



OFFENDER INTAKE ASSESSMENT AND CORRECTIONAL PLANNING

STANDARD OPERATING PRACTICES (SOPs)

(700-04)

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Commissioner of the Correctional Service of Canada

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Authorities

Corrections and Conditional Release Act:

- s. 4 (Principles) *a), b), d), g), h), i)*,
- s. 11 (Reception of Inmates),
- s. 28 and 29 (Placement and Transfer),
- s. 30 (Security Classification),
- s. 76 and 77 (Programs for Offenders),
- s. 80 (Programs for Aboriginal Offenders),
- s. 81 (Aboriginal Corrections),
- s. 84 (Release to Aboriginal Community),
- s. 85 (Health Care),
- s. 87 (Consideration of Health Needs in Decisions).

Corrections and Conditional Release Regulations:

- s. 11 and 12 (Placement and Transfers),
- s. 17 and 18 (Security Classification),
- s. 102 (Correctional Plans),
- s. 113(1) (Disposition of Business upon Reception to Penitentiary).

Cross-references

Commissioner's Directive 006 - Classification of Institutions
Commissioner's Directive 095 - Information Sharing with Offenders
Commissioner's Directive 540 - Transfer of Offenders
Commissioner's Directive 702 - Aboriginal Programming
Commissioner's Directive 720 - Education of Offenders
Commissioner's Directive 730 - Inmate Program Assignment and Payments
Commissioner's Directive 782 - Sharing Offender-Related Information
Commissioner's Directive 800 - Health Services
Commissioner's Directive 840 - Psychological Services
Commissioner's Directive 843 - Prevention, Management and Response to Suicide and Self-Injuries

Overview

- 1 The expected output of the Intake Assessment and Correctional Planning process is as follows:
 - a complete profile of the offender's criminal and social history, including offence cycles, treatment outcomes and victim impacts;
 - a rating of the static factors related to criminal re-offending;
 - a prioritised listing of dynamic factors related to reducing the risk of reoffending;
 - a statement regarding the potential for detention referral;
 - a statement regarding qualification for Accelerated Parole Review;
 - a sentence-wide Correctional Plan;
 - a security classification and initial placement recommendation.

Objectives

- 2 To provide a smooth and effective introduction of offenders to the federal correctional system.
- 3 To provide offenders with an orientation to the rules, conditions and entitlements in the federal correctional system.
- 4 To develop Correctional Plans that provide a succinct description of the critical information required to understand how the offender's sentence is managed from beginning to end.
- 5 To place offenders to the most appropriate institution and to contribute to their timely preparation for safe reintegration.

Principles

- 6 Offender Intake Assessment (OIA) involves the timely and systematic analysis of significant information and the identification of the critical static and dynamic factors that affect the safe, timely reintegration of each offender. This analysis is conducted through the application of tools and policy guidelines developed specifically for this purpose.
- 7 The Correctional Plan is the principal document for providing an overall picture of the offender, and is the base document for all decision-making about the offender.

- 8 Correctional Plans are not changed unless there is a significant change in the factors contributing to the offender's criminal behaviour.

Application

- 9 Offender Intake Assessments shall be conducted on the following offenders:
- Offenders sentenced to two years or more in federal institutions;
 - Female offenders serving their federal life sentence in Burnaby Correctional Centre for Women;
 - Provincial offenders transferred to the federal jurisdiction under Exchange of Service Agreements, except for those from New Brunswick;
 - Young offenders sentenced as adults under the *Youth Criminal Justice Act* or the *Young Offenders Act* provisions, once they are transferred to federal jurisdiction.

Timeframe

- 10 The Intake Assessment and Correctional Planning process shall be completed within the following timeframes:
- For offenders serving sentences of 4 years or less, the Correctional Plan shall be completed by 70 calendar days from the admission date.
 - For offenders serving sentences of more than 4 years (including indeterminate and life), the Correctional Plan shall be completed by 90 calendar days from the admission date.
 - For young offenders, the assessment shall be completed within 70 calendar days of their transfer to the federal jurisdiction.

INTAKE AND IMMEDIATE NEEDS

Review and Confirmation of Immediate Needs

- 11 Every offender shall be interviewed within twenty-four hours of arrival at the Intake Assessment Unit to supplement and verify information already gathered and to identify areas of need that require immediate attention. The results of this interview should be documented in a casework record in OMS.
- 12 The following Immediate Needs checklists should be reviewed to confirm information acquired through the Preliminary Assessment:
- Medical,
 - Mental Health,
 - Security, and
 - Suicide Risk.
- 13 Any immediate needs that are identified during the initial intake interview shall be referred for attention to the appropriate specialist. The existence of critical information shall be entered as either an "alert", "flag" or "need" in the Offender Management System (OMS) via the Preliminary Assessment screen or from the Intake Assessment and Placement menu. The existence of critical information will appear in the OMS file "header". The continuing validity of "needs", "alerts" or

"flags" should be verified periodically. Those that are no longer applicable should be removed.

- 14 The initial interview should also gather information required for cell assignment, confirmation of language and need for an interpreter and provide an initial orientation to institutional operating procedures. At this time, the Preliminary Assessment report, if available, should be shared with the offender.
- 15 Procedures required for Sentence Management, Admission and Discharge and Supplies and Institutional Services should be initiated by those departments as soon as possible after admission.
- 16 Every offender may inform, by telephone, anyone on his authorized call list or his lawyer of his or her admission to a penitentiary. Should the offender be incapable of making the communication himself, the information shall be communicated to the designated person by institutional authorities, providing that the offender has so requested. Where the offender is capable of doing so, the request shall be in writing.

Check for Outstanding Charges

- 17 CPIC checks, or other formal means, are used to verify the existence of any outstanding charges. It is important to complete these checks upon the notification of the imposition of a federal sentence and prior to any consideration for conditional release. This will permit the decision-maker to more accurately assess the risk posed by the offender both in the institution and in the community.
- 18 A summary of the results of the verification shall be included in the Criminal Profile.
- 19 Verification of outstanding charges shall be conducted prior to the completion of the assessment process. The results of all verifications shall be documented and include:
 - the date/time of the request;
 - the date/time results were received;
 - the results (e.g. nature and location of charges).
- 20 When a police verification reveals the existence of outstanding charges, the results shall be recorded in the Offender Management System. The details of the charges shall be obtained and the offender shall be interviewed to ascertain the offender's version of the circumstances surrounding the charges. Prior to obtaining information concerning the charges, the Parole Officer must provide the offender with the following warning:

"It is my duty to inform you that you need not say anything. You have nothing to hope from any promise or favour and nothing to fear from any threat whether or not you say anything. Anything you do say may be used against you as evidence. Do you understand?"

- 21 In the event that an offender with outstanding charges is to be released, the Sentence Manager shall contact the police force holding the arrest warrants for those charges and make arrangements regarding the status of the charge(s) at release.

Medical Check

- 22 Each Offender Intake Assessment Unit shall establish procedures to ensure that paragraphs 15 and 16 of CD 800 are carried out.

Identification of Accelerated Parole Review Cases

- 23 Each Offender Intake Assessment Unit shall review all offenders within seven days following admission to the institution in order to identify those eligible for accelerated review. The Correctional Service of Canada (CSC) is required to bring to the attention of the National Parole Board (NPB) any offender who is subject to the Accelerated Review Provisions of the *Corrections and Conditional Release Act* (CCRA).
- 24 First-time federal offenders are eligible for accelerated parole review except those serving a sentence for:
- a) murder;
 - b) an offence under s. 240 of the *Criminal Code* (accessory after the fact to murder);
 - c) an offence for which the offender received a life sentence imposed otherwise than as a minimum punishment;
 - d) an offence on Schedule I (in the case of Break, Enter and Commit an indictable *Criminal Code* offence listed on Schedule I, staff must actively seek out information on the nature of the "indictable offence" using the information listed in section 5 of Schedule I to ensure that these individuals are excluded from referral for accelerated review);
 - e) attempting to commit, or acting as an accessory after the fact to, an offence on Schedule I that was prosecuted by way of indictment;
 - f) An offence under ss. 83.02, 83.03, 83.04, 83.18, 83.19, 83.2, 83.21, 83.22, 83.23 of the *Criminal Code*, or a conspiracy to commit any of these offences;
 - g) Conspiring to commit an offence on Schedule I;
 - h) an offence on Schedule II where the sentencing judge has ordered that the parole eligibility date be set at one-half of the sentence;
 - i) an offence under s. 82(2) or s. 467.11, 467.12, 467.13 of the *Criminal Code* (or s. 467.1 for offences committed prior to January 7, 2002), or any other offence where the sentencing court determines that it was a criminal

organization offence as defined in section 2 of the *Criminal Code* (only applicable for sentences imposed on or after May 1, 1999); or

- j) day parole revocation.

NOTE: Any new sentence imposed for an offence committed after the offender was sentenced to a penitentiary for the first time will disqualify the offender from the accelerated review provisions.

ORIENTATION TO CSC

- 25 Each Offender Intake Assessment Unit shall establish an orientation program which will introduce offenders to the Correctional Service of Canada. Topics to be presented will include:
 - a) Mission Statement of the Correctional Service of Canada,
 - b) *Charter of Rights and Freedoms*,
 - c) Health Care Services,
 - d) *Corrections and Conditional Release Act and Regulations*,
 - e) Policy and procedures for temporary absences, work release and day / full parole,
 - f) Rules and regulations governing the conduct of offenders,
 - g) Offender privileges and responsibilities,
 - h) Program opportunities,
 - i) Security procedures,
 - j) Security levels of institutions,
 - k) Case management process,
 - l) Institutional operations,
 - m) Finance,
 - n) Visits and Correspondence,
 - o) Offender Grievance Procedure,
 - p) Access to information procedures,
 - q) Correctional Investigator function and office.
- 26 Offenders shall be provided with counselling regarding adaptation to the penitentiary environment, spiritual counselling, educational and vocational counselling as they may require.
- 27 Offenders shall be informed of their approximate eligibility dates for day and full parole and the timeframes for submitting their application.

SUPPLEMENTARY ASSESSMENTS

General

- 28 Supplementary assessments are designed to address specific problem areas and are intended to provide information on the nature and seriousness of problems related to the dynamic factors. Such assessments shall be conducted based on referral criteria.

- 29 Referrals for supplementary assessments should be based largely on information obtained through Preliminary Assessments and initial interviews.
- 30 Intake Assessment Units should make every effort to initiate referrals for supplementary assessments during the first two weeks after admission to the unit, although referrals can be made later in the assessment process based on new information indicating the need to do so.

Psychological Assessments

- 31 The criteria for referring an offender to a psychologist are as follows:
- a) Offenders requiring mental health screening:
 - i. Situational adjustment problems - severe anxiety; withdrawn; panic; vulnerable and inadequate.
 - ii. Mental health - prior psychiatric admission; current psychotropic medication.
 - iii. Suicide - prior attempts; current ideation; current plan.
 - iv. Self-mutilation - history of self-injury; current threats.
 - b) Offenders requiring risk-based psychological assessments:
 - i. Persistent violence - three or more convictions for offences under Schedule I of the CCRA.
 - ii. Gratuitous violence - excessive violence beyond that which is "required" to meet an end; or evidence of sadistic behaviour, torture.
 - iii. Sex offender - see paragraph 37.
- 32 The Parole Officer is responsible for ensuring that a referral to a psychologist is made for offenders who meet any of the criteria listed above. In addition, the Parole Officer may refer any offender for assessment if there are reasonable grounds to believe that a psychological assessment would assist in clarifying the overall risk posed by the offender.
- 33 Every effort should be made to complete the psychological assessment while the offender is in the Intake Assessment Unit, particularly for offenders serving four (4) years or less.

Substance Abuse Assessments

- 34 Offenders will be referred to participate in the Computerized Lifestyle Assessment Instrument (CLAI) or other specialized substance abuse assessments according to one or more of the following criteria:
- The use or abuse of substances was directly or indirectly involved in the current offence;
 - The use or abuse of substances was directly or indirectly involved in past offences;

- Evidence of past bail, probation or parole violations linked to substance use or abuse;
- Evidence of substance use interfering with interpersonal relations, social, family, employment, health or financial situation, current or past.

Educational and Vocational Assessments

35 Offenders shall be referred for educational testing, unless there is official documentation of grade level attainment. Offenders who meet all the following criteria shall be referred for employment assessment by completing form CSC/SCC 1253:

- Grade 8 or higher education attainment;
- Employment strengths or abilities;
- No employment prospects in area where he/she was previously employed (i.e. offence precludes future employment in that area);
- Less than 55 years old;
- Eligibility for some form of release within 5 years; or serving a long term sentence (over 15 years) and will require the development of skills for a correctional career (e.g. plumber, electrician, cook);
- Has adequate cognitive ability to participate in structured learning activities;
- Is motivated to participate in vocational assessment and training;
- Does not have a DSM Axis 1 diagnosis.

Offenders who have past community adjustment problems, including but not limited to criminal behaviour, linked to employment problems may also be referred for educational or vocational testing.

Family Violence Assessments

36 The Family Violence Risk Assessment shall be conducted on offenders who meet one or more of the following criteria:

- The offender is a documented or self-reported spousal assault perpetrator:
 - Current charges/convictions related to spousal assault;
 - Past charges/convictions related to spousal assault;
 - Admitted by offender;
 - Reported by other source (i.e., Community Assessment information, etc.).
- The offender is a documented or self-reported victim of spousal assault:
 - Admitted by offender (i.e., offender claims to have been abused by his partner);
 - Reported by other source.

- The offender is a suspected spousal assault perpetrator:
 - Attitudes that support/condone spousal assault, in combination with a documented or reported history of non-spousal violence;
 - Attitudes that support/condone spousal assault, in combination with a documented or reported history of serious marital instability;
 - Behaviour or physical evidence that raises the suspicion of spousal assault (e.g., police records indicate offender has a history of “domestic disputes”);
 - Other: with rationale.

Sex Offender Assessments

37 The following offenders shall be referred for specialized sex offender assessment:

- Offenders whose current offence is a sexual offence;
- Offenders who have a history of sexual offences;
- Offenders whose current or past offences involved sexual offences, whether or not the latter resulted in conviction.

ASSESSMENT OF STATIC FACTORS

Overview

38 The information required to finalize the static factor assessment is as follows:

- Official documents:
 - official version of the offence (court documents, police reports, pre-sentence report),
 - criminal history (CPIC, FPS),
 - Post-Sentence Community Assessment (PSCA),
- Interviews conducted as part of the Intake Assessment process.

39 Once key information about the offender has been obtained, it must be systematically reviewed and analysed along various dimensions to arrive at a measure of risk posed by the offender. This review commences with the application of several research-based tools and policy guidelines that focus on historical or static factors that are correlated to the risk for reoffending:

- The Criminal History Record;
- The Offence Severity Record;
- The Sex Offence History Checklist;
- Guidelines to assess "serious harm";

- The Statistical Information on Recidivism Scale.

