State of Vermont Agency of Human Services Department of Corrections	Title: **Offender Case Planning (OCP)**		Page 1 of 13
Chapter: **Programs: Classification & Case Planning**	**#371.05**	**Supersedes:** *#371.05 ORP* dated 11/21/07. **History of Superseded Documents:** #371.05 dated 4/07/03 and 12/30/02; #371.20 dated 12/30/02	
Attachments, Forms & Companion Documents: 1. Offender Responsibility Plan 2. Case Planning Survey			
Local Procedure(s) Required: No **Applicability**: All staff (including contractors and volunteers). **Security Level: "B"-** Anyone may have access to this document.			
Approved: _____ **Andrew A. Pallito, Commissioner**	**April 3, 2012** **Date Signed**	**June 1, 2012** **Date Effective**	

PURPOSE

The purpose of this administrative directive is to establish standards for the classification, case management and planning services for offenders. Effective case management will: 1) enhance public safety, 2) prepare the offender for successful re-entry into the community, 3) address risk/needs of the offender, 4) support offenders in taking responsibility for their criminal behavior and case plan development, 5) provide opportunities for community involvement, 6) connect offenders to appropriate resources, 7) build upon offender strengths and assets, and 8) require case co-management for incarcerated offenders.

POLICY

It is the policy of the Department of Corrections to effectively engage offenders in the case planning process by encouraging them to assume responsibility for developing their case plan and for the harm and impact, their criminal behavior has caused. Offender Case Planning (OCP) reinforces, and focuses community resources on the supervision of offenders.

AUTHORITY

28 V.S.A. § 2a; 28 V.S.A. § 721.

REFERENCE

Agency of Human Services Four Key Practices. *APA Rule #00-10/Policy #256 Community Notification*; Department of Corrections Administrative Directives #76.05 *Positive Reinforcement*, #254.04 *Case Documentation – Electronic*, #323.01 *Inmate Release Money*, #344.01 *Collaborative Community Supervision*, #371.02 *Facility Case Management*, #371.11 *Level C Performance Expectations*, #371.15 *Conditional Re-entry*, #371.17 *Offender Contact Standards for Field Services Programs*, #501.01 *Restorative Justice Programs*, and #502.01 *Victim Notification – Automated (VANS) & Non-automated.* American Correctional Association, Standards for Adult Correctional Facilities, 4th Edition, 2003, Standard 4-4442. American Correctional Association, Standards for Adult Probation and Parole Field Services, 3rd Edition, August, 1998, Standards 3-3125, 3-3131, 3-3132, and 3-3138.

DEFINITIONS

Case Co-management: The process by which an assigned facility Caseworker and field office Probation & Parole Officer engage in collaborative decision-making with an offender's case.

Case Management: DOC activities and programs related to offender case planning, community supervision, and custody. It is the collaborative process of classifying, assessing risk and needs, case planning, applying correctional resources and supporting an offender from detention to discharge.

Conditional Re-entry: A furlough by which a sentenced offender is released to the community under supervision at or beyond their minimum release date.

Correctional Services Specialist (CSS): A staff role both in facilities and field offices; also referred to as Caseworker (facility) or Probation/Parole Officer (PO in the field). Field and facility Correctional Services Specialists share responsibility for case co-management for offenders assigned to their caseload.

Criminogenic Need Areas: Offender need areas, which are related to criminal conduct and which, when addressed in correctional treatment, reduce the overall or specific risk for recidivism (e.g., substance abuse).

High Risk: Statutorily defined as a high degree of dangerousness that a sex offender poses to others. Dangerousness includes the probability of a sexual reoffense.

"Max-out" Case: An inmate who completes their maximum sentence while incarcerated and is released without any Department supervision.

Needs-reducing Program: A correctional program designed to address an offender's criminogenic need areas with the goal of reducing the risk for reoffense.

Offender Case Plan (OCP): The Department document that covers offender case planning, case management and reparative responsibilities. OCP is also the process focused on preparing an offender to re-enter the community, and/or be successful while under community supervision.

