documenting Violations

CCOs must complete required documents such as notice, statements of rights, and discovery within the timelines set out in the Department's Policy Directives. CCOs shall document applicable decisions and actions on DT37.

Violations – Sex Offender

Step 1 – Determine Intervention Level

Violation Behavior	A	B	C	D
Possessing or perusing pornography	H	H	M	M
Failing to submit to polygraph	C	C	H	M
Failing to submit to plethysmograph	H	H	M	M
Contact with prohibited class/minors	C	H	H	M
Accessing the Internet	H	H	M	M
Accessing sexually explicit telephone service/chat lines	H	H	H	M
Entering playground/school	H	H	H	M
Entering sex related business	H	M	M	L
Failing to complete sexual deviancy treatment as directed	C	H	M	M
Failing to enter sexual deviancy treatment as directed	C	H	M	M
Failing to register	H	M	L	L
Contact with crime victim	C	C	C	C

Violations – Contact

Step 1 – Determine Intervention Level

Violation Behavior	A	B	C	D
Contact with crime victim	C	C	C	H
Contact with a specified class of individuals	M	M	L	L
Contact with prohibited class/minors	C	H	H	M

Contact with prohibited class/co-defendants	M	M	L	L
Contact with prohibited class/drug user/seller	M	M	L	L
Contact with prohibited class/known felons	M	L	L	L
Associating with known gang members	H	H	M	L

Violations – Offender Programs Step 1 – Determine Intervention Level

Violation Behavior	A	B	C	D
Failing to attend sober support group, i.e. AA/NA	M	M	L	L
Failing to complete victim education program	H	H	M	L
Failing to complete Relapse Education Program	H	H	M	L
Failing to complete Moral Reconation Therapy	M	M	L	L
Failing to complete Getting It Right Program	M	M	L	L
Failing to complete Nurturing Fathers Program	M	M	L	L
Failing to complete Partners in Parenting Program	M	M	L	L
Failing to complete Job Hunter Program	M	M	L	L
Failing to complete Thinking for a Change	M	M	L	L
Failing to attend gambling support group	M	M	L	L
Failing to attend school or training program	M	M	L	L
Failing to complete shoplift cessation class	M	M	L	L
Failing to participate in reintegration program	M	M	L	L
Failing to complete other programming as directed	M	M	L	L

Violations – Geographic Step 1 – Determine Intervention Level

Violation Behavior	A	B	C	D
Outside geographic boundary	H	M	M	M
Unapproved residence	H	M	L	L
Unapproved travel	H	M	M	L
Leaving Washington State without permission	H	M	L	L
Unapproved employment/residence change	H	M	M	L
Non-compliance with Stay Out of Areas of Prostitution	H	M	M	L
Non-compliance with Stay Out of Drug Areas	H	M	M	L
Non-compliance with Do Not Enter Known Narcotic Areas	H	H	M	L
Frequenting places where known gang members congregate	H	M	M	L

Violations – Reporting

Step 1 – Determine Intervention Level

Violation Behavior	A	B	C	D
Abscond	H	H	M	M
Escape	H	H	M	M
False monthly report	M	L	L	L
Failing to report	H	M	M	L
Failing to show for a hearing	C	H	H	M

Violations – Financial

Step 1 – Determine Intervention Level

Violation Behavior	A	B	C	D
Failing to pay legal financial obligations	L	L	L	L
Non-payment of cost of supervision fees	L	L	L	L
Entering into financial contract without permission	L	L	L	L

Violations – Prohibitions

Step 1 – Determine Intervention Level

Violation Behavior	A	B	C	D
Possessing a firearm/deadly weapon	C	H	H	H
Possessing non-firearm weapons	H	M	M	M
Possessing ammunition or explosives	H	H	M	M
Committing a like offense	C	H	M	M
Gambling	L	L	L	L
Possessing checking account/checks without approval	M	L	L	L
Possessing burglary tools	H	H	H	M
Operating a motor vehicle without permission	M	L	L	L
Operating a motor vehicle without license and/or insurance	M	M	L	L
Possessing access device or PIN without permission	H	H	M	M
Possessing drug paraphernalia	M	M	L	L
Displaying gang names	M	M	L	L
Wearing/displaying gang clothing/paraphernalia	M	M	L	L
Entering alcohol establishment	H	M	M	L
Non-compliance with crime related prohibitions	H	M	L	L
Changing treatment providers without prior approval	M	L	L	L

Violations –Affirmative Conduct Requirements Step 1 – Determine Intervention Level

