Case Management Process Checklist

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New DOC intakes

- ☐ Commitment Documents
- ☐ Criminal Complaint
- ☐ Pre-Sentence Investigation (PSI)
- ☐ Self-Reported Assessment/ Assessment Summary Report and/or other assessments
- ☐ Criminal history
- ☐ Detainers. Warrants
- ☐ Minnesota Government Access (MGA)
- ☐ Bureau of Criminal Apprehension (BCA) predatory offender database
- ☐ Orders for protection/non-contact orders
- ☐ Child support
- ☐ Department of Economic Development (DEED) employment data
- ☐ Citizenship
- ☐ DNA collection
- ☐ Educational/vocational testing/mandate/plan
- ☐ Language barriers/English proficiency
- ☐ Substance Use Disorder assessment, need, and priority level
- ☐ Sex offense assessment and treatment recommendation
- ☐ Medical/dental profile
- ☐ Behavioral health profile
- ☐ Armed Services inventory
- ☐ Family/significant relationships/next of kin/emergency contact
- ☐ Recreational preferences and needs
- ☐ Residency/community of historical ties
- ☐ Security threat group (STG) affiliation/indicators
- ☐ Probation violation reports
- ☐ Case Plans and cognitive behavioral interventions
- ☐ Victim Input and Consideration

As necessary or appropriate for the individual

- ☐ Enter offense characteristics in COMS
- ☐ Enter family, emergency contact, and next of kin in COMS
- ☐ Enter in COMS no-contact directives
- ☐ Respond to family/friend inquiries
- ☐ Provide assistance with retrieving the incarcerated person's property from the local jail, if requested
- ☐ Complete the Predatory Offender Registration or Change form
- ☐ Offer Consulate contact (when required) if the incarcerated person is foreign-born and refer the person to Immigration and Customs Enforcement (ICE) for review

☐ Note child support obligations and status of modifications
☐ Note military or combat service
☐ Note education and employment history
☐ Note recreational preferences and needs
☐ Note tribal affiliation (if applicable)
☐ Note social services history (including such examples as mental health and chemical dependency treatment, and vulnerable adult services)
☐ Complete visiting abuse review
☐ Complete Security Threat Group Indicator form
☐ Confirm/ensure that a DNA sample has been collected
☐ Write any incompatibility incident reports as necessary
☐ Complete, within 30 days of admission, the Sexual Violence Prevention (PREA) Checklist – 30 Day Follow-Up in the COMS Obligation – Identity – PREA Screening Tab; this must be completed even if additional information has not been received
☐ Ensure the Psychopathic Personality (PP)/Sexually Dangerous Person (SDP) packet is sent to the risk assessment/community notification unit (RA/CN) 16 months, or as soon as possible, prior to the release date
☐ Complete a MnSTARR assessment if additional information is available that was not available on the date of admission (e.g., non-MN criminal history, Minnesota Sex Offender Screening Tool (MnSOST) assessment, disciplinary action, visits)
☐ Develop, in collaboration with the incarcerated person, program recommendations for low risk and non-targeted high risk offenders based on assessed risks
☐ Project the incarcerated person's classification in COMS
☐ Discuss with the incarcerated person release plans and Intensive Supervised Release (ISR) eligibility and note this information
☐ Determine the incarcerated person's potential eligibility for Conditional Release Program (CRP), Challenge Incarceration Program (CIP), Institution Community Work Crew (ICWC) Program, Minimum, and Work Release (WR), Minnesota Rehabilitation Reinvestment Act (MRRA)
☐ Complete Conditional Release Program Screening form

Review for Facility Transfers, Release Violators, or Case Management Reassignment

☐ Review the intake and Initial Case Review and review the HRU hearing reports for release violators
☐ Interview the incarcerated person within 30 days
☐ Complete Prison Rape Elimination Act (PREA) reviews, and document them as required, within 30 days of transfer and at the time of annual review (if one has not been completed during the review period)
☐ Review with the incarcerated person, using motivational interviewing (MI) principles, the institutional plan/programming recommendations, the Initial Case Review, HRU hearing notes, and their Case Plan.
☐ Make referrals for institutional services
☐ Review the projected release plan

☐ Follow up on the incarcerated persons eligibility for early release programs
☐ Complete/review six-month reclassifications and other classifications as needed
☐ Monitor the incarcerated persons progress and adjustment through reading incident reports, making collateral contacts, and individual meetings
☐ Meet with the incarcerated person when indicated for special circumstances (e.g., family crisis, discipline, programming or incompatibility issues, etc.)
☐ Respond to incarcerated person correspondence (kites)
☐ Respond to family/friend inquiries
☐ Respond to professional or collateral inquiries
☐ Arrange delegations, and legal calls/visits, as required
☐ Meet annually with the incarcerated person (providing 48 hours advance notification to the IP) to conduct an Annual Case Review, including a review of all areas as described in the Annual Program Review Team Worksheet (attached), using an Annual Case Review Report for reference
☐ Complete Special Case Reviews as appropriate
☐ Complete the Annual Case Review Action Report and upload it to the IP's electronic file, and offer the IP a copy of the Action Report
☐ Work with RA/CN to ensure PP/SDP and End of Confinement Review Committee (ECRC) packets are submitted in the time and manner required
☐ Make case notes on incarcerated person and collateral contacts
☐ Develop and implement case management groups, in consultation with supervisor and in collaboration with colleagues, to address the topics necessary for the continuity of the incarcerated person case plan and release planning; such topics may include defining case management services and procedures for accessing them, early release programs, conditions of release, release planning, predatory offender registration requirements, health care applications, identification documents, etc.

Release Planning

☐ Follow up with health services to ensure the Health Care Summary is completed
☐ Individually, or in a group setting, explain to the incarcerated person(s) the parameters of release plan options and discuss available community programs (in conjunction with the transition coordinator)
☐ Meet with the incarcerated person to develop a release plan and residence/placement per Policy 203.018, "Agent Assignment and Release Planning"
☐ Confirm the proposed residence/placement by contacting the person(s) involved
☐ Enter the release plan and proposed conditions of release in COMS per Policy 106.112, "Approval and Modification of Release Plans"
☐ Begin the interstate compact process for IP's being released outside of Minnesota (see DOC Policy 206.020, "Interstate Compact for the Supervision of Adult Parolees and Probationers"
☐ Ensure a current MnSTARR assessment and SRA Reassessment are completed for the incarcerated person at or before 90 days prior to release
☐ Complete the Request for Agent Assignment and forward it via the Document Exchange Manager System (DEMS) with other required documents (see Policy 203.018, "Agent Assignment and Release

Planning”

☐ Review the request for agent assignment response; complete/revise the Reentry Plan in COMS; complete, document, and upload a Reentry Review into the IP’s electronic file; and submit it to the HRU via COMs

☐ After the HRU has approved the plan, complete the Predatory Offender Registration and Change form if needed

☐ Assist the incarcerated person in applying for health care insurance

☐ Once an agent is assigned for an incarcerated person work with assigned agent to schedule a telephone/virtual meeting with IP to discuss release plan.

☐ Confirm that the release notification has been made to other facility departments as required.

☐ Make case notes for release planning activities throughout this process, using the case note type “Transition and Release Plan”

☐ For release violators who require an extension of their discretionary release date, follow the directions given in Policy 106.1121, “Continued Facility Reviews for Release Violators.”