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COMMISSIONER'S DIRECTIVE 710-1

In Effect: 2015-07-23
Last review: 2014-09-20
Due for Review: 2017-07-23

Progress Against the Correctional Plan

PROGRAM ALIGNMENT	Correctional Interventions
OFFICE(S) OF PRIMARY INTEREST	Correctional Operations and Programs Sector
ONLINE @	<ul style="list-style-type: none"> • http://infonet/cds/cds/710-1-cd-eng.pdf • http://infonet/cds/cds/710-1-cd-fra.pdf • http://www.csc-scc.gc.ca/text/plcy/cdshtm/710-1-cd-eng.shtml • http://www.csc-scc.gc.ca/text/plcy/cdshtm/710-1-cd-fra.shtml
AUTHORITIES	<ul style="list-style-type: none"> • <i>Corrections and Conditional Release Act</i> (CCRA), sections 3, 3.1, 4, 5(b), 15.1, 54, 55, 56, 57, 81, 84, 133(3.1) and 134.1(2.1) • <i>Corrections and Conditional Release Regulations</i> (CCRR), sections 3, 4, 5 and 114
PURPOSE	<ul style="list-style-type: none"> • To establish the procedures required to monitor, intervene, assess and document the inmate's accountability and progress against the objectives identified in the Correctional Plan
APPLICATION	Applies to staff responsible for documenting inmates' progress towards meeting the objectives of their Correctional Plan

CONTENTS

SECTIONS	
1 – 4	Responsibilities
5 – 17	Procedures
5 – 9	Initial Interview Case Conference
10 – 12	Casework Records
13 – 17	Correctional Plan Update
18	Enquiries

Annex A	Cross-References and Definitions
Annex B	Structured Casework Record – Report Outline
Annex C	Key Ratings Reassessment Framework
Annex D	Correctional Plan Update Guide

RESPONSIBILITIES

1. The Parole Officer will:
 - a. assist and support the inmate in actively participating in meeting the objectives of his/her Correctional Plan
 - b. document all interactions, interventions, observations and assessments
 - c. maintain and update the Correctional Plan in consultation with the inmate
 - d. monitor the inmate's behaviour and compliance with court-ordered obligations
 - e. inform the inmate about his/her rights pursuant to [sections 81](#) and [84](#) of the CCRA
 - f. consider the provisions outlined in [section 26\(1\)\(a\)](#) and/or [133\(3.1\)](#) or [134.1\(2.1\)](#) of the CCRA for all Correctional Plan Updates for the purpose of preparing for release where applicable.
2. The Correctional Officer II/Primary Worker will:
 - a. maintain regular interactions and interventions with the inmate in order to enhance and strengthen [dynamic security](#)
 - b. document all interventions, observations and assessments.
3. The Aboriginal Liaison Officer will:
 - a. maintain regular interactions and interventions with the inmate
 - b. act as liaison between Aboriginal communities and the [Case Management Team](#)
 - c. document and share the Elder's observations with members of the Case Management Team and the inmate
 - d. support and promote the provision of [sections 81](#) and [84](#) of the CCRA, pursuant to [Guidelines 712-1-1 – CCRA Section 84: Application Process](#)

- e. provide input to the Parole Officer regarding the Correctional Plan for the inmate following a healing path, consistent with the [Aboriginal Corrections Continuum of Care Model](#).
4. The inmate is expected to:
 - a. participate in the consultation process when updating his/her Correctional Plan
 - b. actively participate in meeting the objectives identified in his/her Correctional Plan
 - c. obey the penitentiary rules, lawful orders and supervision requirements
 - d. comply with the requirement to submit to urinalysis.

PROCEDURES

Initial Interview Case Conference

5. The Parole Officer will arrange an initial interview case conference to review the Correctional Plan and interview the inmate as soon as is practicable, but no later than 10 working days after his/her arrival at the institution, a change in security level in a clustered institution or a case reassignment. The interview will include the inmate, Parole Officer, Correctional Officer II/Primary Worker when available, and when applicable, other members of the Case Management Team to ensure continuity of the correctional planning process. The Parole Officer will document this interview in a Casework Record.
6. No less than the following will be addressed:
 - a. progress against the Correctional Plan
 - b. roles and objectives for the Case Management Team, including any changes to the frequency or structure of case management interventions
 - c. objectives and expectations for the inmate, including court-ordered obligations
 - d. when there is a change in the inmate's security level within a clustered institution, there will be a review of previous decisions pertaining to [CD 559 – Visits](#), [CD 710-3 – Temporary Absences](#), [CD 710-4 – Perimeter Security Clearance](#), [CD 710-7 – Work Releases](#), [CD 710-8 – Private Family Visits](#) and others if required.
7. The Aboriginal Liaison Officer will interview inmates who express an interest in working with an Elder or in following a healing path as soon as is practicable after their arrival at the institution, and document in a Casework Record.
8. Subsequent interviews by staff will occur on a pre-determined and structured basis and will be based upon the inmate's risk and needs, and will be documented.

