

KANSAS DEPARTMENT OF CORRECTIONS

	INTERNAL MANAGEMENT POLICY AND PROCEDURE	SECTION NUMBER 11-106J	PAGE NUMBER 1 of 5
		SUBJECT: DECISION MAKING: Case Management	
Approved By:  Secretary of Corrections		Original Date Issued: 08-17-16	Replaces Version Issued: N/A
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APPLICABILITY:	_ ADULT Operations Only	<input checked="" type="checkbox"/> JUVENILE Operations Only	_ DEPARTMENT-WIDE
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POLICY STATEMENT

Facility case managers shall provide high quality, thorough, case management to all offenders, to include targeted referrals to programming and resources, monitoring progress and identifying/minimizing barriers, and working with the offender in the development of a risk-reducing case plan. Case managers should make every effort to engage internal partners and external community supports such as family throughout this process.

DEFINITIONS

Case Management: The overall management of an offender's case, including addressing risk-reduction through a targeted, goal-oriented case plan which addresses each offender's unique, assessed risk and needs areas.

Case Plan: A set of goals and steps to address risk/needs areas with an offender to reduce the risk of that offender recidivating in the future that includes using motivational interviewing, assessing motivation and readiness, and guiding the offender to participate in risk-reduction programs and services with progress tracked and recorded.

Program Conference: The formal process through which the case manager facilitates the review of the current status of an offender's case management. This process involves discussion and feedback from all other members of that offender's team such as facility staff, program providers, community supervision staff, family members, and other stakeholders as appropriate.

Internal Classification: The completion of the Screening for Victimization and Abusiveness screening tool (within 72 hours of intake and at each 180 day review thereafter), assessing the potential for an offender to be aggressive (particularly sexually aggressive) or vulnerable to victimization (particularly sexual victimization). This information is used to inform housing, bed, work, education and program assignments with the goal of keeping the offenders deemed aggressive separate from those deemed vulnerable.

PROCEDURES

I. Case Management

- A. Each offender admitted to the Reception and Diagnostic Unit (RDU) shall participate in an assessment process, assessing risk/needs using the Youth Level of Service/Case Management Inventory (YLS/CMI) per IMPP 11-113J, completing a PREA Assessment per IMPP 10-103D, and any other assessments and evaluations as necessary.

1. When this process is completed, RDU staff shall prepare a recommended program plan with targeted programming to address risk-reduction. Before transferring the offender from RDU, each offender shall be assigned an incentive level per IMPP 11-101J.
 - a. When a conditional release violator with no new sentence is admitted, an abbreviated process may be used for admission.
- B. Upon completion of the RDU process, the offender will be assigned to a juvenile correctional facility and living unit within that facility at which time they will also be assigned a case manager.
- C. The assigned case manager shall be responsible for the overall case management of that offender, which shall include developing a risk-reduction case plan, facilitating referrals for programming and resources, monitoring the housing/job/education/program assignment of the offender, conducting program conferences; and other elements of case management noted in Section III.B. of this policy.