Violation Behavior	A	B	C	D
Violation of Affirmative Conduct Requirement	M	L	L	L
Failing to work	M	L	L	L
Failing to perform community restitution hours	M	L	L	L
Failing to attend victim impact panel	H	H	M	L
Failing to obtain a mental health evaluation as directed	H	M	L	L
Failing to complete mental health treatment as directed	H	H	M	M
Failing to abide by treatment rules	H	H	M	L
Non-participation in mental health treatment	H	H	M	M
Failing to obtain a domestic violence evaluation as directed	H	H	M	M
Failing to complete domestic violence treatment as directed	H	H	M	M
Failing to obtain an anger management evaluation as directed	H	H	M	L
Failing to complete anger management as directed	H	H	M	L
Failing to complete DNA testing as required	M	M	M	M
Failing to complete HIV testing as required	M	M	M	M
Failing to participate in job search as directed	M	L	L	L
Fail to obey all laws - Felony - Sex	C	C	C	C
Fail to obey all laws - Felony - Violent	C	C	C	C
Fail to obey all laws - Felony - Drugs	C	C	C	C
Fail to obey all laws - Felony - Property	C	C	C	C
Fail to obey all laws - Felony - Other	C	C	C	C
Fail to obey all laws - Misdemeanor - Sex	H	H	H	H
Fail to obey all laws - Misdemeanor - Violent	H	H	H	H
Fail to obey all laws - Misdemeanor - Drugs	H	M	M	L
Fail to obey all laws - Misdemeanor - Property	H	M	L	L
Fail to obey all laws - Misdemeanor - Other	H	M	L	L

Violations – Drug Alcohol Violations Step 1 – Determine Intervention Level

Violation Behavior	A	B	C	D
Failing to obtain substance abuse evaluation as ordered	M	M	L	L
Consuming alcohol	H	M	M	L
Using controlled substance	H	M	M	L
Abide UA/BA monitoring	H	M	M	M

Possessing controlled substance	H	M	L	L
Possessing alcohol	H	M	L	L
Failing to notify CCO of controlled substance prescription	M	M	L	L
Termination from Drug Offender Sentencing Alternative program	C	C	C	N/A
Submitting a diluted or adulterated UA	H	H	M	M
Failing to obtain a chemical dependency evaluation as directed	M	M	L	L
Failing to complete chemical dependency Treatment as directed	H	H	M	M
Failing to abide by treatment rules	H	H	M	L
Failing to comply with Drug Offender Sentencing Alternative requirements	H	H	M	N/A

Violations – Other

Step 1 – Determine Intervention Level

Violation Behavior	A	B	C	D
Search refusal	C	H	M	M
Breaking curfew	M	M	L	L
Failing to abide by DOC imposed sanctions	M	M	L	L
Willful cause placement failure	M	M	L	L
Failing to complete original jail time	C	C	C	C
Failing to comply with court ordered impositions	M	M	L	L
Failing to abide by CCO verbal directive	M	L	L	L
Failing to notify CCO of arrest/citation	M	M	L	L
Failing to notify employer of convictions	M	M	L	L
Failing to complete electronic home monitoring as ordered	C	C	C	C
Failing to advise CCO of motor vehicle	M	M	L	L
Failing to follow facility rules	H	M	H	H
Failing to abide by Indeterminate Sentencing Review Board special condition not listed elsewhere in the guide.	M	M	N/A	N/A
Failing to comply with rules of electronic home monitoring	H	H	H	M

Sanctions - LOW

Step 2 – Select Appropriate Intervention

Sanctions – LOW	<i>Availability of resources varies by location</i>
▪ Apology letter	
▪ Case staffing	
▪ Community restitution hours (16 hours or less)	

▪ Curfew (30 days or less)
▪ Daily log/letter Writing
▪ Getting it Right (specific exercise)
▪ Health education Classes
▪ Increased reporting
▪ Structured job search
▪ Support group meetings
▪ Thinking report
▪ Travel restrictions (30 days or less)
▪ Verbal reprimand
▪ Written reprimand by CCO

Sanctions - MEDIUM

Step 2 – Select Appropriate Intervention

Sanctions – MEDIUM	Availability of resources varies by location
▪ Additional UA testing	
▪ Adjustment in contacts	
▪ Anger management classes	
▪ Community Accountability Board (CAB)	
▪ Community Justice Center (specialized programs)	
▪ Community restitution hours (more than 16 hours)	
▪ Counseling from a community agency	
▪ Curfew (longer than 30 days)	
▪ Daily breathalyzer testing (30 days or less)	
▪ Day reporting	
▪ Drug/Alcohol assessment	
▪ GED- Adult Basic Education	
▪ Getting it Right (full program)	
▪ Increased structured job search	
▪ Increase support group meetings	
▪ Moral Reconation Therapy	
▪ Relapse Education Program	
▪ Thinking for a Change	
▪ Travel restrictions (over 30 days)	
▪ Verbal/Written reprimand by Community Corrections Supervisor	
▪ Victim education program	

