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Sanctions, Interventions and Incentives for Probation Offenders

Supervision must include timely feedback to the offender, identifying progress made, intervening when problems arise and recognizing and responding to behavior; both positive and negative. An officer's response to offender technical violations should be based upon public safety, the assessed criminogenic risk and needs of the offender, and the probability that the response will move the offender toward compliant behavior. (4-APPFS-2A-06, 4-APPFS-2B-11, 4-APPFS-2E-01)

Response to offender behavior is most effective when the response is timely, proportionate, consistent, and individualized. Reinforcement should occur as closely as possible to the behavior to be reinforced or extinguished. It should be balanced and increasingly progressive; the behavior(s) should be acknowledged and reinforced or sanctioned each time it occurs. The sanction should only be coercive enough to be meaningful to the offender and appropriate for the behavior exhibited. (4-APPFS-2A-07, 4-APPFS-2E-01, 4-APPFS-2B-11)

Corrective interventions that influence the behavior of offenders in the community serve as an effective alternative to probation acceleration/revocation to prison without compromising public safety. (4-APPFS-2B-11) By use of the offender's transition plan and contacts by the supervising officer with the offender, the supervising officer shall encourage pro-social behavior in order to reduce the likelihood of technical violations of conditions of supervision. When discussing the conditions of supervision with an offender, the supervising officer shall include information, insight and recommendations for how possible technical violations of conditions can be prevented, including discussion about pro-social activities and companions. The offender must be aware there are external consequences to non-compliant behavior. (4-APPFS-2A-08)

One of the primary reasons for the offender's transition plan is to establish goals addressing assessed criminogenic risk and needs to prevent behaviors that are criminal in nature or that violate supervision conditions. As part of this risk management strategy, if the offender is failing to make progress under the transition plan and/or engages in high-risk, negative, or anti-social behavior that could lead to a violation of conditions, that behavior shall be addressed by applying an appropriate sanction and revision made to the transition plan. (4-APPFS-2A-06)

The supervising officer shall consider changes in supervision strategies for supervising the offender with the emphasis on increasing desired behavior in the offender.

I. Definitions

For the purpose of this procedure, the following are definition of terms:

- A. Diversion Agreement - An agreement citing the offender with a technical violation of one or more terms of supervision, setting out specific sanctions to discourage the behavior, as well as appropriate interventions to address the behavior
- B. Formal Sanction - A sanction or action taken by an officer in response to problematic offender behavior, which is documented on the "Diversion Agreement."
- C. Informal Sanction - A verbal sanction or action taken by a probation and parole officer to address undesired behavior and not documented on the "Diversion Agreement."
- D. Intervention- A programmatic referral intended to provide the offender with cognitive based skills and knowledge to assist in avoiding further violations.
- E. Intermediate Revocation Facility - A corrections center operated by the Oklahoma Department of Corrections (ODOC) or a private facility or public trust operating pursuant to a contract with ODOC which provides housing and intensive programmatic services for offenders who have violated the terms or conditions of a deferred/suspended sentence.
- F. Intermediate Sanction Facility - A county jail that provides a short term period of confinement.
- G. Offender - An individual under probation supervision by the ODOC. Interstate compact offenders are subject to sanctioning in accordance with this procedure. Sanctions involving any type of incarceration cannot be used with interstate compact offenders.
- H. Technical Violation - A violation of the rules and conditions of supervision, not including new offenses in which new felony or misdemeanor charges are filed.

II. Technical Violations

A. Responding to Technical Violations

When responding to technical violations, the supervising officer will consider the offender's risk to the community and the likelihood of behavioral changes with appropriate sanctions and interventions. [Attachment A](#) (attached) entitled "Allowable Sanctions/Interventions" provides alternative responses to be considered. (4-APPFS-2B-11) Before a response is chosen, the following will be considered:

1. The assessed criminogenic risk and needs of the offender;
2. The progress the offender has made or failed to make under the transition plan;
3. The risk of harm the offender immediately presents to the community, a victim, other specific persons, or him or herself;
4. The circumstances of the technical violation, including the offender's attitude and willingness to address the behavior;
5. The offender's criminal history and prior technical violations;
6. Evidence of the offender's motivation to progress or succeed in supervision; and
7. Interventions or sanctions previously applied and the outcome.

B. Response Criteria

1. Sanctions

For each instance of undesired behavior or for each occurrence of a technical violation, an appropriate response will be made by the supervising officer. Every technical violation will be addressed and documented. When the supervising officer determines that a serious technical violation has occurred, an appropriate response shall be initiated within four working days.

Based upon the criteria cited in Section II. A. items 1. through 7. of this procedure and the "Sanction/Intervention Matrix" ([Attachment B](#), attached), the officer will determine if the response will be:

- a. Informal Sanction: an informal response to the behavior that does not require team supervisor approval. The officer will impose the sanction and follow up to determine if the sanction was effective; or

- b. Formal Sanction: a formal response to the behavior, which will be documented in a “Diversion Agreement.”