40 The utility of these instruments is dependent upon accurate and complete information.

Criminal History Record, Offence Severity Record and Sex Offence Checklist

41 These three instruments are research-derived assessment tools that measure risk of reoffending. Each tool requires the rater to provide either a “yes”, “no”, or “unknown” response to a series of questions about the offender’s criminal involvement. A complete listing of the questions for all three tools is found in Annex 700-04A.

42 The **Criminal History Record** is based on significant factors related to the offender’s involvement with the criminal justice system. The **Offence Severity Record** measures the nature and degree to which an offender has inflicted harm on society in general, and on victims in particular. **The Sex Offence History** measures the nature and extent of sex offending, the amount of harm inflicted on victims, and involvement in assessment/treatment/ intervention in relation to sex offending.

43 Once all questions are completed, the OMS application tabulates a response for each of the three tools. Generally speaking, the higher the number of positive responses, the greater the criminal risk. Raters should qualify or summarize the raw score as required to clarify the significance of the criminal risk.

44 Only the **Criminal History Record** requires a domain analysis. This must be a concise summary of the offender’s criminal history, as it will be automatically inserted into the community Standard Profile for use after the offender is released. It must be no longer than two sentences in length.

Serious Harm

45 The determination of serious harm is a critical component of the assessment of static factors. It is mandatory that the details of all offenders serving sentences for Schedule I or II offences be reviewed and analysed during Intake Assessment to determine if serious harm was involved in the commission of the offence. The result of this assessment has several legal and policy implications. Where it is determined that a victim suffered serious harm during the commission of the offence:

- the Parole Officer conducting the intake assessment must carefully consider whether the offender's static factor rating must automatically be classified as "HIGH";
- if the offender is serving a sentence for a Schedule I offence where serious harm to the victim occurred, the decision-making authority for unescorted temporary absences will be the National Parole Board;

- the offender must be flagged for a detention review prior to statutory release.
- 46 By using the following guidelines, Parole Officers also may indicate that serious harm was involved in cases involving non-Schedule offences, including murder.
- 47 The following guidelines are to be applied to all cases where the offence involves a Schedule I or II offence.

Legal Definition of "Serious Harm"

- 48 Section 99 of the *Corrections and Conditional Release Act* defines "serious harm" as "severe physical injury or severe psychological damage".
- 49 Guidelines for determining whether physical harm was incurred include: physical disability, incapacitation, disfigurement, serious reduction in quality of life for a period of time, the level of medical intervention involved.
- 50 It is essential to bear in mind that in cases where there is no evidence of physical harm, it is still necessary to form an opinion as to whether severe psychological damage was caused. In the absence of concrete information, expert opinion may be sought (e.g., consultation with psychiatrist/psychologist, research findings).

Assessing Severe Psychological Damage

Clinical Definition of "Serious Harm"

- 51 In assessing the psychological impact of an offence, mental health professionals generally consider whether victims have symptoms of serious psychological disorder after the criminal offence.
- 52 Psychological disorders are based on impairments in psychological functioning as indicated by:
- the victims' subjective distress and self-reported symptoms; and
 - the victim's inability to maintain a valued role in society, (e.g. problems with work, school, family and friends).
- 53 The overall level of physiological impairment is based on weighing subjective and societal perspectives. In general, serious problems in one area are sufficient to indicate a serious mental disorder. The most common, serious psychological disorder to result from criminal victimization is Post Traumatic Stress Disorder (PTSD).
- 54 The diagnostic criteria for Post Traumatic Stress Disorder are as follows:
- reliving of event (intrusive memories, dreams, feeling like event is recurring);
 - feeling numb;

- persistent avoidance of possible reminders of event; loss of interest in future;
- increased psychological arousal (sleep problems, cannot concentrate, startles easily);
- duration of disturbance of at least one month.

55 The difference between "mild" to "moderate" symptoms and "severe" symptoms is a matter of degree. One way of determining whether a psychological symptom is severe or not is to consider whether a person with that symptom would definitely be in need of treatment. As a reference point, the following symptoms are considered severe versus moderate by most mental health clinicians and researchers:

| Severe | Moderate |
|--|--|
| has suicidal ideation | has depressed mood |
| unable to keep a job | has conflicts with co-workers |
| unable to leave home | avoids some places usually considered safe (e.g. shopping malls) |
| has no friends | has few friends |
| frequently shoplifts | steals from others within the household |
| neglects family | provides inconsistent parenting |
| has delusions (believes things that could not be true) | is overly suspicious |
| has frequent panic attacks | has occasional panic attacks |
| refuses to go to school (child) | occasionally truant (child) |
| has persistent insomnia | has some nightmares |
| compulsively drinks | |
| addicted to drugs | |

56 Other serious psychological disorders that can result from victimization include depression, conduct disorder (in children), various anxiety disorders, and the exacerbation of pre-existing psychological or psychiatric problems. A frequent symptom in children of sexual victimization is inappropriate sexual behaviour.

57 Severe psychological damage can be inferred from various sources. One strong source of evidence would be the assessment from duly qualified mental health professionals documenting that such harm had occurred. Since such assessments are rarely, if ever, available, another direct source would be victim impact statements. If these statements do not exist or provide unclear or insufficient information, severe psychological damage may in some cases be

inferred from offence and victim characteristics as described in such documents as police reports and court documents outlining the facts of the offence.

58 The following steps should also be taken to assess severe psychological damage and may be particularly useful where psychological assessments for victims are not available:

- a) Examine victim impact statements. For impact statements taken immediately after the crime, look for high levels of subjective distress and the victims' fear of death during the incident. Strong fears reported immediately following the incident are an indication that the victim may have suffered severe psychological damage;
 - For victim impact statements taken several months after the event, look for any serious symptoms, including symptoms of PTSD, sustained subjective distress, and impairment in social and occupational functioning. These are signs that the victim may have suffered severe psychological damage.
- b) In addition to victim impact statements, consideration should be given to offence and victim characteristics.

59 The following lists identify offence and victim characteristics identified in the mental health literature as being commonly associated with psychological disorders resulting from sexual and non-sexual victimization. The presence of each of these characteristics increased the probability that a victim of a criminal offence suffered severe psychological damage. It should be noted that the research literature indicates that sexual offences are more likely to cause severe psychological damage than non-sexual offences.

Factors Associated with Severe Psychological Damage

| Offence Characteristics | Victim Characteristics |
|---|--|
| sexual offence | prior mental health or adjustment problems |
| if a sexual offence, penetration was involved | prior criminal victimization |
| brutality (e.g. serious physical injury, torture) | female |
| victim held captive | 50 years or older |
| repeated offences against victim | |
| long duration | |
| Other Factors | |
| - prior positive relationship or relationship of trust with offender (e.g. parent abuses child, assault by marriage partner) | |
| - no social support for victim provided (e.g. family disbelieves child sexual abuse victim, victim isolated from friends, services) | |

60 The foregoing are guidelines only. Victims may be seriously harmed although few (or none) of the factors are present. As well, victims may not be seriously harmed even though many of the factors are present. The severity and duration of the factors need to be considered in making judgements about the impact of the crime. To assist in making this judgement, the following table presents various combinations of cases that have been identified in research literature as being associated with severe psychological damage. The cases are presented in descending order of their likelihood of being associated with severe psychological damage (e.g., the ones at the top of the table are representative of cases most often associated with incidents of severe psychological damage and the ones at the bottom depict cases that are unlikely to be associated with severe psychological damage).

Guide to Establishing the Likelihood of Severe Psychological Damage

| | |
|--------------|--|
| Most Likely | <ul style="list-style-type: none"> - child victim, sexual intercourse with parental figure - adult female victim, forced sexual intercourse with significant physical injury - adult victim, hostage for 10 hours, physical injury, plausible death threats - child victim, sexual offence without penetration by parental figure or person in position of trust, duration greater than 12 months - child victim, sexual offence without penetration by parental figure or person in position of trust, duration of 6 months or less - adult female victim, sexual assault without penetration by male known to victim, threats of injury, single incident - adult female victim, physical assaults by intimate male, greater than 12 months duration - child victim, sexual assault by stranger, no overt force, 3 months duration - adult female victim, prior mental health problems, armed robbery - child victim, single incident of sexual assault by stranger, no overt force, low degree of sexual contact - adult female victim, single incident of physical assault (bruising) by male acquaintance - adult female victim, sexual assault (touching over clothes) by male in position of authority (landlord, boss) no overt force, duration of 3 months - elderly woman living alone, arson in apartment building, not direct target |
| Least Likely | <ul style="list-style-type: none"> - exhibitionism, obscene telephone calls (adult or child victims) - property offence, family household, no special vulnerabilities - adult male victim, assault by male acquaintance |

- 61 The Parole Officer shall advise the Sentence Manager of those cases where sections 129 (2)(a)(i) and 129 (2)(a)(ii) and 129(2)(b) of the *Corrections and Conditional Release Act* have been met.

The Statistical Information on Recidivism Scale (Revised) (SIR-R1)

- 62 The SIR scale is a statistically-derived tool for predicting recidivism. The scale combines measures of demographic characteristics and criminal history in a scoring system that yields estimates of chances of recidivism for different groups of offenders.
- 63 Since the scale relies almost exclusively on historical data, it is normally completed at the beginning of the sentence. Results are then available to both the offender and those involved in the management of the case who may use this information as a factor in determining risk.
- 64 The application of the SIR scale is mandatory for all offenders except aboriginal offenders, female offenders and provincial offenders, for whom it shall not be used.
- 65 The scoring of the SIR scale shall be completed within OMS. The guidelines to complete the SIR Scale are found in Annex 700-04B.

Level of Intervention Based on Static Factors

- 66 This Level of Intervention Based on Static Factors Rating is based on the results of the analytical tools and policy instruments described in previous sections (i.e., Criminal History Record, Offence Severity Record, Sexual Offence History Checklist, Guidelines to assess serious harm). A score of "high", "medium" or "low" is obtained by applying the following guidelines:
- A rating of "HIGH" reflects cases in which:
 - the Criminal History Record summary index reflects considerable involvement with the criminal justice system; or,
 - the Offence Severity Record summary index reflects considerable harm to society in general, and victims in particular; or,
 - the Sex Offender History summary index reflects considerable sex offending.
 - A rating of "LOW" reflects cases in which:
 - the Criminal History Record summary index reflects little or no involvement with the criminal justice system;
 - the Offence Severity Record summary index reflects little or no harm to society in general, and victims in particular;
 - the Sex Offender History summary index reflects little or no sex offending;
 - a review of the detention criteria, as well as the SIR score, supports all of the aforementioned indices.

- A Rating of "MEDIUM" signifies that the offender is clearly not a "LOW" criminal risk and there exists sufficient latitude to not rate the offender as "HIGH".

ASSESSMENT OF DYNAMIC FACTORS

Overview

- 67 Dynamic factors can be addressed through appropriate programs or other interventions to effect change in the offender's behaviour. Dynamic factors vary and require regular monitoring to establish the overall risk for reoffending posed by the offender at any given time.
- 68 The identification and analysis of dynamic factors are based on a systematic assessment of indicators related to each of the seven domains listed below. The objective of this assessment is to gain a detailed understanding of both strengths and problems related to each domain. Domains are rated as either "Seen as an asset"; "No immediate need for improvement"; "Some need for improvement"; or "Considerable need for improvement". The rater is required to comment on the assigned rating to provide a clearer understanding of how each domain relates to the present offence and overall criminal behaviour.
- 69 The analysis is conducted within OMS by confirming the presence of specific indicators that relate to each domain. Each domain is divided into principal components and, in some cases, sub-components. These questions are structured in a manner that allows for the efficient identification of problematic areas. For each domain, OMS automatically scores the number of responses and ranks them in order of priority. A complete listing of indicators can be found in Annex 700-04C.
- 70 The information required to finalize the dynamic factor assessment is as follows:
- Official documents:
 - official version of the offence (court documents, police reports, pre-sentence report),
 - criminal history (CPIC, FPS),
 - Post-Sentence Community Assessment.
 - Interviews conducted as part of the Intake Assessment process.
 - Supplementary assessments conducted as part of the Intake Assessment process that are critical to determining the dynamic factors in the individual offender's case.
- 71 The seven dynamic factor domains are:
- Employment - the value placed on work and the role of work in one's life.

- Marital/Family - the value placed on being with family and the support one derives from them.
- Associates/Social Interaction - the value placed on non-criminal associates and the opportunity for positive social interaction.
- Substance Abuse - the value placed on living without reliance on alcohol and/or drugs.
- Community Functioning - the value placed on having the knowledge and necessary skills for daily living.
- Personal/Emotional Orientation - the value placed on being in control of one's life.
- Attitude - the value placed on living in law-abiding ways.

Rating Guidelines

- 72 Each of the above domains is assessed according to the guidelines found in Annex 700-04C.
- 73 In addition to the guidelines in Annex 700-04C, particular care should be taken when deciding to rate domains as either “some need for improvement” or “considerable need for improvement”. The critical issue to take into account is whether there is a concrete response to the problems in such domains that will deal with the offender’s criminal behaviour and/or enhance or maintain safe reintegration.

Domain Analysis

- 74 A domain analysis is a short and concise narrative summary of a specific domain which qualifies or expands on the factors identified during the assessment. Domain analysis provides a better understanding of how each area relates to the present offence and the offender's overall criminality. If a domain has no bearing on the offender's criminal behaviour, this should be indicated.
- 75 Where applicable, a concise summary of the results of supplementary assessments should be included in the domain analysis.

Contributing Factors

- 76 Contributing factors are those domains or relevant principal components that deal directly with criminal behaviour. Only those domains rated as “Some need for improvement” or “Considerable need for improvement” can be considered for rating as contributing. Furthermore, only the domain(s) (or the related principal components) that is(are) linked to the offence cycle may be rated as contributing factors.

- 77 Within the domain analysis, the reasons why the specific dynamic factor is rated as contributing should be provided. For other factors not directly related to criminal behaviour, but where concrete intervention will improve safe and timely reintegration, a clear explanation of why such factors may require intervention to enhance reintegration should be provided.

Level of Intervention Based on Dynamic Factors

- 78 The dynamic factor rating identifies the level of intervention required to achieve and/or maintain the safe, timely reintegration of the offender. The rating is based on both the severity of identified problems and number of domains involved, as well as information derived from the Post-Sentence Community Assessment and the Preliminary Assessment (medical, mental health and suicide risk potential). The rater is required to exercise judgement to arrive at a rating of either "low", "medium", or "high". The following guidelines characterize each rating :
- **LOW**
 - No identified dynamic factors (e.g. factors seen as an asset to community adjustment and/or no immediate need for improvement);
 - Relatively few identified dynamic factors and rated as "Some Need For Improvement".
 - **HIGH**
 - Few identified dynamic factors but rated as "Considerable Need For Improvement";
 - Multiple dynamic factors identified, (regardless of degree or severity of needs).
 - **MEDIUM**
 - Any combination of dynamic factor severity and number that lie outside of either the low or high scoring guidelines as identified above.