Sanctions - HIGH**Step 2 – Select Appropriate Intervention**

Sanctions - HIGH	<i>Availability of resources varies by location</i>
▪ Daily reporting with option of UA testing	
▪ Daily UA testing	
▪ Detention pending hearing	
▪ Drug/Alcohol treatment	
▪ Evaluation & completion of recommended mental health, sexual deviancy, or anger management	
▪ Geographic restrictions – specific limitations	
▪ Intensive curfew	

Sanctions - CONFINEMENT**Step 2 – Select Appropriate Intervention**

Sanctions – Confinement Options	<i>Availability of resources varies by location</i>
▪ Detention prison/jail	
▪ Electronic home monitoring	
▪ Global Positioning System	
▪ In-Patient treatment	
▪ Work Release	

Recommended Confinement Time

Risk	1st Hearing	2nd Hearing	3rd or more Hearing
A	0-30 days confinement	30-45 days confinement or inpatient treatment	45-60 days confinement or inpatient treatment
B	0-20 days confinement	20-35 days confinement or inpatient treatment	35-50 days confinement or inpatient treatment
C	0-15 days confinement	15-30 days confinement or inpatient treatment	30-40 days confinement or inpatient treatment
D	0-10 days confinement	10-20 days confinement or inpatient treatment	20-30 days confinement or inpatient treatment

The following are well established lists of circumstances that have been found to be sufficient to support a CCO's or Hearing Officer's decision to impose sanctions higher or lower than required by this guide. Please note that the lists are not exclusive. CCOs and Hearing Officers may seek approval of other factors to support a recommendation or decision.

Sanctions – CONFINEMENT- Mitigating Circumstances

Mitigating Circumstances for Exceptional Sanctions: Non-Exclusive List

- Before detection, the violator compensated or made a good faith effort to compensate the victim of the violation conduct for any damage or injury sustained.
- The violator committed the violation under duress, coercion, threat, or compulsion insufficient to constitute a complete defense but which significantly affected his or her conduct.
- The violator, with no apparent predisposition to do so, was induced by others to participate in the violation.
- The violator's capacity to appreciate the wrongfulness of his or her conduct, or to conform his or her conduct to the requirements of the law, was significantly impaired. (Voluntary use of drugs or alcohol is excluded.)
- To a significant degree, the victim of the alleged violation was an initiator, willing participant, aggressor, or provoker of the incident.
- The violation was principally accomplished by another person and the violator manifested extreme caution or sincere concern for the safety or well-being of the victim.
- The violator or the violator's children suffered a continuing pattern of physical or sexual abuse by the victim of the violation and the violation behavior is a response to that abuse.

Sanctions – CONFINEMENT- Aggravating Circumstances

Aggravating Circumstances for Exceptional Sanctions: Non-Exclusive List

- The violator and the DOC both stipulate that justice is best served by the imposition of an exceptional sanction.
- The violator has committed multiple current violations and standard sanction results in some conduct going unaddressed.
- The violator has had multiple prior hearings.
- The violator knew or should have known that the victim of the violation was particularly vulnerable or incapable of resistance.
- The current violation was a violent offense, and the violator knew that the victim of the current offense was pregnant.
- The current violation was a major economic offense or series of offenses, and involved multiple victims or multiple incidents per victim; or involved attempted or actual substantial monetary loss; or involved a high degree of sophistication or planning or occurred over a lengthy period of time; or the violator used his or her position of trust, confidence, or fiduciary responsibility to facilitate the violation.
- The violation behavior was of a sexual nature.
- The violation involved domestic violence.
- The violation was part of an ongoing pattern of psychological, physical, or sexual abuse of a victim under 18 and/or manifested by multiple incidents over a prolonged period of time;
- The violation occurred within sight or sound of the victim's or the violator's minor children under the age of eighteen years; or

- The violator's conduct during the commission of the current violation manifested deliberate cruelty or intimidation of the victim.
- The violation involved a high degree of sophistication or planning.
- The violator used his or her position of trust, confidence, or fiduciary responsibility to facilitate the commission of the violation.
- The violator committed a sex offense, has a history of sex offenses, and does not appear to be amenable to treatment.
- The violator demonstrated or displayed an egregious lack of remorse.
- The violator committed the current violation shortly after being released from confinement.
- The violation was committed against a CCO or law enforcement officer who was performing his/her official duties at the time of the offense.
- The violator committed the violation against a public official or officer of the court in retaliation of the public official's performance of his/her duty to the criminal justice system.

