DEPARTMENT OF CORRECTIONS

Policy Number: 203.010
Title: Case Management Process
Effective Date: 1/15/19

PURPOSE: To outline the case management process for adult offenders 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:
Community of practice – a group of practitioners of motivational interviewing and/or case planning who meet regularly to maintain or increase skills in these practices.

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

Current LS-CMI or YLS-CMI – not more than twelve months since the date of last assessment with those tools.

Current MnSTARR – 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.

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) – strategies and techniques that have been proven to reduce recidivism, including such examples as motivational interviewing, case planning, Carey Guide tools, targeting interventions to high risk offenders and their high risk areas of need, and engaging community support.

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

Integrated case management (ICM) – enhanced case management using evidence-based practices, including such examples as motivational interviewing, case planning, effective interventions, and comprehensive, collaborative release planning with the purpose of reducing the offender's risk of recidivism.

Level of Service Case Management Inventory (LS-CMI) – an assessment tool to determine the offender's risk to recidivate and to identify circumstances and behaviors that increase the risk or mitigate the risk (strengths), and that indicates targets for intervention.

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

Minnesota Screening Tool Assessing Recidivism Risk (MnSTARR) – a tool to assess an individual's probability of being convicted of another crime.

Personal change plan – a plan developed by an offender during transitions topics classes to make changes in areas of the offender's life that may contribute to criminal behavior.

Program review team (PRT) – a meeting with the offender and caseworker to determine and/or review the offender's status.

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

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

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

Statewide Supervision System (S^3) – the database in which LS-CMI assessments are scored and retained, and which is accessed from COMS.

Targeted high risk offenders – those offenders who are high or very high risk as assessed by the MnSTARR and who are identified by the assistant commissioner/facilities to receive integrated case management services.

PROCEDURES:

A. Caseworker General Responsibilities

The caseworker performs the various tasks outlined in this policy to ensure appropriate programming, services, and release planning are provided to all adult offenders. The caseworker is the liaison between various departmental processes and the offender. The caseworker must be knowledgeable about DOC policies that pertain to these processes.

B. Program Review Team Process

1. The offender and caseworker, meeting as the program review team (PRT), reference the assessments, service plans, and progress reviews/reports from various units, including such examples as: education, health services, behavioral health, risk assessment/community notification, discipline, work or program assignments, and pre- and post-incarceration community services. Participation from the units is usually through written reports, but in some cases unit representatives may attend the meeting.

2. The caseworker must inform the offender in writing at least 48 hours in advance of any program review team meeting. (The Program Review Team Notice is attached.)

3. PRT meetings are conducted for a variety of purposes, including the:

   a) Initial PRT – completed within 60 days of admission

   The offender and caseworker meet to review the offender's situation in order to make programming decisions and issue directives related to sex offender and chemical dependency programming, as appropriate. The caseworker collaborates with the offender and various units to determine the needs of the offender, including education, sex offender programming, chemical dependency treatment, behavioral health, health services, and others. See Procedure B, below.

b) Annual PRT Review
The caseworker conducts programming reviews to determine progress and update information as necessary, at least on an annual basis, using the Annual Review Worksheet (attached). Offenders in the custody/responsibility of a non-MNDOC entity during their month of review are reviewed in absentia by the caseworker. The caseworker must offer the offender a copy of the report from the meeting or review.

c) PRT Reentry Review
The caseworker meets with the offender to review the release plans and conditions of release as approved by the community services agency (see Policy 203.018, "Agent Assignment and Release Planning"). After the PRT, the caseworker submits the plan via COMS to the hearings and release unit (HRU) for final review and approval.

d) Special PRT Review
The caseworker conducts special reviews to add or remove program directives, and to document any administrative meeting outside of the normal program review process, including Challenge Incarceration Program (CIP), Institution Community Work Crew (ICWC), and work release. The caseworker must ensure the report is completed and that the offender receives a copy of the report.

e) Minimum PRT Review
The caseworker may conduct a program review for an offender who is referred to a minimum custody program.

f) Lifer PRT Review – see Policy 203.060, "Life Sentence Review Process"

C. The caseworker is assigned upon an offender's admission or transfer (see Policy 202.040, "Offender Intake Screening and Processing"), and must complete an initial case management assessment process within 60 days of the offender's admission through a review of available documentation and an interview with the offender.