2. Interventions

In addition to a sanction, the officer should determine if a programmatic intervention is necessary. Interventions will be considered based upon the nature of the violation and the offender’s need for cognitive based programs to deter further violations.

- C. Offender-Acknowledged Technical Violations

If the offender acknowledges the occurrence of undesired behavior or of the technical violation, the offender will be required to participate in the development of an informal or formal agreement to address the cause of the behavior or technical violation. (4-APPFS-2A-10)

1. The supervising officer will refer to the “Sanction/Intervention Matrix” ([Attachment B](#), attached) to determine possible sanctions and interventions appropriate to address the technical violation. The supervising officer will discuss with the offender the elements of the technical violation and the proposed actions.
2. If the sanction is a formal sanction, the supervising officer will develop, with the offender, an agreement using the “Diversion Agreement” ([Attachment D](#), attached) to correct the noncompliant behavior. (4-APPFS-2A-10)
3. Once the agreement has been developed and approved by the team supervisor, the agreement will be implemented and the offender will begin the steps outlined in the agreement. The supervising officer will maintain frequent contact with the offender to ensure the offender’s compliance with the agreement.
4. If confinement in an Intermediate Sanction Facility is the recommended sanction, the sanction must be approved by the deputy director. The sentencing judge must approve and sign the “Technical Violation Sanction Form County Jail Time” ([Attachment H](#), attached) and a copy will be filed with the court clerk and a file stamped copy presented to the sheriff or jail administrator.
 - a. When a short term of confinement in the Intermediate Sanction Facility (county jail) is imposed as a sanction, ODOC will reimburse the county in an amount not to exceed \$30.00 per offender per day (57 O.S. § 38.2).

- b. The offender will be ordered to reimburse ODOC for the cost of any imposed sanction, to include reimbursing the cost of incarceration, if the offender is financially able to do so.
5. If confinement in an Intermediate Revocation Facility is the recommended intervention, the supervising officer will submit a violation report to the immediate supervisor citing all technical violations, previous sanctions/interventions imposed to change the offender's behavior and gain compliance and a recommendation to issue a bench warrant.
 - a. After the immediate supervisor has reviewed the violation report and approved the appropriateness of the recommendation, the report will be forwarded to the sentencing court.
 - b. Upon issuance of a bench warrant, the offender will be arrested and be held in the nearest county jail to await action by the court.

D. Offender-Denied Technical Violations

If the offender refuses to acknowledge violations or refuses to participate in the development of a diversion agreement, a staffing with the team supervisor will be scheduled. Should the staffing fail to resolve the issues, the offender will be advised of his/her right to an administrative hearing. An explanation of the hearing process will be given to the offender. If a hearing is requested, the supervising officer will develop a diversion agreement utilizing the "Diversion Agreement" ([Attachment D](#), attached) as outlined in Section II. of this procedure which will be presented in the hearing.

Each regional office will designate persons in the job class of Probation/Parole Officer III and higher to serve as Administrative Hearing Officers (AHO). (4-APPFS-2B-09) The selected hearing officer must report in a chain of command different from the supervising officer of the offender.

1. The AHO will be contacted by the supervising officer to schedule a date, time and place for the hearing, and record such on the "Notice of Administrative Hearing" form ([Attachment C](#), attached). A copy of the "Notice of Administrative Hearing" form and the proposed "Diversion Agreement" will be given to the offender. Copies will be placed in the offender's file and copies forwarded to the AHO.
2. The hearing will be scheduled at a date, time, and location accessible to the offender. (4-APPFS-2B-06) Refusal to attend the hearing may result in termination of the sanction process and a request for a bench warrant.

3. The hearing will be conducted according to the “Administrative Hearing Guide” ([Attachment E](#), attached) and will be recorded in its entirety.
4. At the conclusion of the hearing, the AHO will determine, based on a preponderance of the evidence, whether or not a technical violation occurred and will note such on the “Findings of Administrative Hearing Officer” form ([Attachment F](#), attached). (4-APPFS-2B-09)
5. Upon a finding that a technical violation occurred, the AHO may order the offender to participate in the recommended “Diversion Agreement” or a modified “Diversion Agreement.”
6. If the AHO determines that a technical violation did not occur or that the behavior did not require a formal action, it will be noted on the “Findings of Administrative Hearing Officer” form and the offender will be referred back to the supervising officer for continued supervision.
7. If the AHO determines that a technical violation did occur and formal actions were ordered, the findings will be documented on the “Findings of Administrative Hearing Officer” form. The offender will document whether he or she accepts or rejects the finding of the AHO by checking the appropriate box on the “Findings of Administrative Hearing Officer” form ([Attachment F](#), attached). If the offender accepts the finding, the formal agreement will be imposed, and the offender will participate in the “Diversion Agreement.” The offender will be advised that by accepting the finding, he or she is waiving their right to appeal the finding to the sentencing judge.
8. If jail time in an Intermediate Sanction Facility (county jail) is the recommended sanction, the sentencing judge must approve and sign the “Technical Violation Sanction Form County Jail Time” ([Attachment H](#), attached). A copy of the signed form must be filed with the court clerk and a file stamped copy must be provided to the sheriff or jail administrator of the Intermediate Sanction Facility.
 - a. When a short term of confinement in the Intermediate Sanction Facility (county jail) is imposed as a sanction, ODOC will reimburse the county in an amount not to exceed \$30.00 per offender per day.
 - b. The offender will be ordered to pay for the cost of any imposed sanction, to include reimbursing the cost of incarceration, if the offender is financially able to do so.