Violation Sanction Descriptions

LOW

Apology Letter:

An apology letter is most appropriate for a minor violation where the offender has been inconsiderate of another person through being late for appointments, forgetting appointments or other inconsiderate actions where proper social etiquette would warrant an apology.

Case Staffing:

This may be an effective sanction for those offenders that have good community support structures but are struggling. A case staffing with family members (mom, dad, spouse), members of the clergy, counselors, CCO's supervisor or others that may be offering support or structure in the community to assist the offender with understanding and changing their behaviors.

Community Restitution Hours (16 Hours or Less):

Community Restitution can serve as a meaningful sanction for dealing with a broad range of violations such as not reporting as scheduled, failure to maintain employment or attendance for other programs.

Curfew (30 Days or Less):

This may be an effective sanction for offenders that need to be at their place of residence vs. being on the streets, out late and not able to get up in the mornings for work or other reporting requirements. Ordering the restriction of the time spent in the community protects the community from the offender and keeps the offender from a negative peer group on the streets.

Daily Log/Letter Writing:

The requirement to keep a daily log or to write a daily/weekly/monthly letter is a continual reminder to the offender that the supervising CCO will be monitoring his/her behavior and provide ongoing reinforcement of appropriate behavior.

Getting It Right (Specific Exercise):

This program assists offenders in personal growth, responsible thinking, life management, relapse prevention, change plans, and a passport to action. This sanction involves assigning the offender an exercise from the book that addresses the specific non-compliant behavior.

Health Education Classes:

Ordering an offender to participate in Health Education classes will provide education and information to promote offender health, teach offender self-care, and address disease prevention, early detection, and treatment.

Structured Job Search:

For the offenders with no or poor work histories, who are frequently unemployed and need assistance with resume writing, employment application completion, job interviewing procedures, and career exploration should be referred to available community resources.

Support Group Meetings:

Requiring an offender to attend scheduled meetings for chemical dependency/addictive behavior programming provides learning on addiction and maintaining sobriety in a structured environment. This sanction should be used for offenders who have had a minor relapse or had a positive UA.

Thinking Report:

This sanction involves the writing of a report by the offender and is to be used when offenders are using criminal thinking to excuse their behavior. The CCO should review the report and reinforce the learning with the offender.

Travel Restrictions (30 Days or Less):

This may be an effective sanction for offenders who frequently travel to meet family and friends in the state or who often travel to larger cities for entertainment or shopping.

Verbal Reprimand by CCO:

Counseling or a reprimand is the most common response to a minor violation of supervision. It involves confronting the offender with the apparent violation, listening to his/her side of the story, and delivering a warning.

Written Reprimand by CCO:

A written reprimand is used when a verbal reprimand has not been effective. A written reprimand has the additional benefit of putting in writing what the problem is, and exactly what needs to be done to change the behavior causing the violation of the conditions of the supervision agreement.

Violation Sanction Descriptions**MEDIUM****Additional UA Testing:**

An increase in UA testing is designed to assist the offender in breaking the cycle of substance abuse by providing close monitoring. This sanction is most often used when an offender has an extensive background in using chemicals or after an offender has had a positive UA.

Adjustment in Contacts:

For the offender who has demonstrated multiple minor violations such as not keeping appointments or finding full-time employment, an effective strategy is to increase his/her

reporting requirements to multiple times per week, and a restriction of the time spent with negative peers on the streets

Anger Management Classes:

The sanction involves requiring an offender to attend anger management classes and is to be used when offenders are using anger to control others or are allowing anger to control their behavior.

Community Accountability Board (CAB):

This sanction involves ordering an offender to appear before a CAB. A CAB is based on restorative justice principles and seeks to engage the community and victims with the offender to restore the harm done as a result of the offender's behavior. The offender is held accountable to the community for the harm done by his/her criminal behavior. This is achieved by appearing before the CAB and developing a Community Negotiated Action Plan (CNAP) that effectively addresses behavior. The CAB consists of volunteers from local communities who want to impact crime by being involved in the decisions made about an offender's behavior.

Community Justice Center (Specialized Programs):

This sanction requires an offender to report to a Community Justice Centers (CJC) to complete specialized programming.

Community Restitution Hours (More Than 16 Hours):

Community Restitution can serve as a meaningful sanction for dealing with a broad range of violations such as not reporting as scheduled, failure to maintain employment, failure to follow through on treatment or education, or failure to follow through on program attendance.

Counseling from a Community Agency:

Requiring an offender to participate in Counseling should be used as a sanction when a offender has mental health issues and a condition of supervision has been violated, but the offender's mental health are exacerbating their problems.