CRIMINAL PROFILE

Purpose

- 79 The Criminal Profile provides a picture of the offender and the offences committed by the offender based on information available at the time the sentence commences. It provides a synthesis of all information gathered from the police, the courts, Crown Attorneys, victims, family and other sources in such a way as to give the best possible understanding of the crime, the causes of criminal behaviour and the offender's offence cycle.

- 80 The objectives of the Criminal Profile are to:
- help ensure that correctional staff and decision-makers never lose sight of the seriousness of the offence, or of the critical problem areas that need to be addressed;
 - provide a profile of the current offence, including a full analysis of the precipitating factors;
 - identify the high-risk situations that can cause an offender to “relapse” (reoffend);
 - ensure that the risk posed by the offender is taken into account in decision-making;
 - serve as the mechanism for ensuring that at least the gist of police information is shared with the offender.

Timeframe

- 81 The Criminal Profile shall be completed during the Offender Intake Assessment and Correctional Planning process.

Criminal Profile Review and Update

- 82 The Criminal Profile normally does not change once completed. It is only amended when previously unavailable information is received. Such new information might include:
- outstanding charges or appeals have been processed;
 - receipt of Crown summary or other pertinent documents;
 - judges’ report/reasons for sentencing;
 - psychiatric assessment prepared for trial;
 - post-assessment/treatment reports (for completion of offence cycle);
 - re-admission of the offender with new conviction(s).

Content Guidelines - Template

83 Content guidelines are included in the Criminal Profile template in OMS.

OFFENDER'S VERSION:

- Description, violence, weapon used, factors leading up to the decision to commit, and motive for, the offence(s), the part the offender played in the offence, the name, role and status of accomplices, the offender's attitude towards the offence and the level of remorse, etc.
- The offender's version of the offence is automatically transferred from the Preliminary Assessment to the Correctional Plan by OMS. If the offender's version has changed during the intake assessment process, it may be amended at this stage.

OFFICIAL VERSION:

- For multiple offences that were committed in a similar fashion, do not describe the details of each individual offence.
- For major offences, note the following (**a major offence may include several significant offences**):
 - offence and length of sentence;
 - place of occurrence and date of arrest;
 - the part the offender played in the offence;
 - factors leading up to the decision to commit;
 - how the offence was perpetrated (who, what, where, when, how and why);
 - the degree of violence involved, including the use of any weapons;
 - the name, role and status of accomplices;
 - the level of cooperation by the offender with authorities following arrest;
 - whether or not the offender's version is consistent with the official version (provide a brief comment if there are major discrepancies);
 - whether the offence has received extensive publicity;
 - information concerning the offender's performance while on bail; and
 - when available, the sentencing judge's comments including recommendations regarding parole.

Outstanding charges:

If applicable in the case, outstanding charges should be documented here under a sub-heading.

- Identify nature and location of charges.
- If CSC request for information is still outstanding at completion of this document, indicate this.

ANALYSIS OF CRIMINAL BEHAVIOUR :

- This section should provide a **brief analysis** of criminal behaviour, including the following:
 - a concise analysis of the offender's criminal history, including patterns of previous convictions and conditional releases (e.g. time between offences, suspensions, revocation, escalation in severity); note any organized crime connections or gang affiliations; focus should be placed on the principal criminality;

- details of any previous convictions for Schedule I and/or Schedule II offences, including details of the impact on the victim(s); information on any crime-free periods in the offender's past;
- a summary of psychological assessment reports, and any psychiatric information from the courts or other sources;
- a discussion of the likelihood of the offender continuing criminal behaviour (make a specific reference to his score on the General Statistical Information on Recidivism Scale);
- a brief summary of past institutional and supervision history;
- a synopsis of the offender's previous juvenile and adult institutional experience (including any previous detention order) as stated by the offender and contained in available documentation. In each instance, specify source of information, i.e., probation file, institutional file, offender, etc.;
- a discussion of the most recent institutional (provincial or federal) adjustment, and behaviour and attitude while at the remand unit;
- under "Escape/Attempted Escape History", the name of the institution and the year that the attempted and/or successful escape(s) occurred; under "Other type(s) of escape", the type of escape (i.e., Unlawfully-at-Large, Escape Lawful Custody) and a synopsis;
- in the summary of previous supervision experience, a brief explanation of the significance of previous juvenile and adult parole or probation experience as stated by the offender and/or contained in official documentation. In each instance, specify source of information, i.e., probation file, offender, etc.;
- under "Family Violence", if applicable to the specific case, a summary analysis of the results of the supplementary Family Violence Risk Assessment. Note any existing restraining orders.

VICTIM IMPACT:

- Description of physical or psychological injuries to actual or peripheral victim.
- Summary of victim impact.
- Identify if victim impact statements exist.
- Statement regarding whether the criteria for serious harm as set out in the CCRA were met in the current offence.

OFFENCE CYCLE:

- A description of the offender's offence cycle must be provided in all cases. It must be based on the offender's overall pattern of criminal behaviour, not only on the current offence.
- All external and internal factors that affect the offender and lead to his or her acting out must be examined, including his or her understanding of the behaviour. The result must be a description of the chain of events or situations that leads to the commission of an offence.
- External Factors:
 - Crisis situations (personal, financial problems, emotional loss, family, social).
 - Substance abuse (heavy consumption with disinhibiting effect on thinking or emotions, exacerbated aggressiveness, crime used to support consumption).
 - Peer pressure (threats, provocation, incitement, seeking approval, association, debts).
 - Available victims (victims are accessible, vulnerable).
 - Available means (organization, information, arms, accomplices).

- Internal Factors:
- Emotional states (frustration, aggressiveness, loss, negative feelings, psychological disorganization).
- Cognitive processes (perceptions, interpretations, distortion, images, errors in thought processes).
- Adaptation processes (projection, denial, rationalization, introjection).
- Actions (behaviour, acting out, impulsivity, etc.).

CUSTODY RATING SCALE

- 84 Initial security classification shall be determined primarily by using the Custody Rating Scale which takes into consideration the following factors as required by section 17 of the *Corrections and Conditional Release Regulations*:
- the seriousness of the offence committed by the offender;
 - any outstanding charges against the offender;
 - the offender's performance and behaviour while under sentence;
 - the offender's social, criminal and, where applicable, young-offender history;
 - any physical or mental illness or disorder suffered by the offender;
 - the offender's potential for violent behaviour; and
 - the offender's continued involvement in criminal activities.
- 85 The Custody Rating Scale (CRS) is a research-based tool which was developed to assist the Parole Officer to determine the most appropriate level of security for the initial penitentiary placement of the offender. The scale is completed by assigning scores to a number of factors on two dimensions: institutional adjustment, and security risk.
- 86 The Parole Officer scores each factor based on the information obtained from the offender during Intake Assessment as well as from documents collected (e.g., FPS Sheet, Police Report). A guide for the completion of the Scale is contained in Annex 700-04D.
- 87 The security level cut-off scores in the Custody Rating Scale are as follows:
- **Minimum security:** Less than 85 on the Institutional Adjustment dimension AND less than 63 on the Security Risk dimension.
 - **Medium security:** Between 86 and 94 on the Institutional Adjustment dimension and between 0 and 133 on the Security Risk dimension; OR between 0 and 85 on the Institutional Adjustment dimension and between 64 and 133 on the Security Risk dimension.
 - **Maximum security:** Greater than 95 on the Institutional Adjustment dimension OR greater than 134 on the Security Risk dimension.
- 88 Security classification shall be conducted in accordance with the requirements of section 18 of the *Corrections and Conditional Release Regulations*. The Custody

Rating Scale measures the categories set out in section 18 of the *Regulations* as follows:

- a) **Institutional Adjustment :**
 - History of involvement in institutional incidents,
 - Age at time of sentencing,
 - Length of current sentence,
 - Street stability,
 - Alcohol and drug use.

- b) **Escape Risk:**
 - Escape history,
 - Most serious outstanding charge,
 - Previous periods on parole or statutory release.

- c) **Public Safety:**
 - Street stability,
 - Alcohol and drug use,
 - Age at time of admission,
 - Number of previous convictions,
 - Severity of current offence,
 - Stability prior to current incarceration,
 - Previous periods of parole or statutory release.

OVERALL MOTIVATION FOR INTERVENTION

89 Taking into account information gathered through the Post-Sentence Community Assessment, supplementary assessments, interviews and analysis conducted as part of the Offender Intake Assessment process, motivation is evaluated against the following criteria:

- a) Recognition that a problem exists with lifestyle, behaviour and resulting consequences;
- b) Level of comfort with problem and its impact on the offender's life;
- c) Level of feeling of personal responsibility for the problem(s);
- d) Willingness to change, i.e. expression of wish to change, or of intention to fully participate in Correctional Plan;
- e) Possession of skills, knowledge required to effect change in behaviour, i.e. is ready to change;
- f) Level of external support from family, friends or other community members;
- g) The Case Management Strategy group the offender falls into;
- h) The offender's past history related to demonstrating change.

90 A classification of "LOW", "MEDIUM" or "HIGH" can be assigned according to the following guidelines:

- HIGH – offender is self-motivated, will actively address problem areas.

- MEDIUM– offender may not fully accept overall assessment but will participate in recommended programs or other interventions.
 - LOW – offender strongly rejects the need for change / is unwilling to participate in recommended programs or other interventions.
- 91 The level of motivation is entered in OMS. In the Motivation Comment, a succinct explanation of why the particular level of motivation was assigned to the offender should be provided. Some guidelines to use in determining the overall level are as follows:
- Do not rely on any one factor.
 - Try to review both positive and negative aspects of each factor.
 - Keep in mind that offender motivation is a tool for staff to work with offenders.
- 92 The Motivation comment should also address the specific ways in which the offender can demonstrate change, and how staff should work with the offender to increase motivation.

REINTEGRATION POTENTIAL

- 93 At Intake, Reintegration Potential of male non-aboriginal offenders is determined using the offender's individual scores on the Custody Rating Scale (CRS), General Statistical Information on Recidivism (GSIR) and the Static Factor Rating. This is automatically calculated by OMS.
- 94 At Intake, Reintegration Potential of female and all aboriginal offenders is determined using the offender's individual scores on the Custody Rating Scale, Dynamic Factor Rating and Static Factor Rating. This is automatically calculated by OMS.

SENTENCE PLANNING

Overview

- 95 The objectives of sentence planning are as follows:
- to employ the most effective intervention technique and supervision approach;
 - to address dynamic factors that contributed to criminal behaviour;
 - to ensure consistency and continuity in case management throughout an offender's sentence; and,
 - to establish a baseline from which to measure progress.
- 96 The purpose of sentence planning is to establish specific, simple, measurable goals while maintaining a strong and consistent message about what is important for the specific offender. While some detail is required to assist in measuring progress, there must be a unifying theme and direction in each Correctional Plan.

- 97 Planning shall be done in consultation with the offender with a view to obtaining the offender's commitment to the plan. In all instances, the final Correctional Plan shall be shared with the offender, who will also be advised of the rationale for the Correctional Plan as well as the consequences of non-adherence to the plan.
- 98 The Intake Assessment results are the basis for developing Correctional Plans for individual offenders. In consultation with the program and community personnel, a Correctional Plan is designed to address the factors which have been identified as contributing to a safe and timely reintegration. These factors must be prioritized so that interventions can be logical, sequenced and effective and ensure that the offender's progress can be evaluated during the offender's sentence.
- 99 Input from program and community staff should be obtained through direct communications, as well as by case conferences whenever possible. Input from the Parole Officer in the community into the Correctional Plan is important in all cases, but most especially in cases where conditional release case preparation is being conducted.

Objectives/Expected Gains

- 100 The specific objectives and purpose of the events or activities described in the Correctional Plan Timeline, and their link to the overall objectives established for the offender to deal with the dynamic factors should be outlined in the narrative section of the Correctional Plan. This can be done as follows:
- a) The specific dynamic factor indicators which were assessed as contributing factors should be converted to positive, measurable goal statements;
 - b) The specific dynamic factor indicators for other domains should be converted to positive goal statements and reviewed to determine if they in fact require intervention, or if they are already addressed by programs or activities identified in the Timeline;
 - c) The goal statements should be sorted by order of priority and sequence, and then entered into the Objectives/Expected Gains section for both the institution and the community, establishing clearly which must be accomplished before and after transfers or release;
 - d) The major factor in determining priority, especially before release, is to provide interventions that will deal with contributing factors and other factors rated as "considerable need for improvement";
 - e) The major factor in determining where intervention should take place is the offender's Reintegration Potential rating (see below);
 - f) Identify the expectations for behaviour, skill or knowledge development related to work placements;
 - g) As much as possible, objectives or expectations should be written in terms of behaviour.

101 Sentence planning shall be linked to the offender’s Reintegration Potential rating by the following guidelines:

| Reintegration Potential | Intervention |
|-------------------------|--|
| HIGH | Offenders should not normally require core interventions (living skills, substance abuse, family violence, sex offender treatment, literacy). If required, these interventions should preferably be provided in the community. Other low intensity programs, services and work placements may be used, as well as any other risk management strategies other than programs, in both institutions and the community. |
| MEDIUM | Based on the level of dynamic factors, the program strategy can include institutional programs combined with follow-up programs in the community; alternatively, programs can be provided in the community during the period of day parole or program UTA prior to full parole release. Provision of core programming in institutions occurs where there is justification based on the offender’s static and dynamic factors, and where prescribed programs are designed to reduce the risk prior to considering release. Other low intensity programs, services and work placements may be used, as well as any other risk management strategies other than programs, in both institutions and the community. |
| LOW | Core interventions (living skills, substance abuse, family violence, sex offender treatment, literacy), are to be provided in institutions prior to release, and continued thereafter in the community as required. The full range of risk management strategies should be used, both in institutions and the community, as adapted to the risk posed by the individual offender. |

102 Sentence Planning for offenders serving longer sentences (those of over ten years to life) should be developed according to the four (4) phases of a long term sentence. These are as follows:

- a) **adaptation** – coming to grips with the reality of confinement;
- b) **integration** to the prison environment – living within the context of that reality;
- c) **preparation** for release – preparing for release in a progressive manner; and
- d) **reintegration** into the community – assuring a coherent and continuous process leading to safe reintegration.

103 Correctional Plans for offenders serving longer sentences should be developed according to their specific contributing dynamic factors. However, care should be taken not to plan a large number of activities or programs related to preparation for reintegration very early in the sentence, unless these particular interventions

- will assist the offender in adapting and adjusting to the placement institution and to the sentence.
- 104 When applicable, the interest of an aboriginal offender to pursue a release plan under s. 84 of the *Corrections and Condition Release Act* should be indicated. Where agreements under s. 81 of the *Corrections and Condition Release Act* are in place and the offender is eligible to be transferred, the Correctional Plan shall be prepared to reflect this.
- 105 For offenders serving sentences that include a long term supervision order, it is necessary to keep in mind that no matter how long the sentence is, the offender will still be under CSC supervision for up to ten (10) years after Warrant Expiry Date. Correctional Plans should take this into account in identifying interventions before and after warrant expiry.
- 106 When the offender's achievement grade level is below Grade 10 or the equivalent, or when upgrading is required for participation in correctional or vocational programs or Corcan, participation in Adult Basic Education must be included in the offender's Correctional Plan.
- 107 For offenders who were referred for employment assessment, the results of the assessment must be included in the narrative of the Correctional Plan. The Correctional Plan must also outline employment interventions that address the needs or strengths as identified in the employment domain whether it is a contributing factor or not.