1. The assigned caseworker must access the following information through the Correctional Operations Management System (COMS), the noted documents or databases, an interview with the offender, and collateral sources.
   a) Warrant of Commitment;
   b) Complaint;
   c) Pre-Sentence Investigation (PSI);
   d) Prior Level of Service Case Management Inventory (LS-CMI) and/or other assessments;
   e) Criminal history;
   f) Wants and warrants;
   g) Minnesota Government Access (MGA);
   h) Bureau of Criminal Apprehension (BCA) predatory offender database;
   i) Orders for protection/non-contact orders;
   j) Child support;
   k) Department of Economic Development (DEED) employment data;
   l) Citizenship;
   m) DNA collection;

n) Educational/vocational testing/mandate/plan;
o) Language barriers/English proficiency;
p) Chemical dependency assessment, need, and priority level;
q) Sex offender assessment and treatment recommendation;
r) Medical/dental profile;
s) Behavioral health profile;
t) Armed Services inventory;
u) Family/significant relationships/next of kin/emergency contact;
v) Recreational preferences and needs;
w) Residency/community of historical ties;
x) Security threat group (STG) affiliation/indicators; and
y) Probation violation reports.

2. As necessary or appropriate for the individual offender, the caseworker is responsible to:
a) Enter offense characteristics in COMS;
b) Enter family, emergency contact, and next of kin in COMS;
c) Enter in COMS no-contact directives;
d) Respond to family/friend inquiries;
e) Provide assistance with retrieving the offender's property from the local jail, if requested;
f) Complete the Predatory Offender Registration or Change form;
g) Offer Consulate contact (when required) if the offender is foreign-born and refer the offender to Immigration and Customs Enforcement IICE) for review;
h) Note child support obligations and status of modifications;
i) Note military or combat service;
j) Note education and employment history;
k) Note recreational preferences and needs;
l) Note tribal affiliation (if applicable);
m) Note social services history (including such examples as mental health and chemical dependency treatment, and vulnerable adult services);
n) Complete visiting abuse review;
o) Complete Security Threat Group Indicator form;
p) Confirm/ensure that a DNA sample has been collected;
q) Write any incompatibility incident reports as necessary;
r) 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;
s) 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 offender's release date;
t) 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);
u) Develop, in collaboration with the offender, program recommendations for low risk and non-targeted high risk offenders based on assessed risks;
v) Project the offender's classification in COMS;
w) Discuss with the offender release plans and Intensive Supervised Release (ISR) eligibility and note this information;

x) Determine the offender's potential eligibility for Conditional Release Program (CRP), Challenge Incarceration Program (CIP), Institution Community Work Crew (ICWC) Program, Minimum, and Work Release (WR);
y) Complete Conditional Release Program Screening form;
z) Assist the offender in obtaining identification documents;
aa) Write an Initial Program Review Team (PRT) Report, including recommendations for programming and summarizing significant information in a "Case Worker" case note in COMS;
bb) Schedule an Initial PRT meeting with the offender and provide 48 hours advance notice;
cc) Complete Initial PRT Action Report in COMS, upload it to the offender's electronic file, and offer the offender a copy of the PRT action report.
dd) Make case notes on offender and collateral contacts.