Curfew (Longer Than 30 Days):

This may be an effective sanction for offenders that need to be at their place of residence vs. being on the streets, out late and not able to get up in the mornings for work or other reporting requirements. Ordering the restriction of the time spent in the community protects the community from the offender and keeps the offender from a negative peer group on the streets.

Daily Breathalyzer Testing (30 Days or Less):

This sanction is most often used when an offender has a history of alcohol abuse problems and recent alcohol use that includes two indications of alcohol use within a six month period.

Day Reporting:

Requiring an offender to report to his CCO daily allows the CCO to check on the offender's sobriety, drug usage or employment status. Offenders under this sanction should be deterred from further violation of the condition of their supervision agreement by the increased risk of discovery of behavior that violates his/her supervision agreement and should, over time, develop the skills needed to succeed in the community.

Drug/Alcohol Assessment:

An offender with a history of substance abuse problems and recent drug use should be referred to a designated program for screening for an outpatient treatment program, after increased urine testing,

Relapse Education Program and other intermediate sanctions have been used without success. Mandatory aftercare and regular substance abuse testing are all part of the outpatient treatment protocol.

GED:

Participation in this program assists in increasing reading, writing, and math levels to a 9.0 grade level in order to obtain a GED certificate.

Getting it Right (Full Program):

This program assists offenders in personal growth, responsible thinking, life management, relapse prevention, change plans, and a passport to action. This sanction involves enrolling the offender in the full program.

Increased Structured Job Search:

Creating a structured job search plan and requiring the offender to follow it may be an effective sanction for offenders that need assistance in finding and maintaining jobs (at a more intensive level).

Increased Support Group Meetings:

Increasing the number of scheduled meetings to attend weekly chemical dependency/addictive behavior programming (addictive behavior support groups) provides enhanced learning on addiction and maintaining sobriety and the opportunity to address this through a structured environment. This sanction should be used for offenders who have had a minor relapse or who have had a major relapse but have had a long period of sobriety prior to their relapse.

Moral Reconation Therapy (MRT):

Ordering an offender to complete MRT can help those correct thinking errors and take responsibility for actions. If this is not available locally, Thinking 4 a Change is a good alternative program.

Relapse Education Program (REP):

Ordering an offender to complete REP can help offenders understand and change the self-defeating behaviors that may result in relapse.

Thinking 4 a Change:

Ordering an offender to complete this program helps offenders correct thinking errors and take responsibility for their actions.

Travel Restrictions (Over 30 Days):

This may be an effective sanction for offenders who frequently travel to meet family and friends in the state or who often travel to larger cities for entertainment or shopping.

Verbal/Written Reprimand from Community Corrections Supervisor (CCS):

A verbal/written reprimand by the CCS is used when a verbal/written reprimand by the CCO has not been effective. A written reprimand has the additional benefit of putting in writing exactly what the problem is and what needs to be done to change the behavior.

Victim Education Program:

Ordering an offender to complete this program can help offenders understand the impact of crime and accept responsibility.

Violation Sanction Descriptions

HIGH

Day Reporting With Option of Daily UA Testing:

Requiring an offender to report to his CCO daily allows the CCO to check on the offender's sobriety, drug usage or employment status. Offenders under this sanction should be deterred from further violations of the conditions of their supervision agreement by the increased risk of discovery of behavior that violates his/her supervision agreement. Daily UA testing can assist the offender in breaking the cycle of substance abuse by providing close monitoring. This sanction is most often used when an offender has an extensive background in using chemicals or after an offender has had a positive UA.

Daily UA testing:

Daily UA testing can assist the offender in breaking the cycle of substance abuse by providing close monitoring. This sanction is most often used when an offender has an extensive background in using chemicals or after an offender has had a positive UA. The objective is to work with the offender to increase the amount of time where the offender remains clean and sober with the goal of achieving this for life.

Detention Pending Hearing:

CCO uses a DOC detainer or Secretary's Warrant to place offender in custody **pending** a hearing. The imposition of jail/detention time should be used in cases where offenders have willfully and consistently failed to abide by the conditions of supervision, a conditional release has been used previously and the offender failed to follow through with the requirements, or less severe sanctions have been unsuccessful or would significantly detract from the seriousness of the situation.

Drug/Alcohol Treatment:

An offender with a history of substance abuse problems and recent drug/alcohol use should be referred to a designated program only after the CCO has made treatment referrals, increased urine testing, and used other intermediate sanctions without success. The offender will complete the program per their assessed needs. Mandatory aftercare treatment and regular substance abuse testing are all part of the treatment protocol.