9. Any updates to the Correctional Plan will normally require a case conference with the inmate, and other applicable members of the Case Management Team.

Casework Records

10. All case conferences will be documented in a Casework Record entitled "Case Conference".
11. Members of the Case Management Team will record all information that is related to the Correctional Plan in a Casework Record as soon as is practicable, but no later than five working days from receipt of information.
12. The Correctional Officer II/Primary Worker will meet with the inmate and complete a Structured Casework Record as outlined in [Annex B](#) within 45 days of admission to federal custody, arrival at an institution or case reassignment, and every 45 days thereafter.

Correctional Plan Update

13. The Correctional Plan Update is comprised of two sections:
 - a. Objectives/Expected Gains
 - b. Analysis of Current Request.
14. The Objectives/Expected Gains section contains the analysis of key ratings, the objectives, the expectations established for the inmate, as well as the overall sentence planning (see [Annexes C and D](#)).
15. The Analysis of Current Request section will contain, when required, the purpose and/or the reason for the report, as indicated in [Annex D](#).
16. The Parole Officer will update the Correctional Plan in consultation with the inmate whenever there is a need to:
 - a. make a change to the key ratings or where circumstances warrant a reassessment
 - b. add or remove a program referral pursuant to [CD 726 – Correctional Programs](#) when the need/objectives are not already identified in the previous Correctional Plan
 - c. amend the objectives of the Correctional Plan, or
 - d. request a Community Strategy.
17. When a Correctional Plan Update is being prepared for the purposes of release, [victim information](#), as well as any [victim statements](#), will be included as outlined in [Annex D](#).

ENQUIRIES

18. Strategic Policy Division

National Headquarters

Email: Gen-NHQPolicy-Politi@csc-scc.gc.ca

Commissioner,

Original Signed by:
Don Head

ANNEX A

CROSS-REFERENCES AND DEFINITIONS

CROSS-REFERENCES

[CD 559 – Visits](#)

[CD 700 – Correctional Interventions](#)

[CD 701 – Information Sharing](#)

[CD 702 – Aboriginal Offenders](#)

[CD 705-6 – Correctional Planning and Criminal Profile](#)

[CD 710 – Institutional Supervision Framework](#)

[CD 710-3 – Temporary Absences](#)

[CD 710-4 – Perimeter Security Clearance](#)

[CD 710-7 – Work Releases](#)

[CD 710-8 – Private Family Visits](#)

[GL 712-1-1 – CCRA Section 84: Application Process](#)

[CD 715-4 – Case Preparation and Supervision of Women Offenders with Children Residing at a Community-Based Residential Facility](#)

[CD 726 – Correctional Programs](#)

[GL 726-2 – National Correctional Program Referral Guidelines](#)

[CD 730 – Offender Program Assignments and Inmate Payments](#)

[CD 767 – Ethnocultural Offenders: Services and Interventions](#)

[CD 800 – Health Services](#)

[GL 800-3 – Consent to Health Service Assessment, Treatment and Release of Information](#)

[CD 843 – Management of Inmate Self-Injurious and Suicidal Behaviour](#)

DEFINITIONS

Aboriginal Corrections Continuum of Care Model: a care model that provides specific approaches to address the needs of Aboriginal offenders.

Case conference: a formal meeting, consultation or discussion about an offender between two or more individuals.

Case Management Team: the individuals involved in managing an offender's case, which includes at minimum the Parole Officer and the offender, and in institutions, the Correctional Officer II/Primary Worker.

Dynamic security: regular and consistent interaction with offenders and timely analysis of information and sharing through observations and communication (e.g. rapport building, training, networking, intelligence gathering and strategic analysis). Dynamic security is the action that contributes to the development of professional, positive relationships between staff and offenders and, is a key tool to assess an offender's adjustment and stability.

Victim Information: victim-related information, provided either in writing or verbally, for consideration as part of the overall case management process. This would include information

provided by the victim and/or other sources. This also includes the court Victim Impact Statement, when available.