Correctional Plan Timeline

- 108 The Correctional Plan Timeline sets out the key events and activities that will occur during the offender's sentence. Key eligibility dates (Escorted Temporary Absences (ETA) , Unescorted Temporary Absences (UTA), Day Parole, Full Parole, Statutory Release and date of termination of a Long Term Supervision Order) will be automatically included by OMS to establish a framework, and to provide information to the offender.
- 109 Planned dates for events or activities that will address the offender's static and dynamic factors are entered by Intake Assessment Unit staff in the Timeline. These include:
- Work placements, (may run parallel with other activities),
 - Programs, (start and end dates for programs in institution or community),
 - Transfers,
 - Work releases,
 - Decisions for
 - UTA,
 - day parole, and
 - full parole.
- 110 When developing the Timeline, the following guidelines should be used:
- a) Work placements should be planned in all cases where no other institutional intervention is required. The expected gains or objectives of

- such assignments would be to maintain and demonstrate the pro-social behaviour shown in the assessment;
- b) For other offenders, work placements should only be planned if they respond to a contributing factor, or if they are essential to institutional adjustment;
 - c) The dates for transfers, work releases and conditional releases are the dates at which a decision could be made, not the actual expected release date;
 - d) For offenders serving sentences of ten years or more, specific activities should be entered for only the first 12-18 months of the sentence;
 - e) Indicate release destination in the comment section, where applicable.

Program Application/Referral

- 111 Once programs are identified that respond to the offender's dynamic factors, a program Application/Referral shall be completed in OMS for each program. This has the effect of referring the offender directly to a specific program at the appropriate institution or community unit , and provides advance notice to the institution or community that the individual offender requires the program at or before a specific date in the future.
- 112 Referrals shall be completed whether or not there is a program scheduled for the preferred dates, or whether or not a program is available in the preferred location.

Program Participation During Intake Assessment and Correctional Planning

- 113 Intake units must involve offenders in programming during the intake process that will support their preparation for NPB decision-making, but that will not unduly prolong the stay at the intake unit. This applies in particular to those offenders serving sentences of 4 years or less, where the offender's specific program needs are apparent relatively early in the process.
- 114 Pre-treatment or awareness programs and specific programs such as Choosing Health in Prison, health teaching programs and Suicide Awareness should be delivered to as many new offender admissions as possible.

CORRECTIONAL PLAN CONTENT GUIDELINES - TEMPLATE

The following plan was developed by (Case Management Team members, including program and community staff, names and title as appropriate) with input and participation of the offender.

MOTIVATION: (entered automatically from Motivation comment)

OBJECTIVES/EXPECTED GAINS

INSTITUTION:

- Clearly identify which dynamic factors are contributing factors.
- Identify specific objectives for individual offender; these should be positive goal statements based on the offender's dynamic factors.
- Objectives should be measurable, in terms of acquired knowledge, skills or observed behavioural change.
- These should be presented in order of priority. Priority should be assigned related to contributing factors and/or those factors rated "Considerable need for improvement".
- What observed changes in the offender will initiate consideration for transfer to reduced security? (not applicable if penitentiary placement is to minimum security)
- If applicable, what observed changes in the offender will initiate consideration for conditional release, specifying stage in sentence, i.e. at DPED, at FPED, etc? (note: the required change should vary according to offender's static and dynamic factors)
- If applicable, indicate whether the offender is interested in pursuing a s. 84 release plan, or whether the offender will be transferred to an aboriginal corrections service established under s. 81.

COMMUNITY:

- Clearly identify which dynamic factors are contributing factors.
- Identify specific objectives for individual offender; these should be positive goal statements based on the offender's dynamic factors.
- Objectives should be measurable, in terms of acquired knowledge, skills or observed behavioural change.
- These should be presented in order of priority. Priority should be assigned related contributing factors and/or those factors rated "Considerable need for improvement".

LONG TERM SUPERVISION (where applicable):

- Identify interventions that are required after warrant expiry to deal with contributing factors, especially for those offenders serving short sentences.

INTAKE ASSESSMENT SUMMARY

- 115 The structure and content of this summary are automated by the Offender Management System. Information and analyses entered previously in OMS during the Offender Intake Assessment process are automatically brought forward and presented in a three-part format as described below. This summary must be shared with offenders.
- **Static Factors**
 - The scores and key indicators for the Criminal History Record (including the domain comment), the Offence Severity Record and the Sex Offender History checklists, respectively;
 - The results of the detention review;
 - The SIR scale score;
 - The Level of Intervention based on Static Factors (High, Medium, Low).
 - **Dynamic Factors**
 - The scores and key indicators (including any summary comments) for each of the seven domains: Employment, Marital/Family, Associates/Social Interaction, Substance Abuse, Community Functioning, Personal/Emotional Orientation and Attitude;
 - An identification and rank ordering of domains and principal components as well as any domain comments;
 - The Level of Intervention based on Dynamic Factors (High, Medium, Low).
 - **Case Management Strategy Group.**

INITIAL SECURITY CLASSIFICATION, PLACEMENT AND CONDITIONAL RELEASE CASE PREPARATION

Initial Security Classification and Penitentiary Placement

- 116 Security Classification recommendations should normally be the security level result obtained from the Custody Rating Scale (CRS). In such cases, the Parole Officer should indicate in the Appraisal section of the Assessment for Decision that the Custody Rating Scale result is being used. Specific directions for completing the Assessment for Decision, and for overrides to the Custody Rating Scale, are contained in SOP 700-14, "Security Classification of Offenders".
- 117 A placement recommendation is included in the same Assessment for Decision covering the security classification decision. When recommending a placement institution, the choice of institution shall be the one that provides the least restrictive environment for the offender, taking into account , but not limited to, the following factors:
- the safety of the public, the offender and other persons in the penitentiary;
 - the offender's individual security classification;

- the security level of the institution;
- accessibility to the offender's home community and family;
- the cultural and linguistic environment best suited to the offender;
- the availability of appropriate programs and services to meet the offender's needs;
- the offender's willingness to participate in programs;
- the negative impact one of two or more offenders identified as co-convicted and under current sentence for an offence resulting in death or serious harm may have on the other(s) in terms of personal development should they be co-located;
- the negative impact one of two or more offenders identified as co-convicted and under sentence for an offence resulting in death or serious harm may have on the rehabilitation and safe reintegration of the other(s) in terms of their ability to comply with their correctional plan, in particular when one of the offender's correctional plan specifies that their association with their co-convicted and under current sentence was a primary criminogenic factor in the commission of an offence causing death or serious harm.

118 The process for decision-making on security classification and transfer is contained in SOP 700-14, "Security Classification of Offenders", and SOP 700-15, "Transfer of Offenders".

Conditional Release Case Preparation

119 **Where the Assessment for Decision is done in the community**, for all offenders **serving four years or less who are eligible for Accelerated Parole Review**, and for all other offenders **serving three years or less who are applying for day parole and/or full parole**, the Parole Officer in the Intake Assessment Unit shall create a Correctional Plan Progress Report to initiate a request for a Community Strategy from the area where the release will be effected. Final case preparation in these cases is covered in SOP 700-07, "Pre-Release Decision Process".

120 **Where the Assessment for Decision is done in the Intake Assessment Unit**, for all offenders **serving four years or less who are eligible for Accelerated Parole Review** and for all other offenders **serving three years or less who are applying for day parole and/or full parole**, the Parole Officer at the Intake Assessment Unit shall prepare an Assessment for Decision for a recommendation regarding Day and Full Parole release, according to the content guidelines in SOP 700-07, "Pre-Release Decision Process".

OFFENDER READMISSIONS / OFFENDERS WITH NEW OFFENCES PRE OR POST RELEASE

- 121 Offenders who are readmitted with no new offence do not normally require a comprehensive re-assessment. The Parole Officer should review the Correctional Plan and most recent Correctional Plan Progress Report and make any required revisions to reflect the offender's current situation. Such revisions should only be made when a new contributing factor can be documented. The operational unit that has jurisdiction over the offender at the time of revocation shall ensure this review takes place.
- 122 For offenders who are readmitted with one or more new offences, the Criminal Profile should be updated, and the Correctional Plan should be reviewed to determine if the current sentence plan remains appropriate, or if a comprehensive reassessment is required. The operational unit that has jurisdiction over the offender at the time of revocation shall ensure this review takes place.
- 123 A decision to refer an offender readmitted with new offences to the Intake Assessment Unit for a more comprehensive re-evaluation of the offender's static and dynamic factors could be made under the following circumstances:
- a) Potential referral to Intake Assessment Unit:
 - The offender's criminal behaviour has taken a significant shift (i.e. a property offender has committed violent offence(s), an offender previously not identified as a sex offender has committed sexual offence), and there is no information in the offender's previous assessment or in the file that would assist in the development of a strategy to deal with that shift;
 - There is no comprehensive OIA report on the offender;
 - The original OIA report does not provide the level or quality of information necessary to plan an adequate strategy for dealing with the offender;
 - The offender has been on conditional release or at large for five years or more, and the new offence(s) or other relevant information lead staff to consider that a review of the offender's previous assessment is necessary to determine an appropriate strategy.
 - b) Even if the offender meets one or more of the above criteria, if he or she is within one year of Warrant Expiry Date, or within one year of Statutory Release Date, there may be no advantage gained in managing the offender by referral to Intake Assessment Unit for a comprehensive re-assessment. In these cases, the Criminal Profile should be updated, and the sentence plan reviewed to determine if there are any changes in dynamic factors and develop the appropriate responses.
- 124 For offenders who commit new offences while incarcerated, the same criteria as found in the previous paragraph shall be used to determine whether or not to refer the offender to the Intake Assessment Unit for re-assessment.

- 125 For readmitted offenders, or offenders who commit an offence while incarcerated, the Parole Officer should review the case, consult with Intake Assessment Unit staff and recommend to the Reintegration Board whether to refer the offender to the Intake Assessment Unit. Upon receipt of the request for input, the Intake Assessment Unit Parole Officer will review the existing OIA (if available), and advise whether it requires any amendment. Where an OIA does not exist, the head of the Intake Assessment Unit will provide advice on the above criteria regarding the need for a comprehensive assessment. If it is decided to proceed with referral to the Intake Assessment Unit, the normal transfer process should be used. A decision to transfer should take place within 30 calendar days of re-admission, or within 30 calendar days from the date the offender is convicted of a new offence committed while incarcerated.
- 126 If an offender is returned to the Intake Assessment Unit for re-assessment, staff should review the previous assessment on the offender and only change or re-assess those areas where the offender's situation has changed.

Commissioner,

Original signed by

Lucie McClung

ANNEX 700-04A STATIC FACTOR ASSESSMENT

CRIMINAL HISTORY RECORD

PREVIOUS OFFENCES - YOUTH COURT - any previous involvement?

Number of Convictions:

- Fifteen or more convictions?
- Ten to fourteen convictions?
- Five to nine convictions?
- Two to four convictions?
- One conviction?

Type of Convictions:

- Scheduled convictions?

Youth court dispositions:

- Community supervision?
- Open custody?
- Secure custody?

Disposition Outcomes:

- Failure during community-based supervision?
- Disciplinary transfers from open to secure?
- Disciplinary reports while in secure custody?
- Attempt escape/UAL/escape from secure custody?
- Transfer from secure custody to adult facility?

PREVIOUS OFFENCES - ADULT COURT - any previous involvement?

Number of Convictions:

- Fifteen or more convictions?

- Ten to fourteen convictions?
- Five to nine convictions?
- Two to four convictions?
- One conviction?

Type of Convictions:

- Scheduled convictions?

Adult Court Sanctions:

- Community supervision?
- Provincial terms?
- Federal terms?

Sanction Outcomes:

- Failure during community-based supervision?
- Segregation for disciplinary infractions?
- Attempt escape/UAL/escapes?
- Reclassified to higher levels of custody?
- Failures on conditional release?

Crime-free period:

- Less than 6 months since last incarceration?
- No crime free period of one year or more?

CURRENT OFFENCES

Number of Convictions:

- Fifteen or more convictions?
- Ten to fourteen convictions?
- Five to nine convictions?
- Two to four convictions?

- One conviction?

Type of Convictions:

- Scheduled convictions?

OFFENCE SEVERITY RECORD

CURRENT OFFENCES:

Type of convictions:

- Drug cultivation?
- Drug trafficking?
- Drug importation?
- Arson/fire-setting?
- Use of prohibited weapons?
- Discharge firearms?
- Forcible confinement/kidnapping?
- Violence (assault, robbery)?
- Sexual offences?
- Attempt murder?
- Homicide?
- Conspire to any of the above?
- Break and enter with commission of any of the above?

Sentence Length:

- Sentence length over 24 years?
- Sentence length 10 to 24 years?
- Sentence length 5 to 9 years?
- Sentence length 1 day to 4 years?

Type of Victim:

- Victims were children?
- Victims were handicapped/infirm?
- Victims were elderly?
- Three or more victims?
- Two victim?
- One victim?

Degree of Force Used on Victim:

- Use of power/position/authority on victim
- Threat of violence to victim?
- Threaten victim with a weapon?
- Violence used against victim?
- Weapons used against victim?

Degree of Physical Harm to Victim:

- Caused death to victim?
- Serious injury (wounding, maiming, disfiguring) to victim?
- Minor injury (hitting, slapping, striking) to victim?

Degree of Psychological Harm to Victim:

- Serious psychological harm to victim?
- Moderate psychological harm to victim?
- Mild psychological harm to victim?

PREVIOUS OFFENCES

Type of Conviction:

- Drug cultivation?
- Drug trafficking?
- Drug importation?
- Arson/fire-setting?

- Use of prohibited weapons?
- Discharge firearms?
- Forcible confinement/kidnapping?
- Violence (assault, robbery)?
- Sexual offences?
- Attempt murder?
- Homicide?
- Conspire to any of the above?
- Break and enter with commission of any of the above?

Sentence Length:

- Sentence length over 24 years?
- Sentence length 10 to 24 years?
- Sentence length 5 to 10 years?
- Sentence length 1 day to 4 years?

Types of Victims:

- Victims were children?
- Victims were handicapped/infirm?
- Victims were elderly?
- Three or more victims?
- Two victims?
- One victim?

Degree of Force Used on Victims:

- Use of power/position/authority on victim?
- Threat of violence to victim?
- Threaten victim with a weapon?

- Violence used against victim?
- Weapons used against victim?

Degree of Physical Harm to Victims:

- Caused death to victim?
- Serious injury (wounding, maiming, disfiguring) to victim?
- Minor injury (hitting, slapping, striking) to victim?

