State of Vermont			Page 1 of 14
Agency of Human Services Department of Corrections	Title: Offender Case Planning (OCP)	
Chapter: Programs: Classification & Case Planning	#371.05	Supersedes: #3 dated 11/21/07. Superseded Doc #371.05 dated 4/0 12/30/02; #371.20 12/30/02	History of uments: 07/03 and

Attachments, Forms & Companion Documents:

- 1. Initial Harm Statement
- 2. Offender Case Plan
- 3. Re-entry Harm Statement
- 4. Case Planning Template

Local Procedure(s) Required: No

Applicability: All staff (including contractors and volunteers).

Security Level:"B"- Anyone may have access to this document.

DRAFT IN PROCESS 8.22.11

1 PURPOSE

- 2 The purpose of this administrative directive is to establish standards for the classification, case
- 3 management and planning services for offenders. Effective case management will: 1) enhance public
- 4 safety, 2) prepare the offender for successful re-entry into the community, 3) address risk/needs of the
- 5 offender, 4) support offenders in taking responsibility for their criminal behavior and case plan
- 6 development, 5) provide opportunities for community involvement, 6) connect offenders to
- 7 appropriate resources, 7) build upon offender strengths and assets, and 8) require case co-
- 8 management for incarcerated offenders.

9 **POLICY**

- 10 It is the policy of the Department of Corrections to effectively engage offenders in the case planning
- process by encouraging them to assume responsibility for developing their case plan and for the harm
- and impact, their criminal behavior has caused. Offender Case Planning (OCP) reinforces, and
- focuses community resources on, Department supervision of offenders.

14 **AUTHORITY**

- 15 28 V.S.A. § 2a; 28 V.S.A. § 721. American Correctional Association, Standards for Adult
- 16 Correctional Facilities, 4th Edition, 2003, Standard 4-4442. American Correctional Association,

- 17 Standards for Adult Probation and Parole Field Services, 3rd Edition, August, 1998, Standards 3-
- 18 3125, 3-3131, 3-3132, and 3-3138.

19 **REFERENCE**

- 20 Agency of Human Services Four Key Practices. APA Rule #00-10/Policy #256 Community
- 21 Notification; Department of Corrections Administrative Directives #76.05 Positive Reinforcement,
- 22 #254.04 Case Documentation Electronic, #323.01 Inmate Release Money, #344.01 Collaborative
- 23 Community Supervision, #371.02 Facility Case Management, #371.11 Level C Performance
- 24 Expectations, #371.15 Conditional Re-entry, #371.17 Offender Contact Standards for Field Services
- 25 Programs, #501.01 Restorative Justice Programs, and #502.01 Victim Notification Automated
- 26 (VANS) & Non-automated.

27 **DEFINITIONS**

- 28 Case Co-management: The process by which an assigned facility Caseworker and field office
- 29 Probation & Parole Officer engage in collaborative decision-making with an offender's case from
- 30 detention to discharge.
- 31 <u>Case Management:</u> DOC activities and programs related to offender case planning, community
- 32 supervision, and custody. It is the collaborative process of classifying, assessing risk and needs, case
- planning, applying correctional resources and supporting an offender from detention to discharge.
- Conditional Re-entry: A furlough by which a sentenced offender is released to the community under
- 35 supervision at or beyond their minimum release date.
- 36 <u>Correctional Services Specialist (CSS)</u>: A staff role both in facilities and field offices also referred to
- as Caseworker (facility) or Probation/Parole Officer (PO in the field). Field and facility Correctional
- 38 Services Specialists share responsibility for case co-management for offenders assigned to their
- 39 caseload.
- 40 Criminogenic Need Areas: Offender need areas, which are related to criminal conduct and which,
- 41 when addressed in correctional treatment, reduce the overall or specific risk for recidivism (e.g.,
- 42 substance abuse).
- High Risk: Statutorily defined as a high degree of dangerousness that a sex offender poses to others.
- Dangerousness includes the probability of a sexual reoffense.
- 45 "Max-out" Case: An inmate who completes their maximum sentence while incarcerated and is
- 46 released without any Department supervision.
- 47 <u>Needs-reducing Program</u>: A correctional program designed to address an offender's criminogenic
- 48 need areas with the goal of reducing the risk for reoffense.
- 49 Offender Case Plan (OCP) The Department document that covers offender case planning, case
- management, and reparative responsibilities. OCP is also the process focused on preparing an
- offender to re-enter the community, and/or be successful while under community supervision.
- Parole: The release of an inmate to the community by the Parole Board before the end of the inmate's
- sentence, subject to conditions imposed by the Board and subject to the supervision and control of the
- 54 Commissioner of Corrections.