Victim Statement: a written statement provided by the victim, pursuant to [subsection 133\(3.1\)](#) or [134.1\(2.1\)](#) of the CCRA, describing the harm done or loss suffered as a result of the commission of an offence or the continuing impact of the commission of the offence on the victim – including any safety concerns – or commenting on the possible release of the offender, including any requests for non-association and/or geographic restriction conditions. The statement will be considered in the pre-release decision-making process for consideration to impose conditions to protect the victim.

ANNEX B**STRUCTURED CASEWORK RECORD – REPORT OUTLINE****1. INSTITUTIONAL ADJUSTMENT/ATTITUDE**

- Document any institutional charges, incidents, including observations of the inmate's involvement in any illicit and gang activities.
- Describe any observed changes in the inmate's behaviour and/or attitude based on the behavioural/attitudinal identified goals.
- Assess any changes in the inmate's behaviour/attitude as a result of program involvement, counselling, intervention, or any other activity.

2. INMATE'S USE OF TIME

- Identify any relevant programs, interventions or activities in which the inmate has participated during the previous 45 days. These may include correctional programs, education, spiritual/cultural activities, support groups, leisure activities, counselling, temporary absences, work releases, regular visits, private family visits, or any other activity in which the inmate is involved that demonstrates engagement and progress towards meeting the goals of his/her Correctional Plan.
- Describe the inmate's employment. If the inmate is not employed, discuss why and if applicable, what the inmate must do/demonstrate to gain employment.
- Identify any new programs, activities or interventions that the inmate will be involved in during the next 45 days.
- Confirm the inmate's next of kin and emergency contacts information, and update the Offender Contact information.

3. INMATE CONTACTS/CONSULTATIONS

- Describe your interactions with the inmate over the past 45 days. In addition, summarize any consultation comments from staff and/or other collateral contacts that have had interactions with the inmate during the previous 45 days. Consultations must include but are not limited to: Parole Officer and when applicable, Employment Supervisor, Correctional Program Facilitator, Correctional Manager, Psychologist, Elder, Chaplain, Spiritual Advisor, Security Intelligence Officer, Psychiatrist, health care personnel, volunteers, Visits and Correspondence Officers.

4. OVERALL ASSESSMENT AND OBJECTIVES

- Establish the goals with the inmate for the next 45 days based on:
 - a. the inmate's self-assessment in meeting the objectives of his/her Correctional Plan and what he/she believes is needed to maintain/further progress
 - b. your overall assessment.

5. PAYMENT LEVEL REVIEW

- If applicable, provide the rationale and indicate the payment level recommendation as completed on the [Inmate Pay Review](#) (CSC/SCC 1138-1) and in accordance with [CD 730 – Offender Program Assignments and Inmate Payments](#).

ANNEX C

KEY RATINGS REASSESSMENT FRAMEWORK

Level of Intervention Based on Static Factors

A review of static factors [i.e. based on historical information related to risk that is available at the time of the inmate's admission to federal custody, such as rating on the Statistical Information on Recidivism Scale – Revised (SIR-R1), criminal history record, offence severity record, sex offence history, detention criteria] produces a reliable estimate of the probability and severity of re-offending. This estimate, originally determined at intake, appears as a rating of level of intervention based on static factors. Unless a reassessment is warranted, the rating is normally accurate throughout the inmate's period of incarceration and for the first six months of supervision on conditional release, at which time dynamic factors related to performance on release become increasingly dominant.

The predictive accuracy of this rating can be improved in some cases by reviewing the following factors:

- a. time since the inmate's release
- b. existence of collateral contacts that could assist in the supervision
- c. significant disciplinary problems, suspensions or police intervention in the last year
- d. inmate's progress and motivation to participate in his/her Correctional Plan.

Only a significant and sustained change in the inmate's performance or situation justifies an increase or a decrease in the level of intervention based on static factors. Guidelines for adjusting the level are as follows:

a. LOW

- If the previous rating was LOW and there has been no significant changes in the above factors.
- If the previous rating was MEDIUM and there have been significant and sustained improvements in the above factors.

b. MEDIUM

- If the previous rating was MEDIUM and there has been no significant changes in the above factors.
- If the previous rating was HIGH and there have been significant and sustained improvements in the above factors.
- If the previous rating was LOW and there has been significant and sustained deterioration in the above factors.

c. HIGH

- If the previous rating was HIGH and there has been no significant change in the above factors.
- If the previous rating was MEDIUM and there has been significant deterioration in the above factors.

