KANSAS DEPARTMENT OF CORRECTIONS

Kansas Department of Corrections	**INTERNAL MANAGEMENT POLICY AND PROCEDURE**	**SECTION NUMBER** 14-146A	**PAGE NUMBER** 1 of 7
		SUBJECT: PAROLE SERVICES: Case Management and Caseload Review Process	
Approved By: Interim Secretary of Corrections		**Original Date Issued:**	01-27-16
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APPLICABILITY:	X **ADULT Operations Only**	_ **JUVENILE Operations Only**	_ **DEPARTMENT-WIDE**

POLICY STATEMENT

Parole Services shall conduct periodic reviews and evaluation to ensure that parole officers and case managers are meeting policy expectations and are providing effective case management. The methods of review may include, but are not limited to mini-audits, direct observation, the review of audio or video interactions with offenders, case management reviews and caseload audits. (4-APPFS-3A-27) These formal reviews shall occur in addition to the ongoing daily supervision of the Parole Officer and discussion regarding individual cases.

Parole Officers shall be advised of the results of all formal reviews and audits, and be provided with resources and information that may be needed to support, enhance or reinforce work performance.

DEFINITIONS

Administrative Review: Review of data, reports, OMIS/TOADS entries and other information to determine whether Parole Officers are complying with administrative policies and procedures, including those related to data entry.

Audio/Video Review: The review of a parole officers recorded interaction with an offender. The review may include the use of a rating process to document the methods and communication skills used during the interaction.

Case Management Review: A review of randomly selected offender files, and the case management activity to determine whether a case plan has been developed consistent with the offender's assessed criminogenic risk and needs. The review shall also consider whether case management, supervision strategies, and contacts are carried out consistent with policy requirements and case management needs.

Caseload Audit: The formal review of a caseload to evaluate caseload management processes and determine if offender supervision and administrative requirements are being conducted as expected. An audit includes the use of information generated by computer for an administrative review and the review of individual case files to evaluate case management and file maintenance practices.

Mini-Audit: A review that summarizes and evaluates parole officer efforts in the supervision and case management of an individual offender's case.

Observation Review: A review that is based in the observation of a parole officer or case manager and their interactions with an individual offender, or in their role as a facilitator of an offender group or program. The observation can be direct, or through the use of audio or video recordings.

Offender File: Includes the hard copy file maintained by the Parole Officer regarding the offender, as well as any information in OMIS or TOADS relevant and necessary to determine the case management strategy for an

offender. The file also includes offender related information that is contained in external systems that are utilized in the course of business such as OffenderLink and the ICOTS website.

PROCEDURES

I. Administrative Reviews

A. Parole Supervisors and Parole Officer II's who serve in a supervisory role shall periodically observe and/or the work of parole officers, and review documents for supervisory purposes, and to coach, mentor, and assist them in carrying out case management practices.

B. Reviews shall address both administrative and case management practices. This ongoing reviews and evaluations shall focus on the Parole Officer's responsibility to provide supervision that addresses the offender's individual assessed criminogenic risk and needs, maintain the offender case file, conduct timely, accurate and complete data entry, and other administrative requirements related to supervision and case management.

C. Reviews and observation processes should include but is not limited to:

1. Direct observation of offender contacts and classification interviews

2. The review of data, reports, and OMIS/TOADS entries.

3. The review of audio or video tapes that contain interactions with offenders.

II. LSIR Inter-rater Reliability Process

A. In order to ensure accuracy in the LSI-R interview and scoring process, and in accordance with IMPP 11-113, inter-rater reliability assessments shall be conducted.

1. Completion of the inter-rater reliability assessment shall be conducted during the offender assessment interview and shall include independent scoring and a feedback session with the assessor/officer involved.

2. The Skills Developer shall, on an annual fiscal year basis, complete an inter-rater reliability assessment and provide feedback with each Parole Supervisor and any Parole Officer II who serve in a supervisory role. The Skills Developers shall work with each Parole Supervisor and Parole Officer II as assigned by the Lead Skills Developer or Staff Development Manager.

3. The Parole Supervisor shall conduct an inter-rater reliability assessment for each Parole Officer II and Parole Officer I under his/her supervision within one (1) year of their LSIR certification.

a. Additional inter-rater reliability assessments will be completed on staff when a need is identified by the Caseload Audit process or other supervisory reviews.

b. As determined by the Parole Director, Parole Officer II's who serve in a supervisory role may be directed to conduct inter-rater reliability assessments with Parole Officer I's, in lieu of the Parole Supervisor.