D. Institutional Case Management for Low Risk and Non-Targeted High Risk Offenders

Upon an offender's transfer or case reassignment, or re-admission in the case of a release violator, the caseworker is responsible, as necessary or appropriate for the individual offender, to:

1. Review the intake and Initial PRT Report and review the HRU hearing reports for release violators;
2. Interview the offender within 30 days;
3. 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);
4. Review with the offender, using motivational interviewing (MI) principles, the institutional plan/programming recommendations, the Initial PRT Action Report, HRU hearing notes, and the personal change plan;
5. Make referrals for institutional services;
6. Review the projected release plan;
7. Follow up on the offender's eligibility for early release programs;
8. Complete/review six-month reclassifications and other classifications as needed;
9. Monitor the offender's progress and adjustment through reading incident reports, making collateral contacts, and individual meetings;
10. Meet with the offender when indicated for special circumstances (e.g., family crisis, discipline, programming or incompatibility issues, etc.);
11. Respond to offender correspondence (kites);
12. Respond to family/friend inquiries;
13. Respond to professional or collateral inquiries;
14. Arrange delegations, and legal calls/visits, as required;
15. Meet annually with the offender (providing 48 hours advance notification to the offender) to conduct an Annual PRT Review, including a review of all areas as described in the Annual Program Review Team Worksheet (attached), using an Annual PRT Review Report for reference;
16. Complete Special PRT Reviews as necessary;
17. Complete the Annual PRT Review Action Report and upload it to the offender's electronic file, and offer the offender a copy of the Action Report;
18. Work with RA/CN to ensure PP/SDP and End of Confinement Review Committee (ECRC) packets are submitted in the time and manner required;
19. Make case notes on offender and collateral contacts;
20. 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

offender's institutional 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.;

E. Release Planning for Low Risk and Non-Targeted High Risk Offenders

As necessary or appropriate for the individual offender, the caseworker is responsible to:

1. Follow up with health services to ensure the Health Care Summary is completed;
2. Individually, or in a group setting, explain to the offender(s) the parameters of release plan options and discuss available community programs (in conjunction with the transition coordinator);
3. Meet with the offender to develop a release plan and residence/placement per Policy 203.018, "Agent Assignment and Release Planning";
4. Confirm the proposed residence/placement by contacting the person(s) involved;
5. Enter the release plan and proposed conditions of release in COMS per Policy 106.112, "Approval and Modification of Release Plans;"
6. Begin the interstate compact process for offenders being released outside of Minnesota (see DOC Policy 206.020, "Interstate Compact for the Supervision of Adult Parolees and Probationers");
7. Ensure a current MnSTARR assessment is available for each offender, and an LS-CMI for non-targeted high risk offenders who are serving 180 days or more, at or before 90 days prior to release;
8. 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");
9. Review the request for agent assignment response; complete/revise the Reentry Plan in COMS; complete, document, and upload a PRT Reentry Review into the offender's electronic file; and submit it to the HRU via COMs;
10. After the HRU has approved the plan, complete the Predatory Offender Registration and Change form if needed;
11. Assist the offender in applying for health care insurance;
12. Once an agent is assigned for a seriously and persistently mentally ill offender, arrange a meeting or a telephone/Lync conference with the agent, offender, and special release planner to discuss release plans, and available community services;
13. Verify with the offender that the offender has no pending grievances or claims for damages or lost possessions; if necessary, make completion arrangements with the appropriate staff;
14. Confirm that the release notification has been made to other facility departments;
15. Make case notes for release planning activities throughout this process, using the case note type "Transition and Release Plan"; and
16. 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."

F. Integrated Case Management (ICM) Model for Targeted High Risk Offenders

The integrated case management (ICM) model must be used for targeted high risk offenders. In addition to the applicable procedures noted in Sections C and D, above, for low risk and non-targeted high risk offenders, the caseworker must do the following for targeted high risk offenders:

1. Complete the LS-CMI for high and very high risk offenders targeted for ICM, and do so within 30 days of the offender's transfer from an intake facility, or within 60 days of admission if the offender is not going to transfer;