Level of Intervention Based on Dynamic Factors

Reassessing the level of intervention based on dynamic factors begins with the reassessment of each of the dynamic factors, by examining each of the following areas:

- a. progress related to the Correctional Plan
- b. anything else that may affect the intensity of the dynamic factor (e.g., changes in personal situation, health, etc.).

The rating for each dynamic factor is based on the level of need required to address each dynamic factor domain as outlined in Annex D of [CD 705-6 – Correctional Planning and Criminal Profile](#):

- a. **High Need** – Factor seen as high need for improvement
- b. **Medium Need** – Factor seen as moderate need for improvement
- c. **Low Need** – Factor seen as low need for improvement
- d. **No Immediate Need** – Factor seen as no immediate need for improvement
- e. **Asset to Community Adjustment** – Factor seen as an asset to community adjustment.

Reassessment of the overall rating can then be conducted by examining the number and seriousness of the dynamic factors.

The overall rating should change only if there are some changes in the reassessment of the individual dynamic factors. The overall rating may be:

a. 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”

b. HIGH

- Few identified dynamic factors but rated as “HIGH Need for improvement”

- Multiple dynamic factors identified (regardless of degree or severity of needs)

c. MEDIUM

- Any combination of dynamic factor severity and number that lie outside of either the LOW or HIGH guidelines as identified above.

During the reassessment process, it is possible to identify new dynamic factors for which intervention may improve the chances for the inmate's eventual reintegration.

Accountability

Accountability is the level of involvement of the inmate in his/her Correctional Plan in relation to the obligation to modify behaviours identified as being problematic. Attitude, behaviour and insight are critical components to accountability.

The following criteria are used to assess an inmate's level of accountability:

- level of acceptance of responsibility for his/her criminal behaviour
- level of remorse and victim empathy
- institutional adjustment and/or behaviour under community supervision
- conduct that demonstrates respect for other persons and property
- communication to his/her Parole Officer of his/her willingness to engage in his/her Correctional Plan
- active participation in setting and achieving the objectives of his/her Correctional Plan
- an understanding of his/her offence cycle
- an understanding and commitment to his/her relapse prevention
- the meeting of court-ordered obligations.

Overall Level of Accountability

The guidelines for establishing the overall level of accountability are as follows:

LOW – Inmate rejects responsibility for his/her actions and fails to recognize his/her problems. Does not disclose emotional states, display guilt or victim empathy with evidence indicating a high level of denial and cognitive distortions.

MODERATE – Inmate may not fully accept responsibility for his/her actions but recognizes some of his/her problems. Displays some guilt and victim empathy with some evidence of denial and cognitive distortions.

HIGH – Inmate accepts responsibility for his/her actions and recognizes his/her problems. Willing to self-disclose, displays guilt and victim empathy with evidence indicating a low level of cognitive distortions.

Motivation

Motivation is the desire or willingness to change.

The following criteria are used to assess an inmate's progress in relation to motivation:

- recognition that a problem exists with lifestyle, behaviour and resulting consequences
- level of comfort with problem and its impact on the inmate's life
- level of feeling of personal responsibility for the problem(s)
- willingness to change, i.e., expression of wish to change, or intention to fully participate in Correctional Plan
- possession of skills, knowledge required to effect change in behaviour
- level of external support from family, friends or other community members
- past history related to demonstrated change.

Overall Level of Motivation

The guidelines for establishing the overall level of motivation are as follows:

LOW – Inmate strongly rejects the need for change or is unwilling to participate in recommended programs or other interventions.

MEDIUM – Inmate may not fully accept overall assessment but will participate in recommended programs or other interventions.

HIGH – Inmate is self-motivated and is actively addressing his/her problem areas.

Responsivity

Responsivity is the presence of a characteristic(s) that influences the inmate's capacity to benefit from the targeted intervention(s).

Responsivity indicators are identified as "Yes", "No" or "Unknown".

The following factors are used to assess an inmate's responsivity:

- language barrier interferes with learning, work or intervention
- basic reading and/or writing skills problematic
- concentration problems are evident
- introverted/shy
- displays chronic antisociality
- may have a learning disability (LD)
- low self-esteem
- intellectually disabled
- may have other issues that would interfere with programming
- suicide attempts/self-injury history
- grief and loss
- has unique cultural communication style
- expresses interest in strengthening culture, or
- any other factor.