4. These inter-rater reliability assessment requirements also apply to Reentry and program supervisors whose staff conduct LSIR's, and contracted LSI-R assessors and their subordinates.

5. Inter-rater reliability shall be defined as a 2-point variance, which means that the total score should be no greater than 2 points higher or 2 points lower than what is considered to be the correct or "true" score.

a. Should the Parole Supervisor/Parole Officer II and Parole Officer be unable to reconcile differences in the LSI-R scoring as defined above, the assigned Skill Developer shall be contacted for guidance. If necessary, an additional inter-rater reliability assessment shall be conducted, and appropriate guidance provided as necessary, which may include re-certification on administration of the LSI-R.

III. Observation Reviews

A. The observation and review of a parole officer and his/her case management interactions may occur by direct observation, or through the use of audio or video recordings.

1. Direct observation may occur during a personal contact with an offender, telephone contact, or during interaction that occurs in a group setting.

2. Audio and/or video recordings may be made during offender interactions for review at a later time.

3. Observation reviews may be informal or may include the use of a formal assessment and rating.

IV. Mini Audits

A. Mini-audits shall be conducted as a way to review the status of individual offender cases, and to evaluate the efforts of the parole officer. The mini-audit process must include the provision of relevant feedback, guidance or reinforcement to the parole officer.

B. The Parole Supervisor, or POII as designee, shall conduct mini-audits for each parole officer during the year.

1. The number of mini-audits to be completed shall be no less than four (4) per parole officer, per calendar year. Additional audits may be required at the discretion of the Parole Director.

2. The number of mini-audits required per parole officer may be pro-rated and reduced, if a parole officer has not been on the job during a full calendar year.

V. Case Management Review

A. Parole Supervisory staff or designated auditors shall conduct reviews of offender files to assess case management practices of Parole Officers and compliance with policy requirements.

B. A minimum of four (4) files per officer shall be reviewed during the caseload audit. Additional files may be reviewed at the discretion of the supervisor and/or Parole Director, to assist an officer, improve performance, to follow up on a previous review, or for other legitimate supervisory or management purposes.

C. Each Parole Supervisor, or other staff member responsible for conducting file reviews, shall develop and implement a system that shall ensure that additional case management and administrative reviews occur as required and as needed.

1. If the Case Management Review is conducted outside of a Caseload Audit, the Parole Supervisor shall review and discuss with the Parole Officer, the outcome of the audit, including any identified actions needed as listed on the individual Case Management and Administrative Review Forms, and develop a follow-up plan to be completed by the Parole Officer as needed.

D. The review shall be completed using the Case Management and Administrative Review Form in TOADS (Attachment A).

1. A copy of each completed review form shall be retained in the case file reviewed.

2. For reviews that are completed as part of the audit process, a copy shall be provided to the Deputy Parole Director or designee as part of the audit summary.

E. As part of the Case Management Review process, the reviewer shall conduct an administrative review utilizing information available through the offender file and available reports to review the quality, completeness, timeliness and compliance with policy and procedure, including data entry requirements on the following topics:

1. Risk/needs assessments, including targeted domains;

2. Employment documentation and notification;

3. OMIS/TOADS entries;

4. Contact notes;

5. Violations/Interventions;

6. Drug testing;

7. NCIC entries;

8. Supervision fees, restitution, and other court ordered debts;

9. Community and victim issues, including third party notification;

10. External data systems such as OffenderLink, ICOTS, and GPS; and

11. Closing summaries shall be reviewed to determine if they:

a. Were completed in a timely manner;

b. Address the reasoning for the revocation, including specifically a discussion about the offender's level of risk; and,

c. Provide information about the offender's next release plan, reflecting that the Parole Officer addressed and assisted in the development of the release plan as appropriate and relayed information for the facility to follow up in completing the release plan.

F. An abbreviated case management review may be conducted when, due to a specialized caseload or other work related factors, there is a limited amount of work to review that was conducted by the parole officer being reviewed. For example, the review of a case that is on a jail or felony monitoring caseload might consist of a review of contact notes, the OMIS movements and compliance with policy and procedure since acceptance of the case.

VI. Caseload Audits

A. New Parole Officers shall have an audit of their caseload within 15 months of placement in that job classification.

B. Additional audits shall be conducted for each parole officer once every two (2) years, or more frequently if a need is indicated.