9. If confinement in an Intermediate Revocation Facility is the recommended intervention, the supervising officer will submit a violation report to the immediate supervisor citing all technical violations, previous sanctions/interventions imposed to change the offender's behavior and gain compliance and a recommendation to issue a bench warrant.

After the immediate supervisor has reviewed the violation report and determined the appropriateness of the recommendation the report will be forwarded to the sentencing court.

Upon issuance of a bench warrant the offender will be arrested and held in the nearest county jail to await action by the court.

10. If the offender does not accept the recommended agreement, the AHO will advise the offender of his/her right to appeal the findings to the sentencing court and that ODOC may pursue revocation proceedings as provided by law.

The offender will be given an "Appeal of Administrative Hearing Form" ([Attachment G](#), attached) and advised to contact legal counsel to assist in filing the appeal with the Court.

The formal agreement will be imposed within five working days of the finding of the AHO unless a file stamped copy of the "Appeal of Administrative Hearing Form" has been received by the officer, or the officer has received other verifiable information that the appeal has been filed.

E. Failure to Comply

Failure of the offender to comply with the imposed agreement will constitute a technical violation of the rules and conditions of supervision. Depending upon the severity of the technical violation and the officer's perceived ability to continue to constructively work with the offender, the process may be initiated again.

III. Basis for Additional Actions

- A. Technical violations that have been successfully resolved by the offender through the "Diversion Agreement" cannot be used as a basis for the imposition of additional sanctions and will not be cited as a reason for revocation actions.
- B. Technical violations that have occurred during the current period of supervision that are discovered after the imposition of a "Diversion Agreement" may be used as a basis for further actions.

IV. Incentives

Positive reinforcement should be used to motivate and encourage pro-social behaviors. The more instances of positive reinforcement, the more effective the supervision.

A. Responding to Positive Behavior

Incentives are actions used by an officer to immediately reinforce positive offender behavior and compliance. Awarding incentives should be utilized in the following circumstances:

1. Compliance with rules and conditions;
2. Accomplishing benchmark(s) of transition plans/programmatic modules and/or;
3. Successful completion of programming.

Examples of incentives are (but not limited to):

1. Verbal praise;
2. Presentation of certificate;
3. Positive staffing with team supervisor;
4. Decreased reporting, within limitations of OP-160103;
5. Reduction or waiver of supervision fees;
6. Extended curfew; and/or
7. Reduction of previously imposed sanction.

V. Documentation

The supervising officer will ensure that each agreement imposed, as well as the offender's response to the agreement, is documented in the offender's official record. For statistical purposes, both informal and formal agreements will be reported on end of the month reports. Codes for reporting sanctions and interventions are listed on Attachment B (Attached).

If intermediate sanctions and interventions fail to gain an offender's compliance and a Violation Report is necessary, the officer will provide a record of all violations and actions taken in the attempt to gain compliance.

VI. References

Policy Statement No. P-160100 entitled "Purpose and Function of Probation and

Parole”

O.S. 22 § 991b.

O.S. 22 § 991a.

VII. Action

The affected deputy directors of Community Corrections are responsible for compliance with this procedure.

The director of Community Corrections and Contract Services is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the agency director.

This procedure is effective as indicated.

Replaced: Operations Memorandum No. OP-161002 entitled “Intermediate Sanctions for Probation Offenders” dated August 13, 2019

Distribution: Policy and Operations Manual
Agency Website

<u>Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment A	“Allowable Sanctions”	Attached
Attachment B	“Sanction Matrix”	Attached
Attachment C	“Notice of Administrative Hearing”	Attached
Attachment D	“Technical Violation and Sanction Form (Diversion Agreement)”	Attached
Attachment E	“Administrative Hearing Guide”	Attached
Attachment F	“Findings of Administrative Hearing Officer”	Attached
Attachment G	“Appeal of Administrative Hearing Sanction Form”	Attached
Attachment H	“Technical Violation Sanction Form County Jail Time ”	Attached