Degree of Psychological Harm to Victims:

- Serious psychological harm to victim?
- Moderate psychological harm to victim?
- Mild psychological harm to victim?

SEX OFFENCE HISTORY

Sex offender status – type:

- Sex Offending (Current Or Past)?
- Current Sentence - Sex Offence?
- Past Convictions - Sex Offence?
- Current Sentence - Sex Related?
- Past Convictions - Sex Related?

Sexual offence type - Current sentence:

- Incest - Current Sentence?
- Paedophilia - Current Sentence?
- Sexual Assault - Current Sentence?
- Other Current Sex Offence?

Sexual offence type - Past Sentence(s):

- Incest - Past Sentence(s)?
- Paedophilia - Past Sentence(s)?

- Sexual Assault - Past Sentence?
- Other Previous Sex Offence(s)?

Number Of Victim(s)

- Three Or More?
- Two?
- One?

Female Victim(s):

- Children (< 12 Years)?
- 12 To 17 Years?
- Adult (18 To 65)?
- Elderly (Over 65)?

Male Victim(s):

- Children (< 12 Years)?
- 12 To 17 Years?
- Adult (18 To 65)?
- Elderly (Over 65)?

Serious Harm:

- Current offence resulted in death or serious harm?

Assessment/Treatment History:

- Prior psychological / psychiatric assessments in relation to sex offences?
- Prior treatment/intervention in relation to sex offending?
- Current treatment/intervention in relation to sex offending?

ANNEXE 700-04B
REVISED STATISTICAL INFORMATION ON RECIDIVISM SCALE
(SIR-R1)

In the SIR screen in OMS, assign an individual score to each of these 15 items:

1. Current Offence
2. Age at Admission
3. Previous Incarceration
4. Revocation or Forfeiture
5. Act of Escape
6. Security Classification
7. Age at First Adult Conviction
8. Previous Convictions for Assault
9. Marital Status at Most Recent Admission
10. Interval at Risk Since Last Offence
11. Number of Dependants at Most Recent Admission
12. Current Total Aggregate Sentence
13. Previous Convictions for Sex Offences
14. Previous Convictions for Break and Enter
15. Employment Status at Arrest

An item score may be positive, zero, or negative. Read each of the descriptions under an item. If one of them applies to the offender, enter the corresponding value in the OMS field. If no descriptions apply, then enter a value of zero. OMS calculates an offender's total score by adding the 15 individual item scores together.

It is important to ensure that all information on the offender is accurate. Verify the information through all available sources (file review, offender, collateral contacts, etc.). However, it is important that each of the 15 items be scored for an offender. So, if accurate data are not available, it is preferable to make an approximation rather than omitting the item or entering a value of zero by default. To avoid confrontation at the hearing, NPB should be alerted if the offender disputes the score. NPB should also know if score is approximated.

When scoring the items, include *Young Offender Act* involvement (e.g. convictions, incarcerations, escapes, etc.) if the offender was 16 or over. Also, as a general principle, do not ignore information that is not on the official record. For example, where the FPS indicates assault, but other reliable sources allow us to determine that the offender actually committed a sexual assault, treat the offence as a sexual assault and score accordingly.

In the tables that follow, instructions and explanations are presented to assist with the scoring of each item.

This scoring tool is to be used for federal non-Aboriginal male offenders.

Aboriginal, Female, and Provincial offenders are excluded.

However, to date there is no reason to exclude other minority groups from this scoring tool.

Absolute and/or conditional discharge do not count as a conviction for purposes of the scale.

| ITEM | DESCRIPTION | SCORING | |
|------|---|---------|--|
| 1 | <p>CURRENT OFFENCE</p> <p style="text-align: center;">***** NOTES *****</p> <ul style="list-style-type: none"> - includes all offences under the current total aggregate sentence - if more than one offence, score the offender according to the one that is the “most negative score” - if the offender has 2 convictions at the same time, choose the conviction where the “rate of recidivism” is the “most negative” - scores define the association between the likelihood of recidivism as associated with certain offences when this offence is the current offence - where an offence has not been defined within these lists, it is because the likelihood of recidivism for these offences was equal to the general average. These offences did not allow researchers to define the offenders as more or less likely to recidivate. In addition, there were certain offences where the frequency of occurrence was too low to be useful. "0" in this item is not a valued score, simply a default to assure that the item has been considered <p>Definition of “Homicide”</p> <ul style="list-style-type: none"> - refers to <i>Criminal Code</i> definition: murder and manslaughter <p>Score on this item may not be static</p> <ul style="list-style-type: none"> - if there are outstanding charges at time of incarceration and the charges are subsequently dealt with, these new convictions become part of the “current offence” category - if offender has been revoked with new offences, both the new and the original offences are considered “current offences” | | |

| ITEM | DESCRIPTION | SCORING | |
|--|--|---------|----|
| 1 | CURRENT OFFENCE (cont.) | | |
| ***** SCORES ***** | | | |
| Incest, sexual intercourse with the underage, seduction, gross indecency | | +4 | |
| Homicide: any act resulting in death, except by automobile | | +3 | |
| Narcotics offences (<i>Food & Drug Act / Narcotic Control Acts</i>) | | +3 | |
| Unarmed robbery (armed robbery has 0 score) | | +2 | |
| Dangerous driving, criminal negligence while operating a motor vehicle, arson, kidnapping, hijacking, abduction, obstructing a peace officer | | +2 | |
| Receiving or possession of stolen goods | | | -1 |
| Theft | | | -1 |
| Break and enter (includes B. & E. and commit or with intent), forcible entry, unlawfully in dwelling, illegal possession of firearm, carrying concealed weapon | | | -2 |
| Escape (includes any CONVICTION for escape or attempted escape from a federal or provincial correctional facility or court, or from an escort; does not include unlawfully at large) | | | -4 |
| 2 | AGE AT ADMISSION <p style="text-align: center;">***** NOTES *****</p> <ul style="list-style-type: none"> - refers to "Admission" on the current total aggregate sentence (i.e. at original warrant of committal admission) - does not apply to re-admission as a result of a revocation, termination, etc. | | |
| ***** SCORES ***** | | | |
| 40 or over | | +2 | |
| 20 or under | | | -2 |

| ITEM | DESCRIPTION | SCORING | |
|------|---|---------|----------|
| 3 | <p>PREVIOUS INCARCERATION</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - "previous" refers to a period of incarceration that expired (i.e. WED) before the current total aggregate sentence - an incarceration is a separate original admission to a custodial place - "penal institution" refers to jail, prison, or penitentiary, in each case - if offender was on the street through parole or statutory release (or mandatory supervision) and has been revoked with or without a new conviction, this is NOT a new period of incarceration. The revocation is still part of the original sentence | | |
| | <p>***** SCORES *****</p> <p>Has never been in a penal institution (jail, prison, or penitentiary) before</p> <p>Has served a sentence in a penal institution on 3 or 4 previous occasions</p> <p>Has served a sentence in a penal institution on 5 or more previous occasions</p> | +4 | -1 -2 |
| 4 | <p>REVOCAION OR FORFEITURE</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - this does not include terminations | | |
| | <p>***** SCORES *****</p> <p>Has at any time been revoked or has forfeited day parole, full parole, or statutory release (or mandatory supervision) (this excludes day parole termination or full parole termination decisions)</p> | | -2 |

| ITEM | DESCRIPTION | SCORING | |
|---|---|---|---|
| 5 | <p>ACT OF ESCAPE</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - includes current or previous ACTS of escape or attempted escape from a federal or provincial correctional facility or court, or from an escort, whether or not this act resulted in a conviction. A conviction for UAL for any of the above should be treated as an escape | | |
| <p>***** SCORES *****</p> <p>Has escaped or attempted to escape on 1 or more occasions</p> | | | -3 |
| 6 | <p>SECURITY CLASSIFICATION</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - if completed at admission this score = 0 as it refers only to security level at time of parole hearing - multi-level institution did not exist when scale developed; therefore, at this time they score "0" | | |
| <p>***** SCORES *****</p> <p>Is in maximum security at time of parole hearing</p> | | | -1 |
| 7 | <p>AGE AT FIRST ADULT CONVICTION</p> | | |
| <p>***** SCORES *****</p> <p>Was 50 or over at time of first adult conviction</p> <p>Was between 41 and 49 (inclusive) at time of first adult conviction</p> <p>Was between 31 and 40 (inclusive) at time of first adult conviction</p> <p>Was between 23 and 30 (inclusive) at time of first adult conviction</p> <p>Was 18 or under at time of first adult conviction</p> | | <p>+7</p> <p>+6</p> <p>+3</p> <p>+2</p> | <p></p> <p></p> <p></p> <p></p> <p>-2</p> |

| ITEM | DESCRIPTION | SCORING | |
|---|---|-----------|---------------------|
| 8 | <p>PREVIOUS CONVICTIONS FOR ASSAULT</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - "previous" refers to convictions incurred before the current total aggregate sentence - does not include sexual assault or B.&E. and commit assault - for a conviction with multiple counts, consider each count as a conviction (e.g. assault (3) = 3 convictions) | | |
| <p>***** SCORES *****</p> <p>Has 1 previous conviction</p> <p>Has 2 or more convictions for assault</p> | | | <p>-2</p> <p>-3</p> |
| 9 | <p>MARITAL STATUS AT MOST RECENT ADMISSION</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - self-reported - includes heterosexual and homosexual common-law relationships - this is a 'static' factor only in that it pertains to status at time of the most recent "admission" or "re-admission" | | |
| <p>***** SCORES *****</p> <p>Was married or had common-law spouse</p> | | <p>+1</p> | |

| ITEM | DESCRIPTION | SCORING | |
|---|--|---------|----|
| 10 | <p>INTERVAL AT RISK SINCE LAST OFFENCE</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - defined as the period from when an offender is released from imprisonment (on a form of conditional release or free of supervision) until reincarceration (on breach of conditional release or new conviction) - if exact data on offender is not available, make the best possible approximation - key here is "interval at risk" - interval on the street - while on day parole, offender is still on the registry of an institution; therefore, this does not count as time at risk - if suspended, and suspension cancelled, bail granted, or suspended sentence, the time at risk is still seen as time since original release - terminations or revocations terminate the interval at risk - does not apply to periods of escape or UAL | | |
| <p>***** SCORES *****</p> <p>If an offender has spent 24 months or more in the community (on release, probation, court suspended sentences, or free) between the current conviction, or reincarceration, and his last prior conviction or last release (includes 1st time offenders)</p> <p>If an offender has spent less than 6 months in the community (on release, probation, court suspended sentence, or free) between the current conviction, or reincarceration, and his last prior conviction or last release</p> | | +2 | -1 |

| ITEM | DESCRIPTION | SCORING | |
|---|--|---------|--|
| 11 | <p>NUMBER OF DEPENDANTS AT MOST RECENT ADMISSION</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - this is a “static” factor only in that it pertains to status at time of the most recent “admission” or “re-admission” - the intent was to define a statement to mainly cover dependent children who lived, at time of admission, with the offender "under same roof" and who had been “economically” dependent on the offender | | |
| ***** SCORES ***** | | | |
| Had 3 or more dependants (includes dependants from common-law marriage) | | +2 | |
| 12 | <p>CURRENT TOTAL AGGREGATE SENTENCE</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - measure from the date of the original sentence, not the remnant - must be calculated from beginning of this sentence, i.e., from the original commencement of the total aggregate sentence | | |
| ***** SCORES ***** | | | |
| Aggregate sentence is 5 years and up to 6 years | | +3 | |
| Aggregate sentence is 6 years or more | | +2 | |

| ITEM | DESCRIPTION | SCORING | |
|---|---|---------|----|
| 13 | <p>PREVIOUS CONVICTIONS FOR SEXUAL OFFENCE(S)</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - "previous" refers to convictions incurred before the current total aggregate sentence - includes sexual assault and aggravated sexual assault (and rape) - present offence could be either a sexual offence or any other type of offence(e.g., B.& E.); then reference F.P.S. to see if there is a conviction for any of the defined sexual offences - for a conviction with multiple counts, consider each count as a conviction (e.g., sexual assault (11) = 11 convictions) | | |
| <p>**** SCORES *****</p> <p>Has 2 or more previous convictions for any of rape, or attempted rape, or indecent assault, or sexual assault, or aggravated sexual assault</p> | | | -4 |
| 14 | <p>PREVIOUS CONVICTIONS FOR BREAK AND ENTER</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - "previous" refers to convictions incurred before the current total aggregate sentence - Break and Enter includes B.& E. with intent to commit, and B.& E. & commit - multiple counts of offences are considered separate convictions (e.g., B.& E.(9) = 9 convictions) - convictions listed separately at the same time are also separate convictions e.g., B.& E.(2) B.& E.(4) = 9 convictions B.& E.(3) | | |

| ITEM | DESCRIPTION | SCORING | |
|------|--|---------|----------------|
| 14 | <p>PREVIOUS CONVICTIONS FOR BREAK AND ENTER (cont'd)</p> <p>***** SCORES *****</p> | | |
| | <p>Has no previous convictions for break and enter, or being unlawfully in dwelling house</p> <p>Has 1 or 2 previous convictions for break and enter, or being unlawfully in dwelling house</p> <p>Has 3 or 4 previous convictions for break and enter or being unlawfully in dwelling house</p> <p>Has 5 or more previous convictions for break and enter, or being unlawfully in dwelling house.</p> | +2 | -2 -3 -6 |
| 15 | <p>EMPLOYMENT STATUS AT ARREST</p> <p>***** NOTES *****</p> <ul style="list-style-type: none"> - includes either part-time or full-time legal employment - self-reported at time of arrest - current offences are those associated with the original commencement of the current total aggregate sentence - paid for re-training is considered employment - going to school is not considered employment unless being paid for through programs such as Employment Insurance | | |
| | <p>***** SCORES *****</p> <p>Was employed at time of arrest for current offence(s)</p> | +1 | |

ANNEX 700-04C DYNAMIC FACTOR ANALYSIS

The screen used in OMS to conduct this analysis is called Dynamic Factor Identification and Analysis.

RATING GUIDELINES

The following discussion outlines some general criteria to be used in the rating of each target domain. When rating each domain, the offender's entire background (i.e., personal characteristics, interpersonal influences, situational determinants, environmental conditions) is taken into account.

In order to obtain the level of need for each target domain being assessed, the following rating guidelines should be used:

- Factor seen as an asset to community adjustment,
- No immediate need for improvement,
- Some need for improvement,
- Considerable need for improvement.

It should be noted that not all of the target domains being assessed merit a rating of "factor seen as an asset to community adjustment".

1. Employment

For this category, a rating of "FACTOR SEEN AS AN ASSET TO COMMUNITY ADJUSTMENT" indicates that employment has been stable and has played an important role for the offender. A rating of "NO IMMEDIATE NEED FOR IMPROVEMENT" indicates that neither employment, under employment, sporadic employment, nor chronic unemployment have interfered with daily functioning. An offender receives a rating of "SOME NEED FOR IMPROVEMENT" if any of the aforementioned have caused minor adjustment problems while in the community and "CONSIDERABLE NEED FOR IMPROVEMENT" if the employment situation has caused serious adjustment problems.