1. A caseload audit may be waived by the parole director for a parole officer whose previous audit(s) indicated a high quality of case management, an understanding of requirements and compliance with policy requirements.

C. The caseload audit process shall consist of:

1. A review of the following information and/or reports:

   a. A caseload report from OMIS: to determine caseload size, supervision levels, and any LSIR assessments due.

   b. Due/Overdue Good Time Awards: to determine any Good Time delinquencies.

   c. A Caseload Report form in TOADS: to confirm that timely contacts have been made in each case, and to determine the status of case plans for the caseload.

   d. Employment Status Report: to determine the employment and employer notification status for offenders on the caseload.

   e. Contact Activity Reports.

   f. Assigned Reentry Plans in TOADS.

   g. OffenderLink and ICOTS data, where relevant.

   h. Additional information shall be reviewed from TOADS, OMIS and the case file, as needed, to gain information required for the audit.

2. Conduct Case Management Reviews on a minimum of four (4) cases that are assigned to the caseload and have been supervised by the Parole Officer being audited.

   a. The cases reviewed should be selected from the caseload in a manner that allows for the review of various types of cases, as available. For example, Kansas cases, interstate compact cases, and a case that has been through the revocation process.

3. Information from the documents, computer views and reports and shall be reviewed, evaluated, and summarized on the Caseload Audit Summary.

4. An abbreviated caseload audit process may be used when, due to a specialized caseload or other factors, there is a limited amount of work to review that was conducted by the parole officer being reviewed.

D. Auditor Identification and Audit Schedule

1. Whenever possible, designated auditors shall be used to complete caseload audits for a parole region or other designated area. In the absence of a designated auditor, the Parole Director or designee may assign Parole Officer II's or Parole Supervisors to complete audits.

2. Designated auditors are responsible for establishing an audit schedule that fulfills policy expectations for the timely completion of audits on the Parole Officers and other caseload carrying staff in their assigned area.

   a. The Parole Director or designee should advise the auditor of preferences or circumstances that may impact the annual audit schedule, or when/if there is a need for an unscheduled or special audit.

   b. Parole Officers may be notified in advance when their caseload is scheduled for an audit but should not be advised in advance of the specific case files that will be subject to Case Management Review.

3. When possible, the audit process should include a site visit to the office where the caseload being audited is managed to both facilitate the audit and allow for evaluation of the case files reviewed, overall file maintenance, file storage and organizational processes.

a. If a site visit is not feasible, the auditor may request that a local POII or Parole Supervisor assist with the audit functions that need to be performed on-site or provide information to the auditor regarding the areas of review.

E. Audit Documentation and Rating

1. Caseload audits shall be documented on the Caseload Audit Summary form in TOADS (Attachment B) and upon completion be provided to the Deputy Parole Director or designee.

a. All TOADS and OMIS reports generated for the audit shall be retained in TOADS, or with the Caseload Audit Summary form.

b. Copies of the Case Management Review forms shall be retained with the Caseload Audit Summary.

2. The Deputy Parole Director or designee shall review the Audit Summary and provide comments to the Parole Supervisor within 14 days. The Parole Director or designee shall also provide a rating(s) of the audit contents based on his/her overall impressions. Ratings shall be either Needs Improvement or Meets Expectations.

3. The Parole Supervisor should discuss the results of the audit with the Parole Officer within 14 days. Positive feedback should be provided for good work and corrective action taken when needed.

4. The auditor(s) may provide feedback and coaching information to the parole officer being audited at the conclusion of the audit and on an ongoing basis.

a. A discussion between the auditor and parole officer is encouraged, at the completion of the audit, to provide feedback about the audit and any guidance or reinforcement that may be necessary.

IV. Feedback to Officers

A. Following each of the reviews indicated in this policy, the Parole Supervisor/Parole Officer II and/or assigned skills developer, as applicable, shall provide written and/or oral feedback to the Parole Officer.

1. This feedback shall address areas of strength, areas needing improvement and any corrective action needed and shall be documented in the supervisory file.

a. If corrective action is required, the Parole Supervisor/Parole Officer II shall designate a date for follow up for review to determine compliance.

