

VT Department of Corrections

## INTERIM REVISION MEMO

**TO:** All Staff  
**FROM:** Operations Management Team  
**THROUGH:** Dale Crook, Community Corrections, Reentry, and Classification  
**RE:** Interim Revision Memo - *Offender Responsibility Plan*  
**DATE:** June 1, 2012  
**Cc:** Andrew A. Pallito, Commissioner

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On June 1, 2012 Administrative Directive #371.05 *Offender Case Planning (OCP)* is effective. It supersedes the current directive #371.05 *Offender Responsibility Planning (ORP)*.

As of June 1, 2012 Administrative Directive #371.05 *Offender Responsibility Planning* will be an Interim Procedure for one year.

For cases that already have an ORP in place, staff may choose to continue to use the current ORP until June 1, 2013. After June 1, 2013 the ORP Interim Procedure will be rescinded and will no longer be in effect.

All offenders meeting the criteria must have a current case plan - either ORP or OCP.

<b>State of Vermont Agency of Human Services Department of Corrections</b>	<b>Title: Offender Responsibility Planning (ORP)</b>	<b>Page 1 of 23</b>
<b>Chapter:</b>  <b>Programs: Classification &amp; Case Planning</b>	<b>#371.05</b>	<b>Supersedes: #371.05 Offender Responsibility Plan (ORP) dated both 4/07/2003 and 12/30/2002; #371.20 Community Release Planning dated 12/30/2002</b>
<b>Attachments, Forms &amp; Companion Documents:</b> 1. ORP Comprehensive Case Plan 2. Case Plan Instructions for Staff 3. Case Plan Notification Form		
<b>Local Procedure(s) Required: No</b> <b>Applicability:</b> All staff, including contractors and volunteers. <b>Security Level: "B"</b> - Anyone may have access to this document.		
<b>Approval:</b>  <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;">   <u>October 24, 2007</u>  <b>Date Signed</b> </div> <div style="text-align: center;"> <u>November 21, 2007</u>  <b>Effective Date</b> </div> </div> <hr/> <b>Robert D. Hofmann, Commissioner</b>		

## PURPOSE

The purpose of this administrative directive is to establish standards and provide guidelines for high quality case planning services (Offender Responsibility Planning) for designated offenders. Offender Responsibility Planning (ORP) will: 1) enhance public safety, 2) reflect restorative principles, 3) encourage and support offenders in taking responsibility for their criminal behavior and case plan development, 4) provide opportunities for victim input and participation if the victim is interested, 5) provide opportunities for community involvement, 6) connect offenders to appropriate resources, 7) build upon offender strengths and assets, and 8) require case co-management for incarcerated offenders.

## POLICY

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 and related irresponsible behavior has caused. Offender Responsibility Planning reinforces, and focuses community resources on, Department supervision of offenders.

## AUTHORITY

28 V.S.A. § 2a; 28 V.S.A. § 721. American Correctional Association, Standards for Adult Correctional Facilities, 4<sup>th</sup> Edition, 2003, Standard 4-4442. American Correctional Association, Standards for Adult Probation and Parole Field Services, 3<sup>rd</sup> Edition, August, 1998, Standards 3-3125, 3-3131, 3-3132, and 3-3138.

Agency of Human Services Four Key Practices. Department of Corrections Administrative Directives #76.05 *Positive Reinforcement*, #254.04 *Case Documentation – Electronic*, #256 *Community Notification*, #323.01 *Inmate Release Money*, #344.01 *Collaborative Community Supervision*, #371.11 *Level C Performance Expectations*, #371.15 *Conditional Re-entry*, #371.17 *Offender Contact Standards for Field Services Programs*, #501.01 *Restorative Justice Programs*, #502.01 *Victims' Rights to Release Notification*, and #502.02 *Ongoing Victim Information System RE: Offender Status*.

## **DEFINITIONS**

CSS: Correctional Services Specialist; 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 Services Specialists share responsibility for case co-management for offenders assigned to their caseload.

Case Co-management: The process by which an assigned facility Caseworker and field office Probation & Parole Officer engage in collaborative decision-making about an offender's case from their detention to discharge.

Case Planning (Offender Responsibility Planning): The process by which case co-managers, working collaboratively with the offender and associated stakeholders, make decisions about activities designed to reduce criminogenic needs, promote responsibility-taking, repair harm, and support offender reintegration into the community.

Conditional Re-entry: A furlough by which a sentenced offender is released to the community under supervision at or beyond their minimum release date.

Criminogenic Need Areas: Offender need areas which are related to criminal conduct and which, when addressed in correctional treatment, reduce the overall or specific risk for recidivism (e.g., substance abuse).

Entire Case Plan: An evolving record of the Offender Responsibility Plan detailing the goals and required action steps designed to reduce offender risk, foster responsibility, repair harm, and support community reintegration.

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.

"Max-out" Case: An inmate who completes their maximum sentence while incarcerated and is released without any Department supervision.

Needs-reducing Program: A correctional program designed to address an offender's criminogenic need areas with the goal of reducing the risk for reoffense.

Offender Responsibility Plan (ORP) – The document that covers offender case planning, case management, and reparative responsibilities. Also, ORP is Offender Responsibility Planning, the Department's strength-based restorative approach to case planning.

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 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 the Department that reduce the offender's risk to reoffend.

Probation: 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.

Programs: The Department of Corrections provides a range of treatment programs to address crime-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): The date at which it is projected that an incarcerated offender will be eligible to be released to the community.

Reintegration Furlough (RF): A furlough prior to the minimum sentence to prepare an incarcerated inmate for re-entry into the community.