2. Marital/Family

For this category, a rating of "FACTOR SEEN AS AN ASSET TO COMMUNITY ADJUSTMENT" indicates that there has been evidence of very positive relationships and considerable support of either parents, relatives, or spouse. A rating of "NO IMMEDIATE NEED FOR IMPROVEMENT" indicates that there is evidence of a satisfying and caring relationship within a marriage and/or family which has resulted in no current difficulties while in the community. A rating of "SOME NEED FOR IMPROVEMENT" indicates that there has been evidence of uncaring, hostility, arguments, fighting or indifference in the marital/family relationships resulting in occasional instability. A rating of "CONSIDERABLE NEED FOR IMPROVEMENT" is given if any of the aforementioned have been causing a very unstable pattern of marital/family relationships.

3. Associates/social interaction

In this category, a rating of "FACTOR SEEN AS AN ASSET TO COMMUNITY ADJUSTMENT" indicates that there is evidence of the offender having had positive personal associations and considerable support. A rating of "NO IMMEDIATE NEED FOR IMPROVEMENT" indicates that there is evidence of the offender having had mostly non-criminal and/or positive associates. A rating of "SOME NEED FOR IMPROVEMENT" indicates that there has been a lack of positive associates and/or some negative companions (e.g. criminal). A rating of "CONSIDERABLE NEED FOR IMPROVEMENT" is given if either of the aforementioned have been interfering consistently with the offender's performance in the community.

4. Substance abuse

In this category, a rating is required ranging from "NO IMMEDIATE NEED FOR IMPROVEMENT" to "CONSIDERABLE NEED FOR IMPROVEMENT" where "NO IMMEDIATE NEED FOR IMPROVEMENT" indicates that the extent, nature, and patterns of alcohol and/or drug consumption by the offender while in the community has had no influence on his/her adjustment (e.g., abstinence, social drinking). An offender demonstrates "SOME NEED FOR IMPROVEMENT" if alcohol and/or drug consumption has caused moderate adjustment problems while in the community and "CONSIDERABLE NEED FOR IMPROVEMENT" if substance abuse has cause serious adjustment problems while in the community.

5. Community functioning

In this category, a rating of "FACTOR SEEN AS AN ASSET TO COMMUNITY ADJUSTMENT" indicates that the offender has been effectively managing his/her situation (i.e., accommodation, deportment, health, finance, communication, leisure, support) while in the community. A rating of "NO IMMEDIATE NEED FOR IMPROVEMENT" indicates that knowledge and having the necessary skills for daily living has not been causing him/her difficulties. A rating of "SOME NEED FOR IMPROVEMENT" is given if any of the aforementioned has been causing the offender situational or minor difficulties while in the community and "CONSIDERABLE NEED FOR IMPROVEMENT" if the offender's community functioning has been causing him/her severe difficulties.

6. Personal/emotional orientation

This category requires a rating from "NO IMMEDIATE NEED FOR IMPROVEMENT" to "CONSIDERABLE NEED FOR IMPROVEMENT" where "NO IMMEDIATE NEED FOR IMPROVEMENT" indicates that none of the offender's characteristics or patterns (i.e., self concept, cognition, behavioural, sexual behaviour, mental ability, and/or mental health) have been interfering with daily functioning in the community. An offender exhibits "SOME NEED FOR IMPROVEMENT" if characteristics or patterns of personal/emotional orientation have caused minor interference while in the community and "CONSIDERABLE NEED FOR IMPROVEMENT" if any of the aforementioned has seriously interfered with daily functioning while in the community.

7. Attitude

In this category, a rating of "FACTOR SEEN AS AN ASSET TO COMMUNITY ADJUSTMENT" indicates that there has been evidence of a very positive attitude and considerable involvement in prosocial activities (e.g., work, school, family, treatment, supervision). A rating of "NO IMMEDIATE NEED FOR IMPROVEMENT" indicates that the offender's attitudes towards justice, society, property, violence and lifestyle have not been interfering with daily functioning in the community. An offender exhibits "SOME NEED FOR IMPROVEMENT" if attitudes have caused minor interference's while in the community and "CONSIDERABLE NEED FOR IMPROVEMENT" if any of the aforementioned has seriously interfered with daily functioning while in the community.

Dynamic Factor Rating

A Dynamic Factor rating is the compilation of professional judgements derived from the results of the identification of immediate needs (i.e., medical, mental health, suicide risk potential) and the NEED OBSERVATIONS/IMPRESSIONS (i.e., degree or severity of need) on each of the seven target domains.

The criteria for assigning offenders into one of three need levels: "LOW", "MEDIUM", or "HIGH" includes the following: 1) dimensional importance and 2) number and degree or severity of need. Dimensional importance refers to critical need areas such as: serious medical concerns, mental health problems (including intellectual/adaptation needs) and/or suicidal risk potential. For those offenders assessed to be exhibiting any of the aforementioned critical needs, an overall "HIGH" case needs rating is required.

After dimensional importance has been taken into account, the number of target domains identified and severity of each need are considered. For those offenders who have no identified needs (i.e., "FACTORS SEEN AS ASSET TO COMMUNITY ADJUSTMENT" and/or "NO IMMEDIATE NEED FOR IMPROVEMENT") or relatively few identified needs which have been rated as "SOME NEED FOR IMPROVEMENT", an overall case needs rating of "LOW" is warranted.

Overall ratings of "MEDIUM" or "HIGH" case needs are determined from a systematic review of professional judgements identifying the need for intervention within each target domain (i.e., "SOME NEED FOR IMPROVEMENT" and "CONSIDERABLE NEED FOR

IMPROVEMENT"). Again, the number of target domains identified, both individually and in combination, and severity of each need are considered.

For those offenders assessed as having few identified needs but indicate "CONSIDERABLE NEED FOR IMPROVEMENT" in those areas, an overall rating of "HIGH" case needs should be given. Regardless of degree or severity of needs, offenders who have been identified to be multi-need individuals also warrant an overall rating of "HIGH" case needs.

Where professional judgement concludes that the offender is clearly not a "LOW" case needs and there exists sufficient latitude to not rate the offender as "HIGH", then an overall rating of "MEDIUM" case needs is deemed appropriate.

| DOMAIN | PRINCIPAL COMPONENT | SUB-COMPONENT | INDICATORS | |
|-------------------|--|---------------------|---|-----------------------------------|
| Employment | Ability | Education/Skills | Has less than grade 8? | |
| | | | Has less than grade 10? | |
| | | | Has no high school diploma? | |
| | | | Finds learning difficult? | |
| | | | Has learning disabilities? | |
| | | | Has physical problems which interfere with learning? | |
| | | | Has memory problems? | |
| | | | Has concentration problems? | |
| | | | Has problems with reading? | |
| | | | Has problems with writing? | |
| | | | Has problems with numeracy? | |
| | | | Has difficulty comprehending instructions? | |
| | | | Lacks a skill area/trade/profession? | |
| | Dissatisfied with skill area/trade/profession? | | | |
| | | Health | Has physical problems that interfere with work? | |
| | | Work Record | Work History | Has no employment history? |
| | | | | Unemployed at the time of arrest? |
| | | | | Unemployed 90% or more? |
| | | | | Unemployed 50% or more? |
| | | | | Has an unstable job history? |
| | Often shows up late for work? | | | |
| | Has poor attendance record? | | | |
| | | Performance | Has difficulty meeting workload requirements? Lacks initiative? | |
| | | Dismissal/Departure | Has quit a job without another? Has been laid off from work? Has been fired from a job? | |
| | Rewards | Economic Gain | Salary has been insufficient? | |
| | | | Lacks employment benefits? | |

| DOMAIN | PRINCIPAL COMPONENT | SUB-COMPONENT | INDICATORS |
|-----------------------|-----------------------|--------------------------|--|
| | | Security | Job lacks security? |
| | Co-worker Relations | Quality | Has difficulty with co-workers? |
| | Supervisory Relations | Quality | Has difficulties with superiors? |
| | Interventions | History | Prior vocational assessment(s)? Has participated in employment programs? Has completed an occupational development |
| Marital/family | Family Background | Cohesion | Childhood lacked family ties? |
| | | Maternal Relations | Mother absent during childhood? Maternal relations negative as a child? |
| | | Paternal Relations | Father absent during childhood? Paternal relations negative as a child? |
| | | Parental Inter-Relations | Parents relationship dysfunctional during childhood? Spousal abuse during childhood? |
| | | Sibling Relations | Sibling relations negative during childhood? |
| | | Other Relative(s) | Other relative(s) relations negative during childhood? |
| | | Criminality | Family members involved in crime? |
| | Marital Relation | Status | Currently single? Has been married/common-law in the past? |
| | | Quality | Dissatisfied with current relationship? Money problems affect relationship(s) past/present? Sexual problem affect relationship(s) past/present? Communication problems affect the relationship(s)? Has been a victim of spousal abuse? Has been a perpetrator of spousal abuse? |

| DOMAIN | PRINCIPAL COMPONENT | SUB-COMPONENT | INDICATORS |
|---|--------------------------|-------------------|--|
| | Parenting Responsibility | Dependants | Has no parenting responsibilities? |
| | | Parenting Skills | Unable to handle parenting responsibilities? Unable to control the child's behaviour appropriately? |
| | | | Perceives self as unable to control the child's behaviour? Supervises child improperly? Does not participate in activities with the child? Lacks an understanding of child development? Family is unable to get along as a unit? |
| | | Child Abuse | Has been arrested for child abuse? Has been arrested for incest? |
| | Interventions | History | Prior marital/family assessment(s)? Has participated in marital/family therapy? Has completed a marital/family intervention program? |
| Associates/ Social Interaction | Attachments | Status | Socially isolated? |
| | | Substance Abusers | Associates with substance abusers? |
| | | Pro-criminal | Has many criminal acquaintances? Has mostly criminal friends? Has been affiliated with a gang? Resides in a criminogenic area? |
| | | Pro-social | Unattached to any community groups |
| | Interpersonal Relations | Style | Relations are described as predatory? Often victimized in social relations? |
| | | Influence | Easily influenced by others? |
| | | Communication | Has difficulty communicating with others? |

| DOMAIN | PRINCIPAL COMPONENT | SUB-COMPONENT | INDICATORS |
|-----------------|--|--|--|
| Substance Abuse | Alcohol Abuse | Pattern | Abuses alcohol? |
| | | | Began drinking at an early age? |
| | | | Drinks on a regular basis? |
| | | | Has a history of drinking binges? |
| | | Has combined the use of alcohol and drugs? | |
| | | Situations | Drinks to excess during leisure time? |
| | | | Drinks to excess in social situations? |
| | | | Drinks to relieve stress? |
| | | Interference | Drinking interferes with employment? |
| | Drinking interferes with marital/family relations? | | |
| | Drinking interferes with social relations? | | |
| | Drinking has resulted in law violations? | | |
| | Drinking interferes with health? | | |
| | Drug Abuse | Pattern | Abuses drugs (solvents, prescription drugs, etc.)? |
| | | | Began using drugs at an early age? |
| | | | Uses drugs on a regular basis? |
| | | | Has gone on drug-taking sprees? |
| | | Has combined the use of different drugs? | |
| Situations | | Uses drugs during leisure time? | |
| | | Uses drugs in social situations? | |
| | | Uses drugs to relieve stress? | |
| Interference | | Drug use interferes with employment? | |
| | Drug use interferes with marital/family relations? | | |
| | Drug use interferes with social relations? | | |
| | Drug use has resulted in law violations? | | |
| | Drug use interferes with health? | | |
| Interventions | History | Prior substance abuse assessment(s)? | |
| | | Has participated in substance abuse treatment? | |

| DOMAIN | PRINCIPAL COMPONENT | SUB-COMPONENT | INDICATORS |
|------------------------------|---------------------|-----------------------------|---|
| | | | Has completed substance abuse treatment? |
| Community Functioning | Accommodation | Stability | Has unstable accommodation? |
| | | Maintenance | Residence is poorly maintained? |
| | | Department | Has poor self-presentation? |
| | Health | Hygiene | Has poor hygiene? |
| | | Physical | Has physical problems? |
| | | Dental | Has dental problems? |
| | | Nutritional | Has dietary problems? |
| | | Finance | Budgeting |
| | | Accounts | Has no bank accounts? |
| | | Credit | Has no credit? |
| | | Collateral | Has no collateral? |
| | | Communication | Written |
| | Leisure | Verbal | Unable to express verbally? |
| | | Hobbies | Has no hobbies? |
| | | Organized Activities | Does not participate in organized activities? |
| Support | Social Assistance | Unaware of social services? | |
| | | Has used social assistance? | |

| DOMAIN | PRINCIPAL COMPONENT | SUB-COMPONENT | INDICATORS | | | |
|--|---------------------|-----------------|---|------------|--|--------------------------------|
| | Intervention | History | Prior assessment for community functioning? Has participated in a community skills program? Has completed a community skills program? | | | |
| Personal/ Emotional Orientation | Self-concept | Personal | Feels especially self-important? Physical prowess problematic? | | | |
| | | Social-Cultural | Family ties are problematic? Ethnicity is problematic? Religion is problematic? Gang member? | | | |
| | Cognition | Cognition | Unable to recognize problem areas? Has difficulties solving interpersonal problems? Unable to generate choices? Unaware of consequences? Goal setting is unrealistic? Has disregard for others? Socially unaware? Impulsive? Incapable of understanding the feelings of others? Narrow and rigid thinking? | | | |
| | | | Behavioural | Aggression | Aggressive? | |
| | | | | Assertion | Assertion problem? | |
| | | | | Coping | Copes with stress poorly? Poor conflict resolution? Manages time poorly? | |
| | | | | | Gambling | Gambling is problematic? |
| | | | | | Frustration | Has low frustration tolerance? |
| | | | | | Hostility | Hostile? |

| DOMAIN | PRINCIPAL COMPONENT | SUB-COMPONENT | INDICATORS |
|--------|---------------------|---------------------------|---|
| | | Neuroticism | Worries unreasonably? |
| | | Risk Taking | Takes risks inappropriately? |
| | | Sensation Seeking | Thrill-seeking? |
| | | Self-Monitoring | Non-reflective? |
| | | Conscientiousness | Is not conscientious? |
| | | Manipulation | Manipulative? |
| | Sexual Behaviour | Dysfunction | Has difficulty performing sexually? |
| | | Identity | Sexual identity problem? |
| | | Preference | Inappropriate sexual preferences? |
| | | Attitudes | Sexual attitudes are problematic? |
| | Mental Ability | Functioning | Mentally deficient? |
| | Mental Health | Disordered | Diagnosed as disordered in the past? Diagnosed as disordered currently? |
| | Interventions | Assessments | Prior personal/emotional assessment(s)? |
| | | Medication | Prescribed medication in the past? Prescribed medication currently? |
| | | Psychological/Psychiatric | Past hospitalization? Current hospitalization? Received outpatient services in the past? Receiving outpatient services prior to admission? |

| DOMAIN | PRINCIPAL COMPONENT | SUB-COMPONENT | INDICATORS |
|-----------------|---------------------|---------------------------|--|
| | | Programs | Past programs participation? Current program participation? |
| Attitude | Justice | Laws | Negative towards law? |
| | | Enforcement | Negative towards police? |
| | | Judicial System | Negative towards courts? |
| | | Corrections | Negative towards corrections? Negative towards community supervision? Negative towards rehabilitation? |
| | Society | Convention | Employment has no value? Marital/family relations have no value? Interpersonal relations have no value? Values substance abuse? Basic life skills have no value? Personal/emotional stability has no value? |
| | | Elderly | Elderly have no value? |
| | | Women (Men) Minorities | Women/men roles are unequal? Ethnically intolerant? Intolerant of other religions? Intolerant of disabled persons? |
| | Property | Personal | Disrespectful of personal belongings? |
| | | Communal | Disrespectful of public property? |
| | | Commercial | Disrespectful of commercial property? |
| | Violence | Domestic | Supportive of domestic violence? |
| | | Instrumental | Supportive of instrumental violence? |

| DOMAIN | PRINCIPAL COMPONENT | SUB-COMPONENT | INDICATORS |
|---------------|----------------------------|----------------------|-------------------|
| | Lifestyle | Goal Directed | Lacks direction? |
| | | Conforming | Non-conforming? |

ANNEX 700-04D CUSTODY RATING SCALE SCORING INSTRUCTIONS

INTRODUCTION

The Custody Rating Scale (CRS) was developed as a tool to assist in the appropriate classification of inmates on intake, to predict future institutional adjustment, and to reduce disparities between decisions.