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

K.S.A. 75-5216
IMPP 11-113
APPFS 4-APPFS-3A-27

ATTACHMENTS

Attachment	Title of Attachment	Page Total
A	Case Management and Administrative Review Form	3 pages
B	Caseload Audit Summary	6 pages

CASE MANAGEMENT AND ADMINISTRATIVE REVIEW FORM

Offender Name and Number (Last name, first name, #):
Date of Release: Current Discharge Date:

PO Assigned & Date of Assignment: Date of Last File Review:

Offender Information Most Serious Active Crime of Conviction: Substance abuse history (Y/N): LSI-R score: Risk level:	***Action Needed***
Risk & Needs Assessment *(Interviews between parole officers and offenders are documented in TOADS contacts. Are assessments timely and accurate? Have targeted domains been identified correctly? Does scoring of the LSI-R coincide with information contained in the LSI-R notes and file (including TOADS and OMIS) documentation?)* Comments:	
Case Plan *(Has a Case Plan been completed that identifies the targeted criminogenic risk/needs to be addressed? Are the goals and tasks clear and attainable and relevant to the targeted risk/needs? Is the plan current, dynamic, and used to shape contacts and overall case management? Is progress noted? Are successes addressed, and are adjustments made as necessary when progress does not occur?*) Comments:	
Contacts (Are minimum contacts made as well as additional information necessary for the case plan? Are the contacts effective, relevant, and used to promote pro-social change and to advance the case plan? Does the substance of the contacts indicate that the officer is familiar with effective correctional practices, is able to engage the offender in carrying out the case plan successfully, and that the officer is addressing criminogenic issues during these contacts as appropriate? Are the contacts entered within the 5 day time frame allotted?) Comments:	

Resource Management (Has the officer taken steps to identify and access resources needed for the case plan, requiring the offender to also participate in the effort? Are provider and community contacts being made to ensure that the resources are accessed as needed to address the offender's targeted risk/needs? Is the officer available as a resource when/as appropriate?) Comments:	
Offender Employment (Is contact made with the employer that supports sustained employment? Is current employment information reflected in the employment entry in TOADS? Has employment notification been made timely and accurately, identifying all relevant criminal history? Date?) Comments:	
Prisoner Review Board and/or Court Requirements (Special Conditions) *(Are special conditions by the PRB or court addressed in a timely and effective manner? If conditions are imposed that are not supportive of the case plan, has that been addressed with the appropriate authority? If special conditions are required to support case management in this case, have they have been included and properly documented?)* Comments:	
OMIS Entries *(Are movements entered, and are they accurate and timely? Are jail tracking movements completed with accurate dates cited? Does the offender supervision type accurately reflect the level and type of supervision?)* Comments:	
TOADS Entries (Excluding Violations and Interventions) *(Have accurate entries been made in the following databases: Demographics, including offense information for compact cases; offender address; offender driver's license number and status, SMTs? Has good time been addressed and information been relayed to the supervisor as needed? Are closing summaries timely and comprehensive? Do they address the revocation rationale as related to risk?)* Comments:	
Violations and Interventions (Are violations identified and documented in a timely manner? Are interventions made and documented? Is each violation met with a response within three (3) days from when the violation is discovered? Are responses to violation appropriate given the offender's level of risk and the circumstances of the violation?) Comments:	

Substance Abuse Testing, NCIC Entries & Supervision Fees *(Have an appropriate number of drug tests been completed based upon the offender's history of abuse? Has the offender been entered into the NCIC parole supervision database? Have supervision fees been appropriately addressed with the offender by the officer?)* Comments:	
Community & Victim Issues (Have appropriate third party notifications been made and documented? If restitution is owed, has this been addressed with the offender, and has a plan been developed? Have victim issues been addressed appropriately and documented? Does the officer's case management reflect an awareness and understanding of community and victim issues?) Comments:	
Other Issues Comments:	

Notes:

Follow up required:

Reviewed by: Date: Follow up due by:

cc: Supervisor's File; Parole Director

Caseload Audit Summary

Parole Officer Name: _____

Date of Audit: _____

Data from the Contact Activity Reports:

	Month 1 _____		Month 2 _____		Month 3 _____		Month 4 _____	
	Contacts entered by the officer	Contacts entered for the caseload	Contacts entered by the officer	Contacts entered for the caseload	Contacts entered by the officer	Contacts entered for the caseload	Contacts entered by the officer	Contacts entered for the caseload
Number of offenders on caseload:								
Number of contacts entered:								
Administrative								
Attempted								
Automated Reporting								
Collateral								
Detainer								
Employment								
Employment Verification								
Field								
Group Rptng								
Home								
Intake Contacts								
Jail								
Mail								
No Show								
Office								
Offender Identification								
Other								
Release Planning								
Surveillance								
Telephone								
Residence Verification~~s~~								
Violation Info								