Overall Responsivity is identified as **"Yes"** or **"No"**.

Engagement

Engagement is the demonstrated willingness of an inmate to:

- actively participate in his/her assigned Correctional Plan
- be free of criminal and gang activity while under sentence
- display conduct that demonstrates respect
- obey the penitentiary rules and/or supervision requirement.

Overall Level of Engagement

Determine the inmate's engagement in the Correctional Plan. In order to be engaged there must be a rating of either moderate or high in both accountability and motivation.

Engagement is identified as **"Yes"** or **"No"**.

Reintegration Potential

The reassessment of reintegration potential is based on the analysis of the inmate's progress and the following elements:

- score on the Statistical Information on Recidivism – Revised (if applicable)
- level of intervention based on static factors
- level of intervention based on dynamic factors
- security reclassification
- level of motivation.

The reintegration potential should only change if the above have changed, and should be rated as:

a. LOW

- If the previous rating was LOW and there has been no significant changes in the above factors.
- If the previous rating was MEDIUM and there has been significant deterioration in the above factors.

b. MEDIUM

- If the previous rating was MEDIUM and there has been no significant changes in the above factors.
- If the previous rating was HIGH and there has been significant deterioration in the above factors.
- If the previous rating was LOW and there have been significant improvements in the above factors.

c. HIGH

- If the previous rating was HIGH and there has been no significant change in the above factors.

- If the previous rating was MEDIUM and there have been significant improvements in the above factors.

ANNEX D

CORRECTIONAL PLAN UPDATE GUIDE

The main purpose of the Correctional Plan Update is to report on the inmate's progress in meeting his/her Correctional Plan objectives. When a Correctional Plan Update is prepared because release is being considered the report includes the inmate's proposed release plan and provides sufficient information to support a request for a Community Strategy.

When an Assessment for Decision is prepared, the Correctional Plan Update becomes a key document that both supports the assessment and recommendation as well as decision-making.

The report contains the following sections:

Section 1 – OBJECTIVES/EXPECTED GAINS

Case Status

Provide a **brief** synopsis of the case, including:

- The purpose of the update
- Inmate profile, offence, offence history (*which normally is unchanged from the intake Correctional Plan*)
- Deportation/immigration status (*which normally is unchanged from the intake Correctional Plan*).

Ratings Reassessment and Correctional Plan Progress

Using the Key Ratings Reassessment Framework (Annex C), update the relevant ratings, highlighting any changes that have occurred from the beginning of the sentence. Specify what changes, if any, have occurred concerning the Correctional Plan objectives, including court ordered obligations, commenting on the impact of programs and interventions, updated mental health information, and relevant security information.

- Static Factor Assessment Rating
- Dynamic Factor Assessment Rating
- Accountability Rating
- Motivation Rating
- Responsivity Factor
- Engagement Factor

- Reintegration Potential Rating
- Psychological/Psychiatric Mental Health Information.

Offence Cycle

Update, if required, the offence cycle, and comment on any changes regarding the inmate's understanding of the cycle.

Correctional and Sentence Planning

In consultation with the inmate and other members of the Case Management Team, update the Correctional Plan goals and objectives, including the healing components, where required. Summarize the overall level of progress since the last review.

The objectives will be individualized, structured, measurable, attainable, relevant, and time-bound, while setting the framework for managing the sentence.

Section 2 – ANALYSIS OF CURRENT REQUEST

If release is being considered, summarize the inmate's release plan, including the following:

- the outstanding risk factors requiring intervention in a community setting
- [victim information](#) provided for the purpose of case preparation for pre-release decision-making, including sentencing judge's comments, possible travel restrictions, as well as any [victim statements](#), provided pursuant to [subsection 133\(3.1\)](#) or [134.1\(2.1\)](#) of the CCRA
- the community interventions that would be required to target the outstanding risk factors, and in the case of an Aboriginal offender following (or interested in following) a traditional path, also include any community cultural activities/ceremonies that will be undertaken which will help to assist the inmate, as well as any interventions noted in a section 84 agreement
- specifics of the proposed release plan, including destination (and, if applicable, whether section 84 of the CCRA applies and any resulting agreement with the inmate's home community or alternately another Aboriginal community that engages in section 84), employment, accommodation, family support
- inmate's current financial situation, if relevant to risk.

If completing for statutory release or long-term supervision order at warrant expiry date, review the early discretionary release and accompaniment criteria pursuant to [CD 712-4 – Release Process](#).