2. Provide assessment feedback to the offender;
3. Use evidence-based practices (EBP) and interventions to motivate the offender to begin making changes related to criminogenic high risk areas as determined through the LS-CMI assessment;
4. Meet with the offender at least once every two weeks until the offender presents motivation to establish a written case plan; a treatment program case plan may be reinforced in lieu of an additional case plan if the goal and reinforcements are documented in case notes;
5. When the offender is targeted for case planning and individual meetings begin, enter a case note type "ICM Case Plan Initiated" briefly indicating the initial case plan goal; this case note type is for data collection purposes and should not be used again during the offender's incarceration period;
6. Once an initial case plan has been established, meet with the offender to review progress on the case plan as needed for continuity of the case plan at a minimum of once every four weeks;
7. Target interventions to high risk areas, skill train with directed practice, and assist the offender to engage community support;
8. Update the case plan as needed and provide appropriate reinforcements for positive progress;
9. Make collateral contacts to prioritize and facilitate the offender's participation in programming;
10. Facilitate cognitive programs as required; and
11. Make case notes on offender and collateral contacts.

G. Release Planning with ICM for Targeted High Risk Offenders

Caseworkers must assist high risk offenders to develop comprehensive, collaborative release plans. In addition to the applicable procedures noted in Section E, above, for low risk and non-targeted high risk offenders, the caseworker is responsible to also do the following for targeted high risk offenders, as necessary or appropriate for the individual offender:

1. Meet with the offender to discuss release plans, provide assessment feedback, and make appropriate referrals for pre- and post-release interventions and services; and
2. Coordinate in-person or telephone meetings with the assigned release agent and any in-reach community programs;

H. Training and Quality Assurance Processes for Caseworkers

Caseworkers must participate in training and quality assurance processes.

1. All caseworkers must complete the appropriate training prior to performing work requiring specific training. Caseworkers must also participate in applicable qualify assurance/professional development activities.
   a) All caseworkers must:
      (1) Complete initial training for LS-CMI, MnSTARR, motivational interviewing one, motivational interviewing two, and core correctional practices;
      (2) Attend six community of practice sessions each year to maintain and further develop motivational interviewing and intervention skills;
      (3) Participate in individual motivational interviewing treatment integrity (MITI) coding evaluations and feedback sessions;
      (4) Attend LS-CMI peer review sessions as scheduled by the supervisor (see Policy 203.015, "Level of Service Inventory – Revised and Youth Level of Service Inventory/Case Manager Inventory Assessment Process"); and

(5) Participate in LS-CMI performance measuring testing.

b) All caseworkers who provide ICM must also:
(1) Complete case planning and Carey Guide training;
(2) Participate in professional development and coaching sessions targeting evidence-based interventions with a supervisor as scheduled by the supervisor; and
(3) Cooperate with supervisory audits of case plans.

2. Case management supervisors must establish, and may actively participate in, a peer-review process. The peer-review process must include randomly-selected LS/CMI assessments for adult offenders and randomly-selected YLS/CMI 2.0 assessments for juveniles. (See Policy 203.015, "Offender/Resident Risk Assessments.") The assessment rating/review forms must be kept in the supervisory file.

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

4. Case management supervisors must conduct five case plan audits annually for each caseworker who is practicing ICM and provide feedback to the caseworker. Feedback must be retained in the supervisory file.

5. Case management supervisors must review the files for five offenders per year for each caseworker. The files must be chosen on a random basis by the supervisor. The supervisor must review case notes, PRT reports, Request for Agent Assignment reports/packets, documentation of targeted interventions, and any other available written documentation of the caseworker's work with the offenders 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 program review team (PRT) reports are retained in the offender's electronic file.

B. LS-CMI assessments are retained in the Statewide Supervision System (S^3).

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

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

ACA STANDARDS: 4-4126, 4-4275, 4-4286, 4-4297, 4-4299, 4-4302, 4-4428, 1-ABC-1E-03, 1 ABC-3D-02, 1-ABC-4F-01

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," 7/3/17.
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS: Annual Program Review Team Worksheet (203.010D)
Sexual Violence Prevention (PREA) Checklist – 30 Day Follow-Up (203.010E)
Case Plan Sample (203.010F – SAMPLE, form on case manager iShare site)
Program Review Team Notice (203.010G)

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