II. Case Planning

- A. When a case manager is assigned a case, he/she shall:
 1. Review the master file, risk/need profile of the offender, recommendations from RDU, and in consideration of the offender's time to serve, status as a known aggressor or known victim per the screening at admission related to sexual abusiveness and victimization, risk of recidivating (YLS/CMI) risk level), areas of risk/need per the YLS/CMI, level of motivation and ability, and begin development of a risk-reduction case plan.
 2. The case plan should be opened and work should begin on the case plan within seven (7) days of the case assignment.
 - a. The 180-day review process shall suffice for low risk offenders, remembering that the focus should be on reinforcing pro-social behavior and sustained employment/education.
 3. The RDU YLS/CMI score shall be used to develop the case plan. If the offender did not receive an YLS/CMI at the most recent admission, the case manager shall rely upon the most recent YLS/CMI available. If no YLS/CMI has ever been completed on the offender, a YLS/CMI shall be completed by a certified assessor.
 4. The program plan shall be used as recommendations, but in the course of case planning, different programs may be accessed for advancing the case plan when appropriate.
 5. When establishing case plans, referrals to programs and services to advance risk-reduction plans shall be based upon the offender's current risk/need.
 6. Based on the case plan, the case manager shall make referrals to programs and services as needed and per established criteria, working with program providers and the Program Director to get the offender enrolled; helping to keep the offender motivated and engaged; and addressing progress or issues that arise during the course of the program or service.
 - a. When making program referrals, the offender's status as a known aggressor or known victim per the screening at admission shall be considered.
 7. The case plan shall be prepared and stored electronically; with a hard copy signed by the case manager and the offender and entered into the offender's master file at each 180 day conference.
 - a. When the case manager meets with the offender to work on the plan, progress notes shall be made in the plan reflecting updates.

- b. If an offender is transferred from one case manager to another, the sending case manager shall make an entry in the case plan indicating the status of progress on the case plan, including status in any programs; and, the receiving case manager shall continue the work on the case plan, making any modifications deemed appropriate.

III. Case Review

- A. Each case shall have a regularly scheduled program conference, which shall occur every 180 days for all offenders, in addition to the pre-release conference that will occur 30 days prior to the offender's scheduled release.
- B. At the case review described in Section III.A. above, the case manager shall address:
 1. Ensuring housing, job and program assignments are made consistent with screening for sexual victimization and abusiveness.
 - a. When an offender has been identified as a known aggressor or known victim per the screening for sexual abuse and victimization, the case manager shall take that into consideration in making and reviewing housing, job and program assignments.
 - (1) A chronological entry shall be made in case notes at the time of the case review, which specifically reflects that known aggressor or known victim status was considered when such occurs and impacts housing, job or program placement.
 2. Updates to emergency notification, telephone list and visiting list.
 3. The offender's privileges/incentives level for accuracy.
 4. Detainers, including any known pending and including asking the offender about any that may have been overlooked and following up on new information.
 5. The offender's sentence summary, release date, or other related information; and if the offender raises an issue, or there is an apparent question or discrepancy, that shall be reported to Records Office Supervisor and Program Director.
 6. Education/Employment, addressing issues that require attention, and ensuring the employment situation is the most suitable for the offender in consideration of his/her employment needs upon release.
 7. Housing, addressing any issues that require attention, and ensuring the offender's housing situation is the most suitable for the offender.
 8. Victim issues, including domestic violence and orders of protection.
 9. Family, to identify any needs that the offender and/or family has that must be (or are currently being) addressed in order to facilitate a successful release for the offender to the home environment. Family involvement in the offender's case management should be a continual process that begins at intake and continues through release, with the understanding that an offender's default release plan will be to return home unless granted an exception based on specific criteria.
 10. The offender's identification documents, including birth certificate, social security card, driver's license or Kansas identification (unless these are already being addressed as part of the case plan), taking steps to assist the offender in obtaining information and documentation so s/he will have community identification.

11. Programming and treatment, consulting with treatment providers, program providers, and other partners as necessary to determine the status of any treatment or programming in which the offender is currently participating and/or consulting with these providers to facilitate the offender's entry into needed programming and treatment.
 12. If the offender has a diagnosed mental illness, the case manager shall consult with the behavioral health staff at the facility to determine the impact of the behavioral illness on the offender's internal classification and case plan, and ensure that work done on the case is coordinated with behavioral health care, including involving a discharge planner in reentry planning when the offender is eligible for those services.
 13. If the offender would benefit from a transfer to another facility for any reason, the case manager shall make this recommendation to the Program Director.
 14. Any work that needs to be done to further the risk-reduction case plan.
- C. As part of the case review process, case managers may utilize the Case Management Checklist (Attachment A) as a tool, to ensure that all necessary elements of the offender's case management are addressed.
- D. The case manager shall make a case note chronological entry when a significant development or event occurs, unrelated to progress on the case plan which should be documented in the case plan.
- a. Detainers, disciplinary reports, other behavior issues, visitation issues, etc. shall be documented by a case note chronological entry as they often do pertain to the case plan.