Parole: The release of an inmate to the community by the Parole Board before the end of the inmate's sentence, subject to conditions imposed by the Board and subject to the supervision and control of the Commissioner of Corrections.

Pre-approved Furlough (PAF): The legal status in which an inmate is sentenced to serve a term of imprisonment, but is placed by a court on furlough to participate in such programs administered by the Department that reduce the offender's risk to reoffend.

Probation: A form of community supervision where a suspended or deferred sentence is imposed by a court, under which an offender found guilty of a crime upon verdict or plea, is subject to conditions imposed by the court and placed under the supervision of the Commissioner of Corrections.

Programs: The Department of Corrections provides a range of treatment programs to address crime-related need areas (criminogenic needs) and lower the likelihood of recidivism or further criminal conduct by the offender. Treatment programs are offered to offenders in correctional facilities and Probation and Parole offices. Some examples of correctional programs are as follows:

- *Cognitive Self-Change (CSC)* – A Vermont facility and community-based DOC treatment program for offenders convicted of violent offenses.
- *Incarcerative Intensive Domestic Abuse Program (INDAP)* – A Vermont facility-based DOC treatment program for offenders convicted of domestic assault or a domestic-related offense.

- *Intensive Domestic Abuse Program (IDAP)* – A Vermont community-based DOC treatment program for offenders convicted of domestic assault or a domestic-related offense.
- *Intensive Substance Abuse Program (ISAP)* – A Vermont community-based DOC treatment program for offenders convicted of alcohol/drug-related offenses.
- *Vermont Treatment Program for Sexual Abusers (VTPSA)* – A Vermont facility and community–based DOC treatment program for offenders convicted of sexually-related offenses.

Projected Movement Date (PMD): Date and reason that it is projected that an incarcerated inmate will be eligible to be moved to the next phase in the case management plan, or the reasons why the offender is still incarcerated.

Projected Release Date (PRD): The date when it is projected that an offender will be released from a facility.

Reintegration Furlough (RF): A furlough prior to the minimum sentence to prepare an incarcerated offender for re-entry into the community.

Release Sensitive Notification (RSN) Case: A case in which the Department takes additional steps in notifying community partners, victims, and other members of the public who may be impacted by the offender's release. A case is assigned RSN status by a central case staffing based on field and facility staff recommendation. Criteria for RSN status include, but are not limited to, LSI scores, victim and community sentiment, and media or political notoriety of the offense. This does not pertain to sentenced-detained or detained offenders.

Risk Management Caseload: A caseload of offenders on probation, parole, Supervised Community Sentence and furlough that, because of severity of offense and risk to re-offend, require higher supervision and case management services in smaller caseloads.

Supervised Community Sentence (SCS): A court-imposed sentence of incarceration to be served in a community setting subject to the rules of the Commissioner of Corrections. These offenders are under the jurisdiction of the Parole Board.

PROCEDURAL GUIDELINES

1. Philosophy

Effective correctional practices involve the allocation of correctional resources and services based on offender risk to re-offend, offender need areas, sentence length, legal status, and offense severity. The use of standardized risk assessments helps the Department determine which offenders need more services and supervision based on the offender's risk and need, along with the severity of their offense. A primary goal of the DOC is to improve public safety by reducing the risk of offenders and supporting them to become pro-social, contributing members of the community, and law-abiding citizens. For incarcerated offenders, this includes preparing the offender to re-enter the community.

2. Offender Case Planning Overview

Effective case planning is a teamwork approach and the core process by which services are organized to promote, support, and guide offender change and by which community safety is enhanced. OCP is grounded in the key AHS practices: client-centered, results-oriented, strength-based and holistic.

Correctional Services Specialists (CSSs) are needed to support and assist offenders in developing a meaningful case plan according to the conditions of their confinement or supervision, the Department's requirements, and the offender's individual circumstances. The case plan and related processes, including interactions with their CSSs, become the foundation that encourages, guides, and supports offenders in their efforts to become responsible.