Evaluation & Completion of Recommended Mental Health, Sexual Deviancy, and Anger Management:

Requires an offender to receive an evaluation from a provider and to successfully complete treatment as recommended by the evaluator.

Geographic Restrictions – Specific Limitation:

Restricting the locations in which an offender frequents may be an effective sanction for offenders who have demonstrated the inability to control their traveling activities, which puts them at risk for non-compliant behavior.

Intensive Curfew:

This sanction is for individuals needing more restriction on their movement in the community. Offenders are to remain at their residence at all times leaving only for employment, treatment, education/training, reporting, and other activities approved by the CCO. This sanction would be used when the offender has demonstrated that other less restrictive measures are not preventing him/her from violating the conditions of supervision.

Violation Sanction Descriptions CONFINEMENT

Detention Prison/Jail:

CCO recommends continued total confinement based on the severity of the behavior and risk to re-offend.

Electronic Home Monitoring:

The offender wears a tamper-resistant device, which monitors when the offender is in his/her residence 24 hours a day. This sanction would be used when the offender has demonstrated that less restrictive measures have been ineffective and partial confinement is warranted.

Global Positioning System (GPS):

The offender wears a tamper-resistant device and carries a location tracking device, which monitors and tracks the offender's location 24 hours a day. The technology allows the CCO to monitor if the offender is at certain locations during the day such as residence, work, treatment, etc. (inclusion zones) or is at or near prohibited locations such as parks or school grounds (exclusion zones). This sanction and technology should be used only when location tracking is identified as a necessary component of the sanction.

In-Patient Treatment:

An offender who is sanctioned to the completion of an inpatient chemical dependency program based on their assessed need.

Work Release:

Work Release allows an offender to be removed from the community for a period of time to deal with the relapsing behavior and make appropriate plans to continue to address the behavior when he/she returns to the streets. This sanction is most often used when an offender has an extensive background in using chemicals or needs a structured transitional program to successfully maintain him/her in the community.

Pennsylvania

Parole Violation Response Matrix

	<u>Violation</u>	<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
<u>High Range</u>	H10 Possession of Firearms	H	H	H	<u>High Sanction Range</u> Incarceration (ARR2) Placement in Violation Center (VIOC) Placement in In-Patient Drug and Alcohol Treatment (IPAT) Placement in SAVE (CSVs-SSVS) Placement in CCC Half Way back (CPCB-CPCS) Placement in Drug and Alcohol Detox Facility (IDOX) Scheduling of a Conference Level 2 (CON2)
	H9 Possession of Offensive Weapons	H	H	H	
	H8 Assaultive Behavior	H	H	H	
	H7 Removal From Treatment	H	H	H	
	H6 Failure to Report Upon Release (48Hours)	M	N/A	N/A	
	H5 Failure to Abide by Mandatory Board Imposed Special Conditions	M	H	H	
	H4 Pending Criminal Charges (UCV Not Detained)	M	H	H	
	H3 Positive Urinalysis for Drugs (Previous History)	M	H	H	
	H2 Associating with Crime Victims	M	H	H	
	H1 Changing Residence without Notification	M	M	H	
<u>Medium Range</u>	M22 Failure to Abide by Board Imposed Special Conditions Not Listed	M	H	H	<u>Medium Sanction Range</u> Imposition of a Formal Final Warning (IFWW) Imposition of Electronic Monitoring (EMOS) Placement in a Day Reporting Center (DRPT) Imposition of House Arrest (HARR) Deadline for Securing Employment (DFSE) Placement in Out-Patient D & A Treatment (REF) Imposition of Increased Urinalysis Testing (URIN) Imposition of Mandatory Antabuse Use (IMAT) Imposition of Curfew (CURF) Increased Reporting Requirements (IRPT) Scheduling of a Conference Level 1 (CON1)
	M21 Failure to Notify Agent of Arrest	M	H	H	
	M20 Failure to Notify Agent of Arrest within 72 Hours	M	H	H	
	M19 Failure to Complete Treatment	M	H	H	
	M18 Failure to Provide Urine	M	H	H	
	M17 Electronic Monitoring Violation	M	M	H	
	M16 Violating Curfew/Approved Schedule	M	M	H	
	M15 Positive Urinalysis for Alcohol (Previous History)	M	M	H	
	M14 Conviction of Summary Offense (No Court Record)	M	M	H	
	M13 Failure to Abide by Written Instructions	M	M	H	
	M12 Failure to Abide by Field Imposed Special Conditions Not Listed	L	M	H	
	M11 Associating with known Felons, Gangs, Co-Defendants, etc.	L	M	H	
	M10 Entering Prohibited Establishments	L	M	H	
	M9 Failure to Participate/Attend Treatment	L	M	H	
	M8 Failure to Maintain Employment	L	M	M	
	M7 Failure to Take Prescribed Medications as Prescribed by MD	L	M	H	
	M6 Possession of Unauthorized Contraband, Cell Phone or Beeper	L	M	H	
	M5 Travel Violations	L	M	H	
	M4 Positive Urinalysis for Drugs (No History)	L	M	H	
	M3 Failure to Report as Instructed	L	M	H	
<u>Low Range</u>	M2 Failure to Abide by Verbal Instructions	L	M	M	<u>Low Sanction Range</u> Warning w/written instructions (348W) Documented Job Search (DJBS) Written Travel Restriction (WTVR) Oral Reprimand with Written Instruction (348I) Oral Travel Restriction (OTVR) Oral Reprimand (OREP)
	M1 Failure to Notify Agent of Changes of Status	L	L	M	
	L8 Changing Employment Without Agent Notification/Permission	L	L	M	
	L7 Failure to Pay Restitution and/or Other Court Ordered Fees	L	L	M	
	L6 Failure to Support Dependents	L	L	M	
	L5 Failure to Pay Urinalysis Fees	L	L	M	
	L4 Failure to Pay Supervision Fees	L	L	M	
	L3 Positive Urinalysis for Alcohol (No History)	L	M	H	
	L2 Failure to Participate in Community Service	L	M	M	
	L1 Changing Residence with Notification but No Permission	L	M	M	