- Pre-approved Furlough (PAF): The legal status in which an inmate is sentenced to serve a term of
- imprisonment, but is placed by a court on furlough to participate in such programs administered by
- 57 the Department that reduce the offender's risk to reoffend.
- 58 <u>Probation</u>: The legal status a court may impose on a defendant that suspends all or part of the
- sentence and places the person in the care and custody of the Commissioner of Corrections, upon
- such conditions and for such time as it may prescribe, in accordance with law, or until further order
- of the court.

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- 62 <u>Programs</u>: The Department of Corrections provides a range of treatment programs to address risk
- related need areas (criminogenic needs) and lower the likelihood of recidivism or further criminal
- conduct by the offender. Treatment programs are offered to offenders in correctional facilities and
- Probation and Parole offices. Some examples of correctional programs are as follows:
- Cognitive Self Change (CSC) A Vermont facility and community-based DOC treatment program for offenders convicted of violent offenses.
 - *Incarcerative Intensive Domestic Abuse Program (INDAP)* A Vermont facility-based DOC treatment program for offenders convicted of domestic assault or a domestic-related offense.
 - *Intensive Domestic Abuse Program (IDAP)* A Vermont community-based DOC treatment program for offenders convicted of domestic assault or a domestic-related offense.
 - *Intensive Substance Abuse Program (ISAP)* A Vermont community-based DOC treatment program for offenders convicted of alcohol/drug-related offenses.
 - Vermont Treatment Program for Sexual Abusers (VTPSA) A Vermont facility and community–based DOC treatment program for offenders convicted of sexually-related offenses.
- Projected Movement Date (PMD): Projected Movement Date (PMD): Date and reason which it is
- projected that an incarcerated inmate will be eligible to be moved to the next phase in the case
- management plan, or the reasons why the offender is still incarcerated. Attachment 1 is the list of
- 80 PMD codes, the description, and explanation of the codes.
- Projected Release Date (PRD): The date at which it is projected that an incarcerated offender will be
- 82 eligible to be released to the community.
- 83 Reintegration Furlough (RF): A furlough prior to the minimum sentence to prepare an incarcerated
- 84 offender for re-entry into the community.
- 85 Release Sensitive Notification (RSN) Case: A case in which the Department takes special care in
- 86 release planning for and the release of an offender and notifies parties who may be concerned before
- 87 the offender is released. A case is assigned RSN status by the central case staffing team based on
- 88 field and facility recommendation. Criteria for RSN status include, but are not limited to, LSI scores,
- 89 victim and community sentiment, media or political notoriety of the offense, and being a listed or
- 90 Level C offender. This does not pertain to sentenced/detained or detained offenders.
- 91 Risk Management Caseload: A caseload of offenders on probation, parole, Supervised Community
- 92 Sentence and furlough that, because of severity of offense and risk to re-offend, requires higher
- 93 supervision and case management services in smaller caseloads.

- 94 Supervised Community Sentence (SCS): A court-imposed sentence of incarceration to be served in a
- 95 community setting subject to the rules of the Commissioner of Corrections. These offenders are under
- 96 the jurisdiction of the Parole Board.