The Scale is comprised of two separate dimensions, one for Institutional Adjustment, and one for Security Risk. The total scores on both dimensions are necessary to calculate the initial security classification. It is important that all of the items are scored as accurately as possible, and that the information used to complete the Scale is reliable.

Annex 700-04D (A) is only used to score Item 1 of the Institutional Adjustment section, and Annex 700-04D (B) is used to score Items 2 and 3 of the Security Risk section.

The Custody Rating Scale is used to determine security classification for offenders admitted by Warrant of Committal, and for those re-admitted under suspension or revocation. The regular text in these instructions covers the approach to be used for Warrant of Committal admissions, while the ***bold text in italics*** covers re-admissions.

OMS Location

The Custody Rating Scale is located in the Correctional Plan screen, under Static Factor Summary.

| | | | |
|---|----------------------------------|---------|--------------------|
| ACTION: | CORRECTIONAL PLAN | | |
| FPS | NAME | , | Sec |
| DOB | | | Status |
| NPB | SRD | WED | Jur ALER FLAG NEED |
| 01 Assess. No. | 1 | | |
| 02 Completed By | : | | Date |
| 03 Reviewed By | : | Date | |
| 04 STATIC FACTOR ASSESSMENT | 05 STATIC FACTORS SUMMARY | | |
| 06 DYNAMIC FACTOR IDENTIFICATION & ANALYSIS | 07 DYNAMIC FACTOR SUMMARY | | |
| 08 SENTENCE PLANNING | | | |
| 09 LIVING SKILLS PRE-SCREENING RESULTS | | | |
| 10 STRATEGY GROUP | | | |
| 11 REINTEGRATION POTENTIAL | | | |
| LOCK STATUS UNLOCK | 98 INTAKE | 99 FORM | |

| | | | | | |
|----------------------------|---------|-------------------------------|---------------|--------------------|----------------|
| ACTION: | | STATIC FACTORS SUMMARY | | | |
| FPS | | Name | , | Sec | |
| DOB | F.Loc. | | | Status | |
| NPB File# | | SRD | WED | Jur | ALER FLAG NEED |
| | | | | Assess. No. | |
| | | | | Indicator Overview | Domain |
| Domain | | # Yes / # Poss | # Unknown | # Blank | Analysis |
| 01 CRIMINAL HISTORY RECORD | | / 38 | 0 | 23 | [*] |
| 02 OFFENCE SEVERITY RECORD | | / 71 | 0 | 71 | |
| 03 SEX OFFENCE HISTORY | | / 28 | 0 | 28 | |
| 04 Detention Criteria | SchedI- | | Serious Harm: | SchedII- | |
| 05 SIR SCALE | | | | | |
| 06 CRS | | | | | |

07 Static Factor Rating

| | |
|---------------------------------|-------------------------------|
| 08 Criminal Profile () | |
| CF-# CONTRIBUTING FACTORS | IR-# VIEW INDICATOR RESPONSES |
| ----- DEVELOPMENT NODE FACILITY | --- |

PART I – INSTITUTIONAL ADJUSTMENT SCORE

1. HISTORY OF INVOLVEMENT IN INSTITUTIONAL INCIDENTS

Readmission: Review the most recent CRS on the offender's file for the current sentence, and use the score obtained on that CRS. If a CRS has not been done for this offender, score the item as follows.

Incidents are any type of behaviour listed in Annex 700-04D (A) that occurred prior to final penitentiary placement for the current sentence. Incidents involving convictions in institutional court or outside court, and incidents contained in institutional security reports should be counted. For incidents in the provincial jurisdiction, find the offence in Annex 700-04D (A) that most closely corresponds. Incidents occurring while the offender was in youth facilities should be included, but only in cases where the offender was 16 years of age or more.

| ITEM | SCORE |
|---|-------|
| 1. History of Involvement in Institutional Incidents | |
| a) no prior involvement | 0 |
| any prior involvement | 2 |

Note: If a score is entered under b), c) or d), then a score of "2" must be entered under a).

| | |
|---|---|
| b) prior involvement during last five years of incarceration: | |
| • in an assault (no weapon or serious injury) | 1 |
| • in a riot or major disturbance | 2 |
| • in an assault (using a weapon or causing serious injury) | 2 |

"Last five years of incarceration" includes any period or periods of incarceration, provincial or federal, in the offender's history that total five years or more, not just the five years immediately preceding this sentence.

| | |
|---|---|
| c) prior involvement in one or more incidents in serious category | 2 |
| d) involvement in one or more serious incidents prior to sentencing and/or pending placement for current commitment | 5 |

Item d) also includes an incident occurring in the Intake Unit.

Sources of Information

- FPS record
- Discipline and Dissociation file
- Security incident base (Security Information Reports)
- Provincial records/files
- Offender interview

2. ESCAPE HISTORY

Readmission: Review the most recent CRS on the offender's file for the current sentence, and adjust the score obtained on that CRS if the offender has escaped during the current sentence. If a CRS has not been done for this offender, score the item as follows.

For the purposes of the CRS, "escape" includes only escapes from federal or provincial/territorial correctional institutions. Where charges were laid against the offender, it is not necessary that a court conviction be registered to count the incident of escape. When reviewing cases where the offender was charged with "escape lawful custody", count only those situations where the act leading to the charge was an escape from a federal or provincial institution, or from an escorted temporary absence from a federal or provincial institution.

Provincial or territorial designation of security levels maximum, medium and minimum is equal to the federal levels, except in the case of provincial jails and detention/remand centres which are considered to be maximum security for the purposes of scoring the CRS.

Escapes from provincial youth facilities should also be counted, under category b), but only if the offender was 16 years of age or more.

"Last five years" include any period or periods of incarceration, provincial or federal, in the offender's history that total 5 years or more, not just the five years immediately preceding this sentence.

"Escape from community custody" only includes escapes from **escorted** temporary absences, and does **not** include leaving a community residential facility or where an offender has been unlawfully at large from any form of community supervision or probation.

| ITEM | SCORE |
|---|-------|
| 2. Escape History | |
| a) no escape or attempts | 0 |
| b) an escape or attempt from minimum or community custody with no actual or threatened violence: | |
| • over two years ago but not more than 5 years | 4 |
| • in last two years | 12 |
| c) an escape or attempt from medium or maximum custody or an escape from minimum or community custody with actual or threatened violence: | |
| • over two years ago but not more than 5 years | 20 |
| • in the last two years | 28 |
| d) two or more escapes from any level within the last five years | 28 |

Only the single highest score for any one item from 2a) to 2d) is entered on the Scale even though any number of them may be applicable to the offender.

Sources of Information

- FPS record
- Discipline and Dissociation file
- Security incident base (Security Information Reports)
- Provincial records/files
- Offender interview
- Police reports

3. STREET STABILITY

Readmission: Use the dynamic factor ratings on the most recent Correctional Plan Progress Report for parts (i) to (iii), and the guidelines in the text below for part (iv).

The domain ratings from dynamic factor analysis can be used to score this item as follows:

(i) Employment/Education

| | |
|--|---------------|
| "Factor seen as an asset to community adjustment" "No immediate need for improvement" | Above average |
| "Some need for improvement" | Average |
| "Considerable need for improvement" | Below average |

(ii) Marital/Family Adjustment

| | |
|--|---------------|
| "Factor seen as an asset to community adjustment" "No immediate need for improvement" | Above average |
| "Some need for improvement" | Average |
| "Considerable need for improvement" | Below average |

(iii) Interpersonal Relationships (use Associates domain)

| | |
|--|---------------|
| "Factor seen as an asset to community adjustment" "No immediate need for improvement" | Above average |
| "Some need for improvement" | Average |
| "Considerable need for improvement" | Below average |

(iv) Living Arrangements

| | |
|--|---------------|
| Lengthy period of time (more than one year) at a single residence unless legitimate reasons for relocation are identified | Above average |
| Changes of residence once or twice per year have occurred with no strong rationale identified | Average |
| Changes of residence have occurred two or more times during the six month period prior to the current offence(s) | Below average |

After having examined each lifestyle area and placed the individual in the category that best describes the life circumstances prior to incarceration, an overall assessment should be made of the areas considered together.

| ITEM | SCORE |
|----------------------------|-------|
| 3. Street Stability | |
| a) above average | 0 |
| b) average | 16 |
| c) below average | 32 |

Sources of Information

- Police report(s)
- Presentence report
- Community Assessments
- Suspension report
- Offender interview

4. ALCOHOL/DRUG USE

Readmission: Use the most recent Correctional Plan Progress Report rating for the substance abuse dynamic factor.

Depending on the stage of the intake assessment where the CRS must be completed, either the Computerized Lifestyle Assessment Instrument result or the dynamic factor rating can be used to score the CRS.

| CLAI Result | Substance Abuse Dynamic Factor Rating | CRS Rating |
|--------------------------------|--|--|
| No or low problem | "No immediate need for improvement" | No identifiable problems |
| | | |
| Moderate problems | "Some need for improvement" | Abuse affecting one or more life areas |
| | | |
| Severe or substantial problems | "Considerable need for improvement" | Serious abuse affecting several life areas |

| ITEM | SCORE |
|---|--------------|
| 4. Alcohol/Drug Use | |
| a) no identifiable problems | 0 |
| b) abuse affecting one or more life areas | 3 |
| c) serious abuse affecting several life areas | 6 |

Sources of Information

- Police report(s)
- Presentence report
- Community Assessments
- Suspension report
- Offender interview

5. AGE (AT TIME OF SENTENCING)

Readmission: If the offender has a CRS on file for the current sentence, use the score from that CRS. If there is no CRS for this offender, score the item as per the instructions below. This item should remain static for the current sentence.

Select the score for the offender's age at time of sentencing for the current offence(s).
When there is more than one current offence, take the earliest sentencing date.

| ITEM | SCORE |
|--|--------------|
| 5. Age (at Time of Sentencing) (OMS ordered old to young) | |
| a) 18 years or less | 24 |
| b) 19 | 22 |
| c) 20 | 20 |
| d) 21 | 18 |
| e) 22 | 16 |
| f) 23 | 14 |
| g) 24 | 12 |
| h) 25 | 10 |
| i) 26 | 8 |
| j) 27 | 6 |
| k) 28 | 4 |
| l) 29 | 2 |
| m) 30 or over | 0 |

PART II – SECURITY RISK SCORE**1. NUMBER OF PRIOR CONVICTIONS**

Readmission: If the offender has a CRS on file for the current sentence, use the score from that CRS. If there is no CRS for this offender, score the item as per the instructions below. This item should remain static for the current sentence.

"Prior convictions" refer to those convictions other than the ones for which the offender is presently serving a sentence. Separate charges are counted as separate convictions only if there was a consecutive sentence. All convictions that are dealt with by the imposition of concurrent sentences, even if they are different (e.g. false pretences and fraud), or occurred on different dates, are counted as a single conviction for the purpose of completing the Scale. Unless the conviction is stated as being consecutive, it is assumed to be concurrent. Convictions incurred under the Juvenile Delinquents Act or Young Offenders Act should be counted, however only if the offender was 16 years of age or more.

Do not enter the total number of convictions. Rather, enter the score in the right hand column on the Scale which applies to the offender.

| ITEM | SCORE |
|---------------------------------------|--------------|
| 1. Number of Prior Convictions | |
| a) none | 0 |
| b) one | 3 |
| c) 2 to 4 | 6 |
| d) 5 to 9 | 9 |
| e) 10 to 14 | 12 |
| f) more than 15 | 15 |

Sources of Information

- Canadian Police Information Centre
- FPS record

2. MOST SEVERE OUTSTANDING CHARGE

Readmission: Check for any charges outstanding and score accordingly. If parole has been revoked following the commission of an offence and the charges have not yet been dealt with by the courts, count the offence under this item. In situations where the police have informed CSC they are planning to charge an offender but have not yet done so, do not count the charge below, however this may be an issue to take into account in the rationale for decision-making on placement.

All outstanding charges at the time of admission on the offender's current sentence are to be identified. Using Annex 700-04D (B), determine which outstanding charge is the most severe, and enter only the score for that offence.

| ITEM | SCORE |
|--|-------|
| 2. Most Severe Outstanding Charge | |
| a) no charges outstanding | 0 |
| b) minor | 12 |
| c) moderate | 15 |
| d) serious | 25 |
| e) major | 35 |

Sources of Information

- Sentence Management screen
- Canadian Police Information Centre
- FPS record

3. SEVERITY OF CURRENT OFFENCE

Readmission: Use the score from the most recent CRS for this offender for the current sentence, unless the offender has been convicted of new offence(s), since the CRS was completed, that would change the score. In this case, score the item according to the instructions below. If there is no CRS for this offender, score the item as per the instructions below.