California

OFFENDER NAME (LAST, FIRST, MI)	CDCR NUMBER	CII NUMBER
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Severity of Violation

Type of Violation (note most severe current violation code): _____

List all other Violations (and codes): _____

☐ Least Serious (1) ☐ Moderately Serious (2) ☐ Most Serious (3)

Risk Level

☐ Low (1) ☐ Medium (2) ☐ High (3) If High, please check: ☐ High Violent ☐ High Property ☐ High Drug

Is the Parolee a Sex Offender (as defined by PC290)? ☐ No ☐ Yes

If yes, indicate STATIC-99 risk category: ☐ High (Score of 4 or more) ☐ Low (Score of 3 or less)

Response Category: Note the offender's severity of violation score (1-3). Then match that number with the offender's assigned risk score to determine the presumptive response category (e.g., an offender with a moderately serious risk score (2) and a low risk level (1) would yield a presumptive response category of "Least Intensive").

Severity of Violation	Risk Level	Response Category	Check One
1	1	Least Intensive	<input type="checkbox"/>
2	1	Least Intensive	<input type="checkbox"/>
1	2	Least Intensive	<input type="checkbox"/>
3	1	Moderately Intensive	<input type="checkbox"/>
2	2	Moderately Intensive	<input type="checkbox"/>
1	3	Moderately Intensive	<input type="checkbox"/>
3	2	Most Intensive A	<input type="checkbox"/>
2	3	Most Intensive A	<input type="checkbox"/>
3	3	Most Intensive A or Most Intensive B	<input type="checkbox"/>

Recommended Responses (Availability of responses varies by geographic location.)

Check the box(es) in the assigned response level that will most effectively address the violation behavior. If options within the assigned response level are not appropriate, proceed to the optional "Override" section of this form.