For incarcerated offenders the responsibility for developing a comprehensive OCP is shared by the offender, the facility Caseworker, and Probation Officer. It is important for the facility Caseworker and Probation Officer to actively engage offenders for successful re-entry into the community. Facility and field CSSs are expected to work together to ensure that the direction of facility and transition case planning is integrated with field case planning needs. This collaborative expectation is called case co-management.

3. Levels of Case Planning Services (OCP) for Offenders

a. Incarcerated Offenders

i. Section 1, *Classification and Facility Expectations (Attachment 2),* will be completed on all incarcerated offenders serving more than 90 days.

ii. All incarcerated inmates serving a sentence of six (6) months or more will be required to complete Section 2, *Transition and Re-entry Plan,* of the OCP.

b. Community Supervision- Section 3, *Community Case Plan and Field Expectations (Attachment 2);* of the OCP will be completed on all Risk Management cases.

4. Case Co-management –Facility Cases

(Also, see directive #371.02 *Facility Case Management.*)

a. Two (2) CSSs will be assigned to all sentenced and sentenced/detained offenders who are incarcerated: one (Caseworker) from the facility where the offender is located, and one from the field office (Probation Officer) in the sentencing district or where the offender will eventually be supervised.

b. Although the facility Caseworker will work more closely with the offender while they remain incarcerated, both CSSs share responsibility for ensuring that an offender's case plan is complete, related to risk-reduction, and adequately identifies areas of need.

c. Case co-management ends, and the Probation Officer assumes responsibility for case planning services, when an offender is released from a correctional facility to some form of community supervision.

d. In the event that the case co-managers disagree, the issue will be referred to the field Correctional Program Supervisor and the facility Living Unit Supervisor. If the dispute cannot be resolved at this level, the District Manager and Superintendent will be notified. If the District Manager and Superintendent cannot agree on a resolution, they will contact the Director of Community Corrections, Re-entry and Classification to resolve the issue. However, it is expected that any issues can be resolved at the local level.

5. Offender Case Plan Components

a. *Section 1 - Classification and Facility Expectations (Attachment 2)*

This section is to be completed at intake by the assigned facility CSS for all sentenced inmates serving 90 days or more.

b. *Offender Responsibility Plan (Attachment 1)*

i. This section will be completed by the inmate prior to the Section 2 - Transition and Re-entry Plan meeting between the inmate and the field and facility CSSs. If the inmate has issues with reading and writing, the facility CSS should assist the inmate in completing this section.

ii. After the inmate has completed this form, the facility CSS will review it with the inmate to see if any changes need to be made. If necessary, the facility CSS should work with the inmate to help identify a residence, community supports, resources, etc.

iii. After this form is completed, the facility CSS will forward a copy to the field CSS and set up a meeting or other means of communication (e.g., phone conference) to work on Section 2 of the OCP.

c. *Section 2 - Transition and Re-entry Plan (Attachment 2)*

i. Section 2 requires a meeting between the inmate, the facility CSS, and the field CSS. This meeting will be coordinated by the facility CSS as noted above.

a) The purpose is to prepare the inmate for release and to introduce the field CSS and the inmate. This meeting will focus on identifying acceptable housing, obstacles and barriers to release, review of the *Offender Responsibility Plan,* community supports, programming progress and/or needs, community resources available to the inmate, field case planning and field supervision expectations.

b) The facility CSS will assist the inmate to make initial contact with identified community resources and to set up appointments for the inmate within 30 days of their release to the community.

c) Case plans will be updated as circumstances change with the case.

d) Intake appointments and referrals for community resources that have been identified in the *Transition and Re-entry Plan* will be in place within 30 days of release.

ii. Section 2 will be completed on all inmates 180 days prior to their earliest release date except for those listed below.