97 PROCEDURAL GUIDELINES

1. Philosophy

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- 99 Effective correctional practices involve the allocation of correctional resources and services based on
- offender risk to re-offend, offender need areas, sentence length, legal status, and offense severity. The
- use of standardized risk assessments helps the Department determine which offenders need more
- services and supervision based on the offender's risk and need, along with the severity of their
- offense. The primary goal of the DOC is improving public safety by reducing the risk of our
- offenders and supporting them to become pro-social and law-abiding citizens. For incarcerated
- offenders, this also includes preparing the offender to re-enter into the community.

2. Offender Case Planning Overview

- 107 Effective case planning is a teamwork approach and the core process by which services are organized
- to promote, support, and guide offender change and by which community safety is enhanced. OCP is
- grounded in the key AHS practices: client-centered, results-oriented, strength-based, and holistic.
- 110 Correctional Caseworkers and Probation Officers (Correctional Services Specialists) are needed to
- support and assist offenders in developing a meaningful case plan according to the conditions of their
- 112 confinement or supervision, the Department's requirements, and the offender's individual
- circumstances. The case plan and related processes, including interactions with their CSSs, become
- the foundation that encourages, guides, and supports offenders in their efforts to become responsible.
- OCP is a shared responsibility between the offender, the facility CSS, and the field CSS. For
- incarcerated offenders the responsibility for developing a comprehensive OCP is shared by the
- offender, the facility Caseworker, and Probation Officer. It is important for the facility Caseworker
- and Probation Officer to successfully engage offenders for successful re-entry into the community.
- Facility and field CSSs are expected to work together to ensure that the direction of facility and
- transition case planning is integrated with field case planning needs. This collaborative expectation is
- called case co-management.

3. Levels of Case Planning Services (OCP) for Offenders

- a. Incarcerated Offenders
 - i. Section 1, *Classification and Facility Expectations (Attachment 4)*, will be completed on all incarcerated offenders serving more than 90 days.
 - ii. All incarcerated offenders who are subject to a mandated needs-reducing program, regardless of sentence length, will receive a full OCP.
- b. Community Supervision- Section 3, *Community Case Plan and Field Expectations*(Attachment 4) of the OCP will be completed on all Risk Management cases.

130 4. Case Co-management – Facility Cases

131 (Also see directive #371.02 Facility Case Management.)

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- a. Two (2) CSSs will be assigned to all sentenced incarcerated offenders: one (Caseworker) from the facility where the offender resides, and one from the field office (Probation Officer) in the sentencing district or where the offender will eventually be supervised.
 - b. Although the facility Caseworker will work more closely with the offender while they remain incarcerated, both CSSs share responsibility for ensuring that an offender's case plan is complete, related to risk-reduction, and adequately identifies areas of need.
 - c. Case co-management ends, and the Probation Officer assumes responsibility for case planning services, when an offender is released from a correctional facility to some form of community supervision.
 - d. In the event that the case co-managers disagree, the issue will be referred to the field Casework Supervisor and the facility Living Unit Supervisor. If the dispute cannot be resolved at this level, the District Manager and Superintendent will be notified. If the District Manager and Superintendent cannot agree on a resolution, they will contact the Director of Community Corrections, Re-entry, and Classification to resolve the issue. However, it is expected that any issues can be resolved at the local level.