Response Level 1: Least Intensive	Response Level 2: Moderately Intensive	Response Level 3: Most Intensive
<input type="checkbox"/> (1a) COP, verbal reprimand <input type="checkbox"/> (1b) COP, encourage offender to obtain and maintain full time employment, refer to employment agencies/programs <input type="checkbox"/> (1c) COP, increase reporting requirements <input type="checkbox"/> (1d) COP, written travel restriction <input type="checkbox"/> (1e) COP, imposition of curfew <input type="checkbox"/> (1f) COP, impose any other condition with a nexus to the violation or offense <input type="checkbox"/> (1g) COP, behavioral contract <input type="checkbox"/> (1h) COP, refer to PACT program <input type="checkbox"/> (1i) COP, refer to parole agent sponsored program (e.g., life skills, women's group) <input type="checkbox"/> (1j) COP, refer to community based substance abuse treatment program (i.e. NA/AA) <input type="checkbox"/> (1k) COP, refer to community based outpatient counseling/treatment services <input type="checkbox"/> (1l) COP, Proposition 36 program <input type="checkbox"/> (1m) COP, imposition of EID <input type="checkbox"/> (1n) COP, refer to other program (long-term use of remedial sanctions) <input type="checkbox"/> (1o) Restart program	<input type="checkbox"/> (2a) COP, verbal reprimand <input type="checkbox"/> (2b) COP, case review reassessment <input type="checkbox"/> (2c) COP, referral to psychological assessment/evaluation <input type="checkbox"/> (2d) COP, community service hours <input type="checkbox"/> (2e) COP, program restrictions - specific limitations <input type="checkbox"/> (2f) COP, geographic restrictions - specific limitations <input type="checkbox"/> (2g) COP, increase UA testing <input type="checkbox"/> (2h) COP, daily reporting with option of UA testing <input type="checkbox"/> (2i) COP, establish no-contact orders <input type="checkbox"/> (2j) COP, imposition of curfew or increased curfew enhancement <input type="checkbox"/> (2k) COP, refer to domestic violence program <input type="checkbox"/> (2l) COP, refer to Day Reporting Center (DRC) <input type="checkbox"/> (2m) COP, refer to structured inpatient or outpatient drug treatment program <input type="checkbox"/> (2n) COP, increase number of substance abuse support group meetings attendance <input type="checkbox"/> (2o) COP, refer to other program (long-term use of remedial sanctions) <input type="checkbox"/> (2p) COP, mandate participation and completion of a structured inpatient/outpatient substance abuse treatment program <input type="checkbox"/> (2q) COP, refer to Parolee Service Center (PSC) <input type="checkbox"/> (2r) COP, refer to Community-Based Coalition (CBC) <input type="checkbox"/> (2s) COP, refer to Female Residential Service Center (FRMSC) <input type="checkbox"/> (2t) COP, refer to Residential Multi-Service Center (RMSC) <input type="checkbox"/> (2u) COP, increase length of treatment/cognitive program <input type="checkbox"/> (2v) COP, increase supervision level <input type="checkbox"/> (2w) COP, refer to Community-Based In-Custody Drug Treatment Program (ICDTP)	Most Intensive - A <input type="checkbox"/> (3a) COP, placement into mental health services <input type="checkbox"/> (3b) COP, placement into intensive inpatient or outpatient drug treatment program <input type="checkbox"/> (3c) COP, refer to Parolee Substance Abuse Program <input type="checkbox"/> (3d) COP, refer to In-Custody Drug Treatment Program Most Intensive - B <input type="checkbox"/> (3e) Recommend for revocation

Override (Optional)

If there are compelling circumstances that would justify consideration of an override, indicate which factors are present that may justify an adjustment in response level. The presence of stabilizing factors (which may suggest that the offender's risk can be appropriately mitigated by using a less onerous response) or destabilizing factors (factors that, when present, are contributing to risk and cannot be adequately addressed by the presumptive response) may warrant increasing or decreasing the recommended response by one level, or in extreme circumstances, more than one level.

Stabilizing Factors

- ☐ Presence of positive family, peer or other social support in the community (S1)
- ☐ Job stability (S2)
- ☐ Enrollment and participation in an established educational program (S3)
- ☐ Stable and appropriate residence (S4)
- ☐ Positive performance history on supervision and in treatment (S5)
- ☐ Other, please explain (S6): _____
- _____

Destabilizing Factors

- ☐ Violation is directly related to either the current commitment offense behavior or a pattern of previous criminal behavior (D1)
- ☐ Acutely unstable home situation (D2)
- ☐ Demonstrated inability of the offender to support him/herself legally (D3)
- ☐ Evidence of escalating drug or alcohol addiction (D4)
- ☐ Chronic pattern of violations while under supervision (D5)
- ☐ Other, please explain (D6) : _____
- _____

Case conference regarding override conducted on: (date) _____ between

(Agent) _____ and (Supervisor) _____

Agent's Final Recommended Response Level (circle one): Least Intensive Moderately Intensive Most Intensive (A) Most Intensive (B)

Agent's Recommendation Represents an Override (circle one): YES NO

Agent's Final Recommended Response (Please be specific when indicating response; e.g., name of program offender is required to attend):

Parole Agent's Name (last, first, MI)

Badge #

Staff ID #

Date Signed

Parole Agent's Signature

Unit Supervisor's Determination

Concur with Agent's Response Level Recommendation (circle one): YES NO

Concur with Response Selected by Agent (circle one): YES NO

If No to Either of the Above, Explain: _____

Final Response Level: Least Intensive Moderately Intensive Most Intensive (A) Most Intensive (B)

Final Response (Please be specific when indicating response; e.g., name of program offender is required to attend): _____

Additional Comments (Please use this space to indicate additional information about violations decision making in this case):

Unit Supervisor's Name (last, first, MI)

Badge #

Staff ID #

Date Signed

Unit Supervisor's Signature

Mandatory Report to BPH (circle one): YES NO