Using Annex 700-04D (B), determine which of the offender's current offences is the most severe. Note that a revocation of parole or statutory release for technical violation counts as a current offence in the "minor or moderate" category. Enter on the Scale only the single highest score that applies to the offender.

| ITEM | SCORE |
|---------------------------------------|-------|
| 3. Severity of Current Offence | |
| a) minor or moderate | 12 |
| b) serious or major | 36 |

Sources of Information

- Sentence Management screen
- Warrant(s) of Committal
- Admission Form

4. SENTENCE LENGTH

Readmission: This item should remain static, UNLESS:

- a) **there has been a recalculation of the sentence – in this case, if the recalculation has occurred since the last CRS was done for the current sentence, score the item according to the instructions below; or**
- b) **the offender is serving a minimum life sentence for first or second degree murder – use the score for Item d) more than 24 years (65 points).**

This is the total aggregate sentence as calculated at admission to CSC. Life maximum or indeterminate sentences are included in "more than 24 years". Minimum life sentences for first or second degree murder are assigned a specific score.

| ITEM | SCORE |
|--|-------|
| 4. Sentence Length | |
| a) 1 day to 4 years | 5 |
| b) 5 to 9 years (more than 4 years and up to 9 years) | 20 |
| c) 10 to 24 years (more than 9 years and up to 24 years) | 45 |
| d) more than 24 years | 65 |
| e) <u>life as a minimum – first or second degree</u> | 98 |

Sources of Information

- Sentence Management screen
- Warrant(s) of Committal
- Admission Form

5. STREET STABILITY

Readmission: Use the same approach as in Item 3 of the Institutional Adjustment sub-scale.

This item is to be rated following the same definitions and instructions provided previously for Institutional Adjustment Score – Street Stability (Item 3). The only difference is in the scores assigned for each category.

| ITEM | SCORE |
|----------------------------|-------|
| 5. Street Stability | |
| a) above average | 0 |
| b) average | 5 |
| c) below average | 10 |

6. PRIOR PAROLE AND/OR MANDATORY SUPERVISION/STATUTORY RELEASES

Readmission: Update the score obtained on the most recent CRS for this offender for the current sentence. If there is no CRS on file, score the item according to the instructions below. The release from which the offender has just been suspended or revoked should be included in the calculation.

A calculation of the number of releases the offender has obtained throughout his or her criminal history is required. Whether or not the release was revoked is not relevant for the completion of this item.

"Parole releases" include provincial or federal day or full parole. Other forms of release (e.g. TA, work release) are not counted. Release after cancellation of a suspension is not counted.

"Mandatory supervision/statutory releases" include provincial or federal releases on mandatory supervision, statutory release or earned remission release.

| ITEM | SCORE |
|---|-------|
| 6. Prior Parole and/or Mandatory Supervision/Statutory Releases | |
| a) none | 0 |
| b) 1 point for each previous parole release _____ (OMS offers choice from 1-21) | |
| c) 2 points for each previous release on statutory release or mandatory supervision _____ (OMS offers choice from 1-21) | |

7. AGE AT TIME OF FIRST FEDERAL ADMISSION

Readmission: Use the offender's age at the time of the suspension or revocation related to conducting this CRS.

If the current sentence is not the first federal sentence for this offender, enter his or her age at the time of admission for the first federal sentence on the record. If the current sentence is the offender's first federal sentence, use the age at the time of admission for the current sentence.

Enter only the score on the Scale that applies to the offender's age category.

| ITEM | SCORE |
|------------------------------------|--------------|
| 7. Age at Time of Admission | |
| a) under 26 years | 30 |
| b) 26 | 27 |
| c) 27 | 24 |
| d) 28 | 21 |
| e) 29 | 18 |
| f) 30 | 15 |
| g) 31 | 12 |
| h) 32 | 9 |
| i) 33 | 6 |
| j) 34 | 3 |
| k) 35 years or older | 0 |

FINAL SCORES AND SECURITY LEVEL RATING

OMS calculates the scores for Institutional Adjustment and Security Risk separately and then provides the security level rating (classification).

| | | | | |
|---|-------------------------|-----------------------------|--------|-----------|
| ACTION: | | CUSTODY RATING SCALE | | |
| FPS | | Name | | Sec |
| DOB | F.Loc. | | Status | |
| NPB File# | SRD | WED | Jur | ALER FLAG |
| ----- | | | | |
| Institutional Adj | | | | |
| Security Risk Score | | | | |
| Classification | | | | |
| ***** Institution Adjustment Rating ***** | | | | |
| 01 | Institutional Incidents | :(- + - + - + -) * 8 = | | |
| 02 | Escape History | : | | |
| 03 | Street Stability | : | | |
| 04 | Alcohol/Drug Use | : | | |
| 05 | Age (Sentencing) | : | | |
| 06 | SECURITY RISK RATING | | | |
| 07 | Completed by: | | Date | |
| 08 | Reviewed by : | | Date | |
| LOCK STATUS LOCK | | 99 FORM | | |

| | | | | |
|--------------------------------|--|-----------------------------|--------|-----------|
| ACTION: | | CUSTODY RATING SCALE | | |
| FPS | | Name | | Sec |
| DOB | F.Loc. | | Status | |
| NPB File# | SRD | WED | Jur | ALER FLAG |
| ----- | | | | |
| Institutional Adj | | | | |
| Security Risk Score | | | | |
| Classification | | | | |
| *****SECURITY RISK RATING***** | | | | |
| 01 | Number of Prior Convictions | | | |
| 02 | Most Severe Outstanding Charge: | | | |
| 03 | Severity of Current Offence : | | | |
| 04 | Sentence Length | : | | |
| 05 | Street Stability | : | | |
| 06 | Prior Parole and/or Mandatory Supervision Releases : | | | |
| | a) Full Parole: | | | |
| | b) Mandatory Supervision: | | | |
| -07 | Age at Time of Admission: | | | |
| 08 | Completed by: | | Date | |
| 09 | Reviewed by : | | Date | |
| LOCK STATUS LOCK | | 99 FORM | | |

ANNEX 700-04D (A)

OFFENCES COMMITTED WHILE INCARCERATED

Notes

1. When the offence is a conspiracy to commit another offence, use the offence that is the object of the conspiracy to score seriousness.
2. This list of offences is not exhaustive. Users should exercise judgement to find the offence on this list that is the closest approximation to the offence(s) committed by the offender.

Serious offences

Criminal Code of Canada

| | |
|--|---|
| Murder | Manslaughter |
| Attempt to commit murder | Counselling or aiding suicide |
| Causing bodily harm with intent | Impeding attempt to save life |
| Assault | Assault with weapon or causing bodily harm |
| Aggravated assault | Assaulting peace officer |
| Torture | Sexual assault, aggravated sexual assault |
| Hostage taking (forcible confinement) | Prison breach |
| Arson | Explosives – Possession without lawful excuse |
| Weapons/firearms | Importing or delivering prohibited weapons |
| Extortion | Breaking and entering |
| Mischief causing danger to life | Bribery of officers |
| Resisting or obstructing public or peace officer | Personating peace officer |
| Permitting or assisting escape | Supplying noxious things |
| Theft | Fraudulent concealment |

Institutional Offences

| | |
|--|---|
| PSR [*] 39 (b) assaults or threatens to assault another person | PSR 39 (l) does any act with intent to escape or to assist another inmate to escape |
| CCRA ^{**} 40 (h) fights with, assaults or threatens to assault another person | CCRA 40 (n) does anything for the purpose of escaping or assisting another inmate to escape |

^{*} PSR = *Penitentiary Service Regulations*

^{**} CCRA = *Corrections and Conditional Release Act*

Moderate offences

Criminal Code of Canada

| | |
|--------------------------------------|---------------------------------------|
| Indecent acts | Interception of private communication |
| Offences in relation to prostitution | Unauthorised use of computer |
| False pretence or false statement | Forgery |
| Fraud | Personation with intent |
| Making counterfeit money | |

Institutional Offences

| | |
|---|--|
| PSR 39 (a) disobeys or fails to obey a lawful order of a member | PSR 39 (c) refuses to work or fails to work to the best of his ability |
| PSR 39 (d) leaves his work without the permission of a member | PSR 39 (e) wilfully or negligently damages any property of Her Majesty or the property of another person |
| PSR 39 (f) wilfully wastes food | PSR 39 (g) behaves toward any other person, by his actions, language or writing, in an indecent, disrespectful, threatening or defamatory manner |
| PSR 39 (h) wilfully disobeys or fails to obey any regulation or rule governing the conduct of inmates | PSR 39 (i) has contraband in his possession |
| PSR 39 (i.1) consumes, absorbs, swallows, smokes, inhales, injects or otherwise uses an intoxicant | PSR 39 (j) deals in contraband with any other person |
| PSR 39 (k) does any act that is calculated to prejudice the discipline or good order of the institution | PSR 39 (l.1) is in an area prohibited to inmates |
| PSR 39 (m) gives or offers a bribe or reward to any person for any purpose, | PSR 39 (n) contravenes any rule, regulation or directive made under the <i>Act</i> |
| PSR 39 (o) attempts to do anything mentioned in paragraphs (a) to (n) | CCRA 40 (a) disobeys a justifiable order of a staff member |
| CCRA 40 (b) is, without authorization, in an area prohibited to inmates | CCRA 40 (c) wilfully or recklessly damages or destroys any property that is not the inmate's |
| CCRA 40 (d) commits theft | CCRA 40 (e) is in possession of stolen property |
| CCRA 40 (f) is disrespectful or abusive toward a staff member in a manner that could undermine a staff member's authority | CCRA 40 (g) is disrespectful or abusive toward any person in a manner that is likely to provoke a person to be violent |

Institutional Offences (cont'd)

| | |
|--|---|
| CCRA 40 (i) is in possession of, or deals in, contraband | CCRA 40 (j) without prior authorization, is in possession of, or deals in, an item that is not authorized by a Commissioner's Directive or by a written order of the Institutional Head |
| CCRA 40 (k) takes an intoxicant into the inmate's body | CCRA 40 (l) fails or refuses to provide a urine sample when demanded pursuant to section 54 or 55 |
| CCRA 40 (m) creates or participates in (i) a disturbance, or (ii) any other activity that is likely to jeopardize the security of the penitentiary | CCRA 40 (o) offers, gives or accepts a bribe or reward |
| CCRA 40 (p) without reasonable excuse, refuses to work or leaves work | CCRA 40 (q) engages in gambling |
| CCRA 40 (r) wilfully disobeys a written rule governing the conduct of inmates | CCRA 40 (s) attempts to do, or assists another person to do, anything mentioned in paragraphs (a) to (r) |

**ANNEX 700-04D (B)
MODIFIED CSC OFFENCE SEVERITY SCALE**

Notes

1. Dangerous drugs = Heroin and other opiates/cocaine/PCP/LSD and other similar substances.
2. Assault Offences – Classify according to seriousness of the harm inflicted by the assault.
3. Any sexual offence involving a child victim is considered serious.
4. If a parole violation is the result of a new offence, classify according to the new offence.
5. Conspiracy, attempt to commit and accessory before and after the fact are classified as the actual offence.
6. This list of offences is not exhaustive. Users should exercise judgement to find the offence on this list that is the closest approximation to the offence(s) committed by the offender.
7. As a general principle, do not ignore information that is not on the official record. For example, where the FPS indicates assault, but other reliable sources allow us to determine that the offender actually committed a sexual assault, treat the offence as a sexual assault and score accordingly.

Major Offences

| | |
|---|--|
| First or second degree murder and attempted murder | Kidnapping, forcible detention, abduction and/or hostage taking |
| Hijacking of aircraft, treason, espionage | Illegal possession and/or detonation of explosives which are likely to cause death |
| Violent terrorist activities | Armed robbery (with extreme violence, organized or notorious) |
| Assault (with or without weapon) causing serious injury, risk of death, disfigurement or mutilation | |

Serious Offences

| | |
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| Armed robbery, attempted armed robbery, robbery with violence | Arson |
| Sabotage | Conspiracy to traffic or import a dangerous drug |
| Trafficking and possession for the purpose of trafficking dangerous drugs | Trafficking in illegal firearms |
| Manslaughter | Extortion |
| Sexual assault offences (i.e. rape, attempted rape, sexual assault, aggravated sexual assault, any sexual offence involving a child, etc.) | Assault (with or without weapon), wounding |
| Escape with violence from any level of security, escape from escort, prison breach, participate in riot | Use of firearm during commission of an offence |

Moderate Offences

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| Possession of dangerous drugs | Trafficking, conspiracy, possession for the purpose of trafficking (soft drugs) |
| Forgery, possession of instruments for forgery | Fraud offences, false pretences |
| Bribery | Forcible entry |
| Breaking and entering, breaking out | Criminal negligence causing death or resulting in bodily harm, dangerous driving |
| Non-violent sex offences (i.e., gross indecency, indecent assault) | Robbery |
| Escape without violence from minimum security or from escort | Theft |
| Auto theft, conversion of auto | Obstruction of justice and perjury, resist arrest, obstruct peace officer, etc. |
| Possession of stolen property over | Possession of a weapon to commit an indictable offence, carry a concealed weapon |
| Assault causing bodily harm (no serious injury) | Criminal harassment |

Minor Offences

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| Possession of stolen property under | Common assault |
| Possession of soft drugs | Theft under |
| Public mischief, damage to property, causing a disturbance, wilful damage | Criminal negligence not resulting in bodily harm |
| Possession of a restricted or prohibited weapon | Possession of forged currency, passports, cheques |
| Driving while impaired, driving with over 0.08, driving under suspension, take auto without consent, careless driving, etc. | Parole or statutory release revocation, breach of probation (technical) |
| Unlawfully at large, failure to attend court, failure to comply with undertaking or recognizance, failure to appear | Failure to remain at the scene of an accident |

ANNEX 700-04E

PROCEDURES FOLLOWING THE CAPTURE OF AN OFFENDER WHO HAD ESCAPED OR WAS UNLAWFULLY AT LARGE

Following the capture of an offender who has escaped or who is unlawfully at large, he or she shall be detained at an institution, at the appropriate security level, in the region of the arrest pending arrangements for readmission to a specific institution.

An offender who has escaped or who has been unlawfully at large and is recaptured/returned to federal custody, should not normally be the subject of an involuntary transfer process, simply to return him to the Region from which he escaped or to be placed at the appropriate level of security. The offender is being brought back into the system to satisfy the remainder of his sentence and should be classified through the application of the Custody Rating Scale. Should the offender request to return to the Region from which he escaped, he may apply for a voluntary transfer which will be decided upon on the basis of its own merits. Before effecting any transfer, all outstanding judicial matters, if applicable, shall normally have been resolved.

Following an escape or UAL, an inmate's security classification shall normally rise to at least medium as a result of an increase in the level of escape risk. Completion of a new CRS satisfies the issue of the Duty to Act Fairly, as the inmate has an opportunity to have all the documentation shared with him and has access to the Offender Grievance Procedure as a means of redress.

The institutions, intake assessment units or reception units who receive offenders from the police or provincial authorities determine the need for a complete new Intake Assessment. There are those cases where the offender has either been at large for an extended period or in which circumstances warrant potential referrals to the Intake Assessment Unit for a more comprehensive re-evaluation of the inmate's static and dynamic factors. These criteria can be found in SOP 700-04, "Offender Intake Assessment and Correctional Planning", paragraphs 121 to 126. These criteria should be applied to offenders recaptured following escape as well as those readmitted following conditional release.

The Region in which the offender has been recaptured becomes responsible for the offender once he is in custody and the Region from which he escaped retains no "ownership" of the offender. The Region in which the offender is recaptured is responsible for determining the appropriate placement and security level.