DEPARTMENT OF CORRECTIONS

Policy Number:	**203.010**
Title:	**Case Management Process**
Effective Date:	**11/10/25**

PURPOSE: To outline the case management process for adult incarcerated persons and the role and responsibilities of the caseworker in that process.

APPLICABILITY: All adult correctional facilities, field services, and the hearings and release unit (HRU)

DEFINITIONS:

Assessment Summary Report (ASR) – reports located in COMS that provides a summary of MNSTARR, MnSafeD, SRA and other assessment scores such as education, substance use disorder and mental health needs.

Case Note – written entry in COMS that records interactions, communications, and decisions concerning a specific incarcerated person. Its purpose is to deliver a clear, concise, and factual account of all relevant engagements.

Case Review – A face to face meeting between incarcerated person and caseworker to review assessments and progress reviews/reports from various units, including, for example: education, health services, behavioral health, risk assessment/community notification, discipline, work or program assignments, and pre- and post-incarceration community services.

Community of practice – a group of practitioners in motivational interviewing and/or case planning who meet regularly to maintain or increase their skills in these practices.

Correctional Operations Management System (COMS) – a Minnesota Department of Corrections database for incarcerated person information.

Document Exchange Manager System (DEMS) – a system for sending requests for agent assignment and supporting documents electronically to Field Services or Community Correction Act counties, and which is accessed through COMS.

Evidence-Based practices (EBP) – See policy 610.010 “Statewide Evidence-Based Practices Training, Coaching, and Quality Assurance.”

Hearings and release unit (HRU) – the DOC unit that has decision-making authority regarding releases and revocations of release.

Minnesota Government Access (MGA) – Minnesota court records database.

Minnesota Screening Tool Assessing Recidivism Risk (MnSTARR) – Provides staff and incarcerated individuals with scores outlining their over risk of recidivism, risk of felony recidivism and risk of sexual offending recidivism, if applicable. The MNSTARR score is considered current if not more than 30 days since the date of last assessment during incarceration: or not more than four years since the date of last assessment post-incarceration.

Minnesota Severe and Frequency Estimate for Discipline (MnSafeD) – an automated assessment tool that assess all individuals for the risk of severe and frequent misconduct while incarcerated.

Multi–Disciplinary Team (MDT) – includes the incarcerated person, caseworker, DOC staff and community members as required to discuss individual case plans, programming, or other concerns related an incarcerated person incarceration/reentry. The MDT may be conducted in person, virtually or via file review.

Quality assurance (QA) – a process to audit or review the accuracy and appropriateness of case management processes.

Release violator (RV) – an individual who has been released and subsequently has been returned to incarceration because of a violation of conditions of release.

Self-Reported Assessment (SRA) and Self-Reported Reassessment (SRR) – At a minimum assesses incarcerated persons for criminogenic needs and responsivity factors.

Short-Term offender (STO) – an incarcerated person serving less than 180 days from admission.

PROCEDURES:

A. Caseworker General Responsibilities

1. A caseworker is assigned upon an incarcerated person's admission or transfer into a Minnesota correctional facility.

2. The assigned case worker is responsible for carrying out tasks as outlined in this policy to ensure alignment between recommended programming, institutional services and release planning.

3. The caseworker serves as the liaison between various departmental processes and the incarcerated person. Caseworkers facilitate assigned cognitive behavioral programming and must be knowledgeable about DOC policies that related to these processes.

B. Case Review Process

1. The caseworker must inform the incarcerated person in writing using the case review notice (attached) at least 48 hours in advance of any case review meeting.

2. Case review meetings are conducted in person unless the incarcerated person is not physically in the facility or signs a waiver not to attend.

3. Case reviews are conducted for a variety of reasons. Caseworkers must offer incarcerated people a copy of their case review report.

4. Initial case review
   a) An initial case review is completed within 90 days of an incarcerated person's admission, unless there is an extenuating circumstance, which must be approved by facility corrections program director and documented in the case notes.

   b) The incarcerated person and caseworker meet to review individual assessment results to determine recommendations related to sex offense, substance use, education, cognitive behavioral programming, as appropriate. The caseworker collaborates with individual and various work units as needed.

5. Annual Case Review
   a) The caseworker conducts an in person yearly programming and intervention progress review with the incarcerated person to update their case plan along with other information as necessary using the annual review worksheet (attached).

   b) Individuals not in custody of a DOC facility are reviewed by a caseworker without incarcerated person present.

6. Initial Multi-Disciplinary Team
   a) An in-person meeting is conducted within 30 days of the initial case review for incarcerated people serving more than 365 days at intake. Based on MNSTARR risk assessment, incarcerated people that score high/very high must be offered an initial multi-disciplinary team review. Invited staff and other stakeholders provide feedback and recommendations on assessment results and goals of the incarcerated person.

   b) The file review process is implemented for individuals who do not meet the criteria for an in-person multi-disciplinary team (MDT). This process facilitates structured feedback and informed recommendations from relevant staff and stakeholders.

7. Reentry MDT Review

a) Supervised Release (SR) - the Caseworker submits a release plan to the hearings and release unit (HRU) for final review and approval. Following HRU approval, the caseworker and agent arrange and participate with the incarcerated person (including other stakeholders as agreed upon) in a review of the release plan.

b) Intensive Supervised Release (ISR) - in accordance with DOC Policy 620.100, "Intensive Supervised Release Supervision Standards," if an incarcerated person meets the criteria for ISR, the case manager and agent are responsible for scheduling a virtual meeting with the incarcerated person no less than 60 days prior to release to discuss placements and other topics related to release.

