



KANSAS DEPARTMENT OF CORRECTIONS

	INTERNAL MANAGEMENT POLICY AND PROCEDURE	SECTION NUMBER	PAGE NUMBER
		14-113A	1 of 5
		SUBJECT:	
		PAROLE SERVICES: Case Plans	
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POLICY STATEMENT

For every offender, a case plan shall be established that identifies efforts needed to reduce criminogenic risk area(s) and reinforce or strengthen prosocial factors. The factors to be addressed are to be determined by evaluation of the LSIR domain scores and additional sources which provide relevant information. Special Conditions and interventions which relate to criminogenic risks/needs are considered part of the case plan. (4-APPFS-2A-08)

As part of the case plan, goals and action steps shall be developed with each offender to identify specific actions necessary to reduce criminogenic risk/need area(s). The goals and actions steps shall be reviewed regularly with the offender. (4-APPFS-2A-09)

The case plan shall serve as the basis for the type of contacts made, and shall be revisited for purposes of monitoring progress. Changes in the plan shall be made as necessary to respond to events or circumstances that impact the offender's criminogenic risk and needs, and a range of rewards and sanctions shall be used to respond to progress or lack of progress under the plan.

DEFINITIONS

Case Management: A comprehensive approach to the post-conviction supervision of offenders to reduce risk and support reintegration by assessment, development, and implementation of programs and interventions.

Case Plan: A document generated in TOADS by a parole officer or case manager which includes information about an offender's LSIR scores, strengths, risks, goals and action steps. The goals included in the plan are negotiated by the offender and parole officer toward reduction of criminogenic risk. Conditions of supervision which target specific domains and risk reduction efforts may be included in the plan.

Case Plan Report: A report generated in TOADS which is provided to the offender to facilitate working on the goals of the case plan. The Case Plan Report consists of an offender's name, parole officer's name, identified problem(s), goals, and the action steps to be taken.

Criminogenic Need: Dynamic factors of the offender that, when changed, are associated with changes in the probability of recidivism.

EPICS: An acronym for Effective Practices in a Correctional Settings, which includes a set of verbal and written tools for use by parole staff in their work with offenders.

Level of Service Inventory-Revised (LSI-R): The LSI-R is an objective, 54-item risk/needs assessment instrument composed of ten subcomponents that contain both static and dynamic risk factors. The instrument is a quantitative survey of attributes of offenders and their situations relevant to level of service decisions. The LSI-R provides a consistent and valid method of predicting risk to re-offend and a reliable means of measuring offender change over time through reassessment.

Need: The requirement for some type of intervention to reduce criminal behavior.

Risk: The potential of an offender engaging in unlawful behavior.

PROCEDURES

I. Development of the Case Plan

- A. Parole Officers shall develop or update a written case plan for offenders who are on the moderate or high supervision levels.
 - 1. The case plan, including the offender's initial goal and action step(s), must be completed within 45 days of the offender's release or acceptance for supervision Kansas via the interstate compact.
 - 2. The case plan should be entered in the designated format in TOADS
 - a. If case plan goals and action steps exist in TOADS, they should be reviewed to determine applicability, and updated or closed as needed.
 - 3. A multi-disciplinary team approach shall be used to develop and monitor the case plan for offenders whose supervision and/or case management is shared (parole, reentry program, contract providers).
- B. Written case plan goals and action steps are not required for offenders on the low supervision levels, but discussion regarding the offender's strengths and risk areas should occur within 45 days of release and as needed throughout the supervision period.
 - 1. The issues discussed with the offender shall be documented in contact notes, including:
 - a. The offender's risk and need areas, based on domain scores from the most recent LSIR assessment or other available information, and the steps to be taken to reduce or manage them.
 - b. The offender's strengths and protective factors, and methods for maintaining and/or strengthening them.
- C. If an offender is transferred from a low supervision level to active supervision and an increased supervision level (via LSIR or override, per IMPP 14-111), a case plan should be completed within 30 days of the change in supervision level.

II. Identifying Risk Factors for the Case Plan

- A. Risk or need factors selected for focused work should be determined on a case by case basis, considering the following:
 - 1. Risk and need areas should be identified for targeted work from the following sources:
 - a. High scoring domain(s) from the most recent LSIR
 - b. Antisocial attitude and/or antisocial behaviors.

- c. Criminogenic risks or needs that are identified by other reliable sources or assessment tools.
 - (1) The EPICS Behavior Analysis tool is encouraged for use to identify high risk behaviors which may then be reflected in a case plan goal and/or action step.
 - (2) A completed EPICS R-A-C-E document may be the basis for a case plan goal, or can be used as an action step(s) for offenders in their efforts to meet a risk reduction goal.
- 2. Decision making regarding areas to target may include personal factors, such as the offender's current circumstances and any immediate concerns or needs, the offender's willingness to address specific issues, the viability of work in a specific area based on the availability of resources or other factors.
 - a. Should a domain area that is not high scoring be selected as a target, there must be documented, objective evidence to support the selection. The evidence and rationale for the selection should be documented in the contact notes.
- 3. Conditions of supervision or programmatic requirements that have been imposed, intended to address a specific domain, should only be used as an offender's case plan goal if requested by the offender, and when addressed in a manner that focuses on personal risk reduction efforts rather than only compliance.