IV. Conditional Release Violators, No New Sentence

- A. When conditional release (CR) violators with no new sentence are admitted, RDU may conduct an abbreviated assessment if they are admitted at RDU; thereafter, or in the event the admission is directly to another facility, the case manager shall:
1. Complete any necessary screening relating to sexual victimization and abusiveness.
 2. Review any pertinent documentation from the probation officer to determine what caused the revocation, and meet with the offender to determine the most appropriate place to begin/resume case planning.
 3. Review the previous release plan and begin work to identify what supports or elements should be integrated into any subsequent release plan in order to better support a successful return to the community for that offender. This process should be a collaborative effort including the community supervision staff, family members, and the offender.
 4. If the offender is managed as a sex offender, consult with the treatment provider to identify any issues related to sex offending behavior that should be addressed as part of release planning.

V. Supporting and Reporting Case Management

- A. Each facility shall establish a case management team, made up of a representation of case managers, program providers (KDOC and contract), and the Program Director to address program support of case management, including establishing referral and placement processes, and to track and increase program completion rates and outcomes. This group shall provide local oversight of the processes and content of programs and services for addressing risk/needs, to ensure offenders are assessed, placed, make progress and complete programs as effectively as possible to enhance risk reduction.

- B. The Program Director shall ensure that training targeted to the duties and responsibilities of case managers related to case planning and case management is available, and is current, accurate, and sufficient to provide information and skills for the case managers to manage their assigned cases effectively and engage in risk reduction work with offenders.
- C. Each case manager shall use his/her Case Management Checklist to track progress and status on each case, to ensure case planning is occurring as required, in addition to the 180-day case reviews.
- D. Each Unit Team Manager or Program Director designee shall complete a Case Management Review (Attachment B) with each case manager, at least once per quarter. These case management reviews provide the ability to observe interactions between case managers and offenders as part of case management, allow the opportunity for coaching/feedback, and serve as a mechanism for quality assurance of case management practices. A copy of each completed Case Management Review shall be provided to the case manager whose case was reviewed and to the Program Director.
- E. The Program Director shall hold quarterly meetings with Unit Team Manager(s)/designee(s) or the Corrections Counselor(s) for the express purpose of engaging in planning and problem-solving to support risk-reduction. The Program Director shall provide the Deputy Superintendent with reports from the quarterly meetings, using Attachment C.

NOTE: The policy and procedures set forth herein are intended to establish directives and guidelines for staff and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees or offenders, or an independent duty owed by the Department of Corrections to employees, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure is not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

REPORTS REQUIRED

None.

REFERENCES

IMPP 10-103D, 11-101J, 11-113J

ATTACHMENTS

Attachment	Title of Attachment	Page Total
A	Case Management Checklist	2 pages
B	Case Management Review	2 pages
C	Program Director Quarterly Report to Deputy Superintendent	1 page

CASE MANAGEMENT CHECKLIST

Case Manager: _____ Date: _____

Offender Name / #: _____ Release Date: _____ YLS/CMI Score: _____

1. Have you updated the offender’s case plan? Yes No

a. How many goals are currently active/in progress on the CP? _____

b. Are goals related to the YLS/CMI risk/need areas? Yes No

c. Have you updated the progress notes to reflect the current status of these goals? Yes No

2. Is privilege/incentive level current? Yes No

3. Has a Screening for Victimization and Abusiveness (SVA) reassessment been completed? Yes No

4. Has the offender’s housing assignment been examined, to address any issues that require attention, and ensuring the offender’s housing situation is the most suitable for the offender? If the offender was identified by the Screening for Victimization or Abuse (SVA) tool related to sexual abuse and victimization as a known aggressor or known victim, has this been considered when making housing, job and program placements? Yes No