8. Other Case Review/ MDT

a) The caseworker and/or other work areas may facilitate a MDT meeting as needed to address various topics. These topics may include adding or removing program directives, documenting any administrative meetings outside of the normal program review process, including minimum and work release, step down management program (SDMP), comprehensive lifer or juvenile review, medical concerns, behavioral health concerns, and others as needed. The individual requesting the other case review/MDT is responsible for determining meeting participants and coordinating logistics.

b) The life sentence review process is covered in Policy 203.030, "Life Sentence Review Process."

C. Case Planning Process

Case Planning is required for all incarcerated people with a sentence of more than 365 days. Case Managers will work with the incarcerated person to begin developing a case plan within 30 days of intake or transfer into a different facility.

1. Case Planning Steps

a) Initial engagement – establish rapport and role clarification.

b) Assessment review and feedback – build therapeutic relationship and provide assessment feedback.

c) Multi-Disciplinary team meeting (if applicable) – Engage with incarcerated person, provide information, align assessment results with programming/services, and begin to focus on goal setting.

d) Engagement after transfer – establish rapport, and review assessment results and notes.

e) Transfer MDT (If applicable) - engage with incarcerated person, provide information, align and focus with specific facility interventions, create timeline for services.

f) Check in – review intervention progress, increase motivation, and teach cognitive restructuring.

g) Build skills to support goal and skills – teach skills focused on thoughts and behaviors. (On-going at every meeting between a Caseworker and incarcerated person)

h) Reentry – transition to community supervision.

2. Caseworker/Incarcerated person case planning contact standards.
Using evidence-based practices and interventions, these in person contacts are dedicated meeting times between the caseworker and incarcerated person to motivate and assist the incarcerated person in making changes to their high-risk areas. Case plans and case notes should be updated as appropriate:
   a) High/Very High MNSTARR – 3 times per year.
   b) Medium MNSTARR – 2 times per year.
   c) Low MNSTARR – 1 time per year.

D. Release Planning
Release planning between a caseworker and incarcerated person should occur 90 days prior to release for individuals releasing on SR and 120 days for individuals releasing on ISR.

E. Training and Quality Assurance Process
Caseworkers participate in training and quality assurance processes as defined in position description.

1. Case management supervisors must observe caseworkers' practice and complete evidence-based intervention coaching sessions with each caseworker as time permits, but at least once per calendar year. The Observations and feedback form (attached) must be retained in the supervisory file.

2. Case management supervisors must review the files of five incarcerated persons per year for each caseworker. The files must be chosen on a random basis by the supervisor. The supervisor must review case plans, case notes, request for agent assignment reports/packets, documentation of targeted interventions, and any other available written documentation of the caseworker's work with the incarcerated person for a determination as to the accuracy of information,

timely and thorough completion of processes, and the quality of the work, including adherence to risk and need principles and other evidence-based practices.

INTERNAL CONTROLS:

A. All case reviews, case plans and assessment reports are retained in the incarcerated person's electronic file.

B. Case management-generated information, including case notes, case plans, release plans, and MnSTARR assessment results, are retained in the incarcerated person's electronic file.

C. Case manager performance measurement/quality assurance observations and feedback are retained in the supervisory file.

REFERENCES: Minn. Stat. §§ 241.01, 243.251; 241.26, 242.19, 243.05; 243.1605; 244.05; 244.065; and 401.02
Policy 106.112, "Approval and Modification of Release Plans"
Policy 106.210, "Providing Access to and Protecting Government Data"
Policy 106.220, "Offender/Resident Case Records"
Policy 106.1121, "Continued Facility Reviews for Release Violators"
Policy 202.050, "Offender/Resident Orientation"
Policy 202.057, "Sexual Abuse/Harassment Prevention, Reporting, and Response"
Policy 202.100, "Classification System"
Policy 203.012, "Release Health Care Summary"
Policy 203.015, "Offender/Resident Risk Assessments"
Policy 203.018, "Agent Assignment and Release Planning"
Policy 203.040, "DNA Analysis of Offenders"
Policy 203.060, "Life Sentence Review Process"
Division Directive 203.110, "Interstate Corrections Compact (Facility)"
Policy 203.220, "Delegations"
Policy 203.260, "Victim Notification"
Policy 204.060, "Challenge Incarceration Program – Phase I"
Policy 205.110, "Institution Community Work Crew Program (ICWC)
Policy 205.115, "Sentencing to Service (STS) Program"
Policy 205.120, "Work Release Program"
Policy 205.130, Adult Halfway House/Emergency Housing Fund Use"
Policy 205.140, "Adult Offender Reentry Services and Programming"
Division Directive 205.150, "Conditional Release of Nonviolent Controlled Substance Offenders"
Policy 205.200, "Sex Offender Civil Commitment Screening"

Policy 205.220, “Predatory Offender: Registration, Community Notification, Victim Notification, Level 3 Website, and Risk Level Reassessment Request”
Policy 206.020, “Interstate Compact for the Supervision of Adult Parolees and Probationers”
Policy 302.100, “Visiting”
Case Management Information iShare page – MnSTARR & DEMS

REPLACES: Policy 203.010, “Case Management Process,” 1/15/2019.
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS:
Case Review Team Notice (203.010G)
Case Management Process Checklist (203.010H)
Case Audit (203.010I)
Direct Observation Scoring Tool (203.010J)

APPROVALS:
Commissioner of Corrections