Total Number of Contacts Entered:								
Number of offenders with no contacts during the time frame:								
Number of offenders who do not have any contact entries:								

Caseload Audit Summary

Caseload size:

Supervision Level	*Number of Offenders*
High:	
Moderate:	
Low -Person:	
Low:	
Unclassified:	
Total Caseload:	

LSI-R Assessments:

Any delinquent assessments? ☐ No ☐ Yes If yes, how many? _____

Comments:_____

Employment Status

Number of employed offenders:
Number of unemployed offenders:
Number of offenders with no employment status indicated:
Number of employed offenders with no Employer Notification entry:

Case Plan Goals and Action steps

Number of offenders with case plan goals:
Number of offenders without case plan goals:
Number of offenders whose case plan goals have not been reviewed as required:
Are goals and action steps thorough and well written?
_____

Number of Case Plans reviewed: _____

Interventions

	Month 1 _____	Month 2 _____	Month 3 _____	Month 4 _____
Number of interventions entered:				
Number of offenders with interventions entered:				
Number of offenders with no interventions entered during the time frame:				

Substance Abuse Testing

	Month 1 _____	Month 2 _____	Month 3 _____	Month 4 _____
Total number of tests conducted:				

Good Time

Any delinquent good time awards? ☐ No ☐ Yes If yes, how many? _____

Address Verification *(Describe the accuracy of TOADS information compared with selected case files)*

Number of cases compared: _____

Comments:

_____

_____

Automated Reporting

Number of cases on Low-Person or Low supervision level:
Number of cases enrolled in OffenderLink system: _____
Are OffenderLink alerts reviewed and addressed in the required time frame? Yes No
Number of OffenderLink cases reviewed:_____

Comments:

_____

_____

Interstate Compact Cases and ICOTS:

Number of Interstate Compact Cases being supervised: _____
Number of Interstate Compact cases reviewed: _____
Checks ICOTS regularly and responds to requests in a timely manner? Yes No
Notifies sending state of violations or status changes as is required Yes No
Comments:

_____

_____

Reentry Plans

Number of Reentry Plans assigned: _____

Any delinquent Reentry Plans? ☐ No ☐ Yes If yes, how many? _____

Are Reentry Plan investigations completed and data entry made on a timely basis?

Comments:

_____

_____

Case Management and Administrative Reviews *(Attach copies of the Review forms)*

Number of cases reviewed: _____

Comments:_____
_____
_____
_____

Summary of audit and overall impression of caseload management:

_____
_____
_____
_____

Audit Conducted by: _____ _____
Auditor Name *Auditor Name (if applicable)*

Audit Evaluation and Ratings

The overall evaluation of caseload management is made considering the completion of tasks and requirements as well as the level of quality for the work that is completed. The expectation is that work will be completed in the quantity required and with a high level of quality. The areas are rated separately to help identify the specific strengths and/or needs of the parole officer and provide related comments.

Policy, Supervision Standards and Compliance ○ *Meets Expectations* ○ *Needs Improvement*

- Reentry Plans are investigated in a timely manner and documented thoroughly.
- Supervision Contacts are made as required.
- Overall, records and documentation are accurate, timely and complete.
- Tasks are generally completed as required and in a timely manner (LSIR's, Case Plans goals, employer notification, residence verification, etc.)
- Makes offender referrals for services as needed or required.
- Uses external systems appropriately: ICOTS, OffenderLink, etc.

Areas of strength:_____
_____
_____

Areas where improvement is needed:_____
_____
_____

Quality of Work ○ *Meets Expectations* ○ *Needs Improvement*

- Reentry Plan investigations are thorough and include a conference call with offender, as needed.
- Contacts with offenders focus on high risk areas, urgent needs and risk reduction efforts.
- Written work is accurate, uses proper grammar and contains appropriate information and detail.
- Case plan goals and actions steps are related to offender risk/needs and are appropriately written.
- Decision making, approvals and interventions in the case are made consistent with KDOC policy and Evidence Based Correctional Practices
- The PO is attentive to case management needs, responsivity and risk reduction activities.
- The PO uses cognitive and evidenced based tools to address risk reduction needs.
- The PO communicates with other staff and agencies to enhance offender case management and the likelihood of success.

Areas of strength:_____
_____
_____

Areas where improvement is needed: _____
_____
_____

Overall comments:_____

_____ _____
Rater Signature Date