5. Has community identification (including birth certificate, social security card, driver’s license or Kansas identification) been obtained, or have steps been taken to assist the offender in obtaining information and documentation so s/he will have community identification. Yes No

6. Have detainers been addressed? NA Yes No

7. Has the offender’s education and/or employment status been evaluated, to address issues that require attention, and to ensure that the education/employment situation is the most suitable for the offender in consideration of his/her needs upon release. Yes No

8. Has a Mentoring 4 Success (M4S) referral been considered, or completed? NA Yes No

If so, has a mentor been matched? Yes No

9. Have you consulted with treatment providers and other partners as necessary to determine the status of any treatment or programming in which the offender is currently participating and/or are they working to facilitate entry into needed programming and/or treatment through consultation or referrals with providers? Yes No

Programming Completed: _____

Programming Remaining: _____

Steps Taken/Comments: _____

10. Have you assessed and/or identified any needs that the offender and/or their family have, that must be (or are currently being) addressed in order to facilitate a successful release for the offender to the home environment? Yes No

Comments: _____

EPICS TOOLS

Role Clarification

1. Identify the KDOC goals; public safety offender change.
2. Ask offender what he hopes to accomplish while under supervision.
3. Identify what you hope to accomplish with/for this offender.
4. Define the supervision process; conditions of supervision; negotiable/non-negotiable situations; role of offender, officer, tx provider and other MDT members in parole process.

Behavioral Analysis

1. Explain the document to the offender.
2. Have the offender complete the document.
3. Review the completed document.
4. Interview the offender.
5. Ask the offender what trends he sees and whether the results help identify anything he would like to work on.
6. Begin developing, with the offender, targets to change in an effort to reduce risk.

RACE

Recognize, Avoid, Cope, Evaluate

1. Recognize – Identify one high-risk person, place, or thing related to the Behavioral Analysis Chart.
2. Develop an action plan to avoid the high-risk influence-not a passive process.
3. Develop an action plan for coping with high-risk influence if that influence cannot be avoided.
4. Evaluate the outcome.

CHART

Check-in, Homework, Assess and Apply, Reinforce Teach

1. Check-in: any crisis situations that need to be addressed.
2. Homework: review of any homework assignments.
3. Assess & Apply: help the offender identify foreseeable real-life situations in which the offender can use the skill.
4. Reinforce: reinforce any progress the offender has made.
5. Teach: corrective feedback and/or structured learning.

Effective Use of Reinforcement

1. Tell the offender what they did that you like and why it is important.
2. Ask the offender to describe the short- and long-term benefits of continuing to use the behavior you are discussing.
3. Contract with the offender to use the skill/behavior you are discussing in the future again.

Effective Use of Disapproval

1. Identify inappropriate behavior, tell offender in an objective manner that you disapprove of what was said or done.
2. Ask the offender to explore the short- and long-term consequences of continuing to engage in that behavior.
3. Ask the offender to identify and discuss pro-social alternatives that could replace the unacceptable behavior.
4. Contract with the offender to use the pro-social alternative in the future.
----- If intervention is administered add steps 5 and 6 -----
5. Tell the offender what the consequences will be.
6. Deliver the consequences.

Effective Use of Authority

1. Identify a situation where the offender is in a decision-making position.
2. Present the available choices and the attendant consequences of each choice.
3. At the next available opportunity follow-up by determining if objectives were met.
4. In general, be sure to look for and reward compliance.

Teaching the Cognitive Model

1. Identify a problem behavior or situation that would benefit from the cognitive model and offer the model as a solution.
2. Explain the three main components of the cognitive model: external forces, internal thoughts, behavior.
3. Ask the offender to examine his situation using the cognitive model.
4. Contract with the offender to use the cognitive model in a future situation.