5. Offender Case Plan Components

- a. Section 1 Classification and Facility Expectations (Part I of Attachment 4)
 - This section is to be completed at intake by the assigned facility CSS for all sentenced inmates serving 90 days or more.
- b. Initial Harm Statement (Attachment 1)
 - This section will be completed by the inmate during the intake process. If the inmate has issues with reading and writing, the CSS should assist the inmate in completing this section.
- c. Offender Responsibility Plan (Attachment 2)
 - i. This section will be completed by the inmate prior to the Section 2 Transition and Re-entry Plan meeting between the inmate and the field and facility CSSs. If the inmate has issues with reading and writing, the facility CSS should assist the inmate in completing this section.
 - ii. After the inmate has completed this form, the facility CSS will review it with the inmate to see if any changes need to be made. If necessary, the facility CSS should work with the inmate to help identify a residence, community supports, resources, etc.
 - iii. After this form is completed, the facility CSS will forward a copy to the field CSS and set up a meeting to work on Section 2 of the OCP.
- d. Section 2 Transition and Re-entry Plan (Attachment 4)
 - i. Section 2 requires a meeting between the inmate, the facility CSS, and the field CSS. This meeting will be coordinated by the facility CSS as noted above.
 - a) The purpose is to prepare the inmate for release and to introduce the field CSS and the inmate. This meeting will focus on identifying acceptable housing, obstacles and barriers to release, review of the *Offender*

writing, the CSS should assist the offender in completing this section.

6. Case Planning Requirements for Furlough Violators

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30 days prior to Projected Release Date

o Case Co-Management meeting with assigned CSSs and the inmate

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245 o Physical residence check

TRAINING

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- It is the responsibility of the Director of Community Corrections, Re-entry and
 Classification/designee, in collaboration with the Director of Facilities Operations, the Director of
 Human Resource Development, facility Superintendents, and District Managers, to ensure that all
 relevant staff are trained in this directive.
- 251 2. Local Managers will be responsible to train new staff who have not received the initial directive training.

253 QUALITY ASSURANCE

- 1. All Facility Superintendents and District Managers are responsible for compliance with policy, directive and procedures regarding the custody of inmates and supervision of offenders in the community.
- 257 2. All relevant staff will use practices in compliance with policy, directive and procedures regarding the custody of inmates and supervision of offenders in the community.
- In keeping with best practice, the Quality Assurance Division will monitor for compliance with this directive. To assist with quality controls at the local level, database supports will be explored to assist in identifying plans, pending completion at various stages of the process. In the absence of available database supports, the QA Division will conduct random audits to determine compliance.

ATTACHMENT 1-SAMPLE

	INITIAL HARWI STATEME	INI
Name	PID/DOB	Date
Where will you li	ive upon release?	
What harm have	you caused any person or your community?	
Write a hrief and	ology to your victim(s) or community.	
write a brief ape	nogy to your victim(s) or community.	
How do you inte	nd to make amends to those you have harmed?	
What activities w	vill you participate in while incarcerated to hel	p you not reoffend?
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Of	fender Signature/Date	

ATTACHMENT 2-SAMPLE

OFFE	ENDER RESPON	SIBILITY PLAN	
Name	PID	Date	
Where will you live upon releas	se?		
XX/I . I'			
Who lives at that residence?			
Who will be a positive support	people for you upon	release?	
What will you use for transpor	tation?		
what will you use for transpor	tation:		
		7	
What will you do for employme	ent?		
What have have a			
What harm have you caused ar	ly person or your co	mmumity :	
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ATTACHMENT 2-SAMPLE

	ef apology to your victim(s) or community.
When relea	ased, how do you intend to make amends to those you have harmed?
Offender N	Jame:
What activ	ities will you participate in to help you not reoffend?
What do yo	ou see as risks and how will you overcome the risks while in the community?

ATTACHMENT 2-SAMPLE

	Who/What are the people, places and things you must avoid in the community in order to be successful?
	Identify your strengths and personal assets.
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	Identify what you have done, learned, or reflected upon while incarcerated that will make you successful while under supervision?
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	(Offender Signature/Date)

ATTACHMENT 3-SAMPLE

RE-ENTRY HARM STATEMENT		
Name	PID	Date
What harm have	you caused any person or your communi	ity?
Write a brief apo	ology to your victim(s) or community.	
How do you inter	nd to make amends to those you have har	med?
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What activities w	vill you participate in while incarcerated t	o help you not reoffend?

ATTACHMENT 4-SAMPLE

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CASE PLANNING TEMPLATE

(Available from DOC in another format.