III. Goal Development

- A. Goals and action steps shall be developed mutually, with input from the offender and the Parole Officer.
 - 1. Goals should focus on risk reduction and target criminogenic risks/needs that the offender is willing to work on.
 - 2. Goals shall be specific and identify the change in circumstance, situation, or behavior that will reflect that the goal is met. The goals shall be well defined and measurable, so that specific tasks to meet the goal can be stated.
 - 3. Goals and action steps should be written and discussed in a manner that represents the offender's perspective.
- B. A Case Plan Report shall be generated and given to the offender when goals and action steps are developed, or if significant changes are made to existing goals.

IV. Monitoring Case Plan Goals

- A. The contacts made with the offender pursuant to IMPP 14-117 shall be driven by the case plan, both in type and content.
 - 1. The parole officer shall be familiar with the contents of the case plan prior to any scheduled contact with the offender so that progress toward goals can be discussed.
 - 2. Review of the case plan with the offender shall occur as needed and no less than once per month.
- B. New goals and/or action steps should be added as needed, or at any time, as others steps are completed or closed.

1. Case plan goals should be reviewed after each LSIR reassessment to ensure that the previously selected domains and any goal/action steps are consistent with current risk/need areas and offender circumstances.
- C. Progress toward the goals shall be tracked, discussed and recorded. Documentation of case plan progress and issues shall be made in the progress note section of the case plan, or in contact notes.
1. Contact notes that contain information about case plan progress shall be indicated by placing a mark in the box marked "contains case plan information."
 2. Information regarding required programs or interventions shall be documented in the conditions and/or interventions database in TOADS.
 3. Termination information shall be entered in TOADS upon the closing of each action step and/or goal.

V. Responding to Behavior

- A. Parole Officers and Case Managers should use motivational interviewing and other methods to encourage and motivate offenders to work toward personal goals and risk reduction activities.
1. If a significant goal is reached, the parole officer shall identify a means of acknowledging and rewarding the accomplishment, such as through a memo of recognition of achievement, input from the supervisor, relaxing some condition of supervision, verbal acknowledgement, or otherwise, and shall record this activity in the contact notes.
 2. Parole staff are encouraged to work together by units or offices, to identify a range of "other appropriate recognition" strategies to augment the system of encouragement and rewards. Creative brainstorming, offender surveys, or other means should be used to make available a comprehensive range of affordable and effective recognition strategies to reinforce and reward desirable behavior and the accomplishment of tasks and goals under the case plan.
 3. If progress is not being made on a given goal, the parole officer shall discuss what is causing the lack of progress with the offender, diagnose the situation, staff it with a parole supervisor when necessary, and identify new strategies to attempt to recommence progress and address how to remove barriers to progress. Adjustments shall be made to the case plan when this occurs reflecting the new strategy(ies).
 4. Offender goals and action steps included in a case plan are designed to help guide the offender toward successful community interaction and are not release conditions. Therefore, a lack of effort or progress toward completion of a personal goal is not a violation of release conditions. It may, however, be considered when evaluating the overall compliance and cooperation of an offender during a period of supervision.
 5. Failure to comply with conditions of supervision (required activities or programs) that are included in a case plan should be addressed according to IMPP 14-137.

VI. Resource Development

- A. Each parole office shall develop a strategic plan for developing resources within the community to address the assessed and targeted criminogenic risk/needs of the offenders under supervision by that office.
- B. Parole supervisors shall take the lead in this effort, and shall assign such tasks to each parole officer as are necessary to fulfill this requirement.

- C. Periodic meetings shall be set by parole supervisors within the office to address the development and implementation of this plan.
- D. The strategic plan shall address the means of accessing resources, identify gaps in resources, and otherwise identify what is needed to enable parole staff to access resources.
- E. An active role by each parole officer shall be defined and encouraged, and positive effort toward resource development shall be acknowledged as part of the employee's performance.
- F. Resource development shall be guided by information tracked and reported regarding subscale/dimension scores on the completed LSI-R's, which reflect criminogenic risk/need.
- G. Included in resource development shall be the option of parole officers receiving training in the delivery of services, such as cognitive training, life skills, employment preparedness, and working in teams to deliver these services to offenders.

NOTE: The policy and procedures set forth herein are intended to establish directives and guidelines for staff and offenders and those entities who 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 14-111; 14-117; 14-137
4-APPFS-2A-08; 4-APPFS-2A-09

ATTACHMENTS

None.