- Certain inmates will need more time to prepare for re-entry. For the group listed below, the *Transition and Re-entry Plan* will occur at least one (1) year prior to the earliest release date. Those are:

a) Convicted sex offenders;

b) Offenders who will be difficult to transition to the community due to mental health reasons (SFI-designated);

c) Inmates designated RSN;

d) Inmates designated Level C.

d. *Section 3 - Community Case Plan and Expectations (Attachment 2)*

i. This section will be completed by the field CSS within thirty (30) days of intake on all offenders under Risk Management Supervision.

ii. This part of the case plan will address mandatory programming and legal requirements, as well as risk/needs of the offender. Except for Criminal History, any risk /need area, that scores 50% or greater on the LSI-R must be addressed in this case plan.

iii. If the LSI-R is not filled out, or needs to be updated, the field CSS will enter the information in the *LSI-R-Risk Needs* heading of Section 1-*Classification and Facility Expectations.*

iv. The *Community Case Plan* is a living document and should be updated and modified as circumstances change with the offender. This part of the case plan should be reviewed with the offender every 90 days and updated as necessary. The CSS will document each review, highlighting any changes, in the electronic database.

6. Case Planning Requirements for Furlough Violators

When an offender is returned to a facility for violating a condition of furlough, case-planning requirements will be determined by the following:

a. If the offender is returned on a graduated sanction, or after a case staffing their furlough is interrupted for 90 days or less, the field CSS will review and update as necessary Section 3 - *Community Case Plan and Field Expectations.*

b. If the offender has had a case staffing and their furlough is interrupted for 90 days or more, the case co-managers will update the existing offender case plan as needed.

c. If the offender is convicted of a new offense, or has had a case staffing which results in a mandated program needing completion, staff must start the case planning process from the beginning, starting with Section 1 - *Classification and Facility Expectations.*

TRAINING

1. It is the responsibility of the Director of Community Corrections, Re-entry, and Classification/designee, in collaboration with the Director of Facility Operations, the Director of Human Resources Development, Facility Superintendents, and District Managers, to ensure that all relevant staff are trained in this directive.
2. Local Managers will be responsible to train new staff after the initial training.
3. It is the responsibility of the Director of Community Corrections, Re-entry, and Classification and the Director of Human Resources Development to develop and deliver a training curriculum on evidence-based practices, casework, and case management strategies, and core correctional competencies. These trainings will be delivered by departmental staff as well as from experts from outside of the Department. This will include trainings at the Vermont Corrections Institute, on-site trainings and trainings at the Correctional Academy, as well as online training.

QUALITY ASSURANCE

1. All Facility Superintendents and District Managers are responsible for compliance with policy, directive and procedures regarding the custody of inmates and supervision of offenders in the community.
2. All relevant staff will use practices in compliance with policy, directive and procedures regarding the custody of inmates and supervision of offenders in the community.
3. In keeping with best practice, the Quality Assurance Division will monitor for compliance with this directive. To assist with quality controls at the local level, database supports will be explored to assist in identifying plans, pending completion at various stages of the process. In the absence of available database supports, the QA Division will conduct random audits to determine compliance.

OFFENDER RESPONSIBILITY PLAN

Name _____ **PID** _____ **Date** _____

Where will you live upon release?

_____

Who lives at that residence?

_____

_____

Who will be positive support people for you upon release?

_____

_____

What will you use for transportation?

_____

What will you do for employment?

_____

What do you see as risks and how will you overcome the risks while in the community?

_____

_____

_____

Who/What are the people, places and things you must avoid in the community in order to be successful?

_____

_____

_____

Identify your strengths and personal assets.

_____

_____

_____

(Offender Signature/Date)

TEST XXDATA (DOB: 01/01/1964)

No existing OCP surveys found/selected. Will proceed with new survey entry.