Problem Solving

1. Stop and think and identify the problem.
2. Clarify goals.
3. Generate alternative solutions and choose the best option.
4. Develop the Plan.
5. Implement the plan.
6. Evaluate the plan.

CASE MANAGEMENT REVIEW

Case Manager: _____ Reviewer: _____ Date: _____

Offender Name / #: _____ Release Date: _____ YLS/CMI Score: _____

- 1. Is there a current case plan for the offender? **Yes / No**
 - a. How many goals are active? _____ **Yes / No**
 - b. Are goals related to the YLS/CMI risk/need areas? **Yes / No**
 - c. Are there progress notes? **Yes / No**
 - d. Is the CM identifying and using resources effectively to support the plan? **Yes / No**
- 2. Is privilege/incentive level current? **Yes / No**
- 3. Are 180-day conferences completed timely and accurately? **Yes / No**
- 4. Has a Screening for Victimization and Abusiveness (SVA) reassessment been completed? **Yes / No**
- 5. Has the offender's housing assignment been examined, to address any issues that require attention, and ensuring the offender's housing situation is the most suitable for the offender? If the offender was identified by the Screening for Victimization or Abuse (SVA) tool related to sexual abuse and victimization as a known aggressor or known victim, has this been considered when making housing, job and program placements? **Yes / No**
- 6. Has community identification (including birth certificate, social security card, driver's license or Kansas identification) been obtained, or have steps been taken to assist the offender in obtaining information and documentation so s/he will have community identification. **Yes / No**
- 7. Has the CM assessed or identified any barriers for the youth or their family that must be (or are currently being) addressed in order to facilitate a successful release for the youth to the home environment? **Yes / No**
- 8. Have detainers been addressed? **Yes / No**
- 9. Has the offender's education and/or employment status been evaluated, to address issues that require attention, and to ensure that the education/employment situation is the most suitable for the offender in consideration of his/her needs upon release. **Yes / No**
- 10. Has a Mentoring 4 Success (M4S) referral be considered, or completed? If so, has a mentor been matched? **Yes / No**
- 11. Has the case manager consulted with treatment providers and other partners as necessary to determine the status of any treatment or programming in which the offender is currently participating and/or are they working to facilitate entry into needed programming and/or treatment through consultation or referrals with providers? **Yes / No**
- 12. Is the case manager using multi-disciplinary teams or other resources to address problem cases? **Yes / No**
 - a. Are the details of these mutli-disciplinary meetings documented in case notes? **Yes / No**
- 13. Does it appear that the offender's case management and case plan are consistent with the offender's identified high risk/needs? **Yes / No**

Comments:

INTERACTION:

After observing the interaction between the case manager and offender regarding case planning,

- 1. Is the case manager addressing risk/need areas?
- 2. Is the case manager engaging and motivating the offender?
- 3. Is the case manager responding to resistance and behavior appropriately/effectively?
- 4. Did the case manager use any of the EPICS tools during the observed interaction?

Comments:

OVERVIEW:

Two strengths:

Two areas for growth:

Reviewer Date

Case Manager Date

PROGRAM DIRECTOR QUARTERLY REPORT TO DEPUTY SUPERINTENDENT

Number of Case Management Reviews completed this quarter.

- a. # with case plans: _____
- b. # with 2 risk-reduction goals: _____
- c. Observations about resource use: _____
- d. Observations about case planning: _____

What risk reduction goals did the facility focus on this quarter?

What barriers to risk reduction did the facility identify this quarter, and how were they addressed?

What key issue(s) did the Case Management Committee address this quarter, with what outcome(s)?

Do you/the Unit Team Managers/Corrections Counselors have recommendations for policy or procedure issues to review to continue implementing risk reduction?

How would you rate the capacity of the unit team staff to deliver risk reduction services and strategies with offenders at this time, 1 being low, 5 being high?