Survey for CPLAN: Offender Case Plan (OCP)

Survey #: 0

Survey Date: 03/13/2012 (mm/dd/yyyy) **Site:** CO **Staff:**

#	Question	Answers	Points
	Section 1: Classification & Facility Expectations		
	Facility Caseworker	CSS Name: (upper case)	
	Facility Site	Chittenden CC Northern State CF Caledonia Wk Cmp	
	Sentence	Minimum: (lower case) Maximum: (lower case)	
	Offenses **Show Charges**	Current Offenses:	
	LSI-R and Risk Needs Show LSI-R		
	LSI-R Latest Survey	LSI-R Score: (numeric)	
	Risk/Need Percents	Criminal History: (numeric) Education/Employment: (numeric) Financial: (numeric) Family/Marital: (numeric) Housing: (numeric) Leisure/Recreation: (numeric) Companions: (numeric)	

#	Question	Answers	Points
		Alcohol/Drugs: (numeric) Emotional/Personal: (numeric) Attitude/Orientation: (numeric)	
	Risks needing responses	Education/Employment Financial Family/Marital Housing Leisure/Recreation Companions Alcohol/Drugs Emotional/Personal Attitude/Orientation	

VTPSA Scores

Show VTPSA/VTPSX

	Static 99-R	Score: (numeric)
	VASOR-2	Risk score: (numeric)

DOC Recommended Treatment Packets

	CSC	Yes No	
	CSC Details	Date Completed: 03/13/2012 (mm/dd/yyyy) Date Mailed: 03/13/2012 (mm/dd/yyyy)	
	VTPSA	Yes No	
	VTPSA Details	Date Completed: 03/13/2012 (mm/dd/yyyy) Date Mailed: 03/13/2012 (mm/dd/yyyy)	
	InDAP	Yes	

#	Question	Answers	Points
		☐ No	
	InDAP Details	Date Completed: 03/13/2012 (mm/dd/yyyy) Date Mailed: 03/13/2012 (mm/dd/yyyy)	

Population Management

	OOS Eligible	☐ Yes ☐ No	
	OOS Eligible Details	Med Clear Requested: 03/13/2012 (mm/dd/yyyy) Packet Completed: 03/13/2012 (mm/dd/yyyy) Packet Sent: 03/13/2012 (mm/dd/yyyy)	
	Work Camp Eligible	☐ Yes ☐ No	
	Work Camp Details	Med Clear Requested: 03/13/2012 (mm/dd/yyyy)	
	Notes	Facility Plan Notes:	

Section 2: Transition & Reentry Plan

Proposed Residence

	Approved residence	Address:	

Substance Abuse

SA Details	Appointment info:

Mental Health

MH Details	Appointment info:

Other Need Areas

List other need Areas and plans to address	List & Plan:

Section 3: Community Case Plan & Field Expectations

Field Caseworker	CSS Name: (upper case)	
Field Site	Barre CRSU Barre CCSC Bennington CRSU	

Treatment Programs

CSC	☐ Yes ☐ No	
IDAP	☐ Yes ☐ No	
ISAP	☐ Yes ☐ No	

VTPSA	☐ Yes ☐ No	
BIP/DAEP	☐ Yes ☐ No	

Case Plan

Below are your risk and need areas as defined by the LSI-R. You and your PO will work together to devise a plan to address these areas.

Special Conditions	List Special conditions and how these will be addressed:
Education	List ways to address this Risk/Need area:
Employment	List ways to address this Risk/Need area:
Financial	List ways to address this Risk/Need area:
Family/Marital	List ways to address this Risk/Need area:
Housing	List ways to address this Risk/Need area:

Leisure/Recreation	List ways to address this Risk/Need area:
Companions	List ways to address this Risk/Need area:
Alcohol/Drugs	List ways to address this Risk/Need area:
Emotional/Personal	List ways to address this Risk/Need area:
Attitude/Orientation	List ways to address this Risk/Need area:
Notes	Field Plan Notes:

Signatures:

Offender:

CSS:

Read Form

OFFENDER RESPONSIBLITY PLAN

Name _____ **PID** _____ **Date** _____

Where will you live upon release?

_____

Who lives at that residence?

_____

_____

Who will be positive support people for you upon release?

_____

_____

What will you use for transportation?

_____

What will you do for employment?

_____

What do you see as risks and how will you overcome the risks while in the community?

_____

_____

_____

_____

Identify your strengths and personal assets

_____

_____

_____

(Offender Signature/Date)