Release Sensitive Notification (RSN) Case: A case in which the Department takes special care in release planning and the release of an offender and notifies parties who may be concerned before an offender is released. A case is assigned RSN status by the central case staffing team based on field and facility recommendation. Criteria for RSN status include, but are not limited to, LSI scores, victim and community sentiment, media or political notoriety of the offense, and being a listed or Level C offender. This does not pertain to sentence-detained or detained offenders.

Risk Management Caseload: For offenders under community supervision - A caseload of offenders on probation, parole, Supervised Community Sentence, and furlough that, because of severity of offense and risk to re-offend, requires higher supervision and case management services in smaller caseloads.

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

Transition/Community Support Plan: A shorter part of the ORP, it contains the action steps designed to reduce criminogenic needs and support offender reintegration shortly prior to, upon, and immediately following reentry into the community from incarceration.

## PROCEDURAL GUIDELINES

### 1. Offender Responsibility Planning Overview

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. The Department of Corrections' approach to case planning is called Offender Responsibility Planning (ORP). ORP is a restorative method of case planning that seeks to balance offender accountability with positive support. ORP is grounded in the key human service practices: client-centered, results-oriented, strength-based, and holistic.

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 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, to do the "right thing".

For a more extensive explanation of Offender Responsibility Planning see *Attachment 1, ORP Comprehensive Case Plan* and *Attachment 2, Case Plan Instructions for Staff*.

#### a. Case Co-Management/Offender Involvement

Quality case planning is a shared responsibility. It is important for the facility Caseworker and Probation Officer to successfully engage both inmates and offenders in the community in their case planning processes. For incarcerated offenders this responsibility is shared by both the facility Caseworker and Probation Officer. They 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.

#### b. Victim Involvement

Because ORP is based upon restorative principles, case planning becomes a broader and more transparent undertaking. By incorporating an offender's obligation to repair the harm, the case planning focus shifts from being mostly offender-centered to include the needs of victims. Thus, to the degree possible, the Department's case planning efforts encourage and support the involvement of victims, if they so choose.

Caseworkers/Probation Officers, assisted by members of the Victim Services Unit, are responsible for the initial contact of victims.

#### c. Community Involvement

Working together, facility Caseworkers and Probation Officers better serve offender needs while enhancing the opportunity to productively involve other important partners and stakeholders essential to preparing offenders for successful reentry. Probation Officers especially, have knowledge of community services and resources, including AHS Field Directors, Field Services Specialists, Community Partners, Service Coordinators and others (e.g., mental health providers, faith-based groups, etc.) whose interests, knowledge, skills, and resources improve the quality of case planning.

As above with victims, the offender has an obligation to repair the harm to communities.

## 2. ORP's Four Essential Functions

- a. ORP is a *restorative process*. It identifies the harm to the victim and the impact of the offender's behavior on the victim, their own family, affected parties, and the community; and it encourages the offender to accept responsibility for the harm their crime caused. Restorative processes seek to balance accountability of the offender with the repair of damage to the community and safety to the victim.
- b. ORP is also a *case plan* developed collaboratively by the offender and correctional staff. When appropriate and feasible, it involves affected parties, including the victim, should they choose to participate. It is the document that records and specifies in detail what the offender is expected, and ideally agrees, to do in order to be successful while in the Department's custody, under the Department's supervision, and when eventually they are independent of Corrections. (See *Attachment 1*.)
- c. Additionally, the ORP is the *case management system* for coordinating and delivering the range of treatment and developmental services specific to the offender's strengths and needs.
- d. The ORP is a *social contract* through which an offender demonstrates responsibility for their actions. Community acceptance and social integration of the offender are more likely to be achieved because ORP enables the offender, to the degree possible, to make things right. The social contract promotes offender ownership.

## 3. Restorative Principles

The restorative principles central to a high quality ORP process include:

- Those who are harmed/affected have an opportunity to be heard and, as available, to have their needs met through a parallel process to ORP;
- Those who are harmed/affected have an opportunity to participate in the development of the case plan if they so choose;
- The harm done is understood;
- The offender repairs the damage done to others;
- Relationships are rebuilt to the degree possible with all the people who choose to be involved;
- The outcome is seen as a community responsibility.

## 4. Offender Responsibility Plan - Essential Features

There are four essential features of an Offender Responsibility Plan:

- a. *Safety* – to address the safety and needs of the victim and community as appropriate and as requested;
- b. *Reparation* – to make amends to the victim (as appropriate, based on victim interest) and the community to the fullest extent possible;
- c. *Responsibility* – to emphasize community standards related to responsible citizenship;
- d. *Risk Reduction* – to reduce criminogenic needs of the offender.

## 5. Levels of Case Planning Services (ORP) for Offenders

Depending on an offender's legal status, length of sentence or suspended sentence, and risk, there are two (2) levels of case planning services available to both offenders currently incarcerated and those under supervision in the community. They may have an 1) "*Entire Case Plan*" or 2) a "*Transition/Community Support Plan*".

- a. Incarcerated Offenders
  - i. All incarcerated offenders serving a sentence of one (1) year or more will receive full case planning services. (*Entire Case Plan*)
  - ii. All incarcerated offenders who are subject to a needs-reducing program, regardless of sentence length, will receive full case planning services. (*Entire Case Plan*)
  - iii. Incarcerated offenders serving a sentence of less than one (1) year and who are not subject to a needs-reduction program will receive transition planning only while incarcerated. Additional case planning will occur when the offender is being supervised in the community. (*Transition/Community Support Plan only- see Attachment 1, Transition Plan, p. 13, and Attachment 2, Transition Plan, p. 21.*)
- b. Offenders "Maxing Out"
  - i. Offenders who are "maxing out", and who have been incarcerated for more than the last 24 months, will be offered the opportunity to re-enter the community during a six (6) month "window" before their maximum release date.
  - ii. Casework staff will develop, with the offender's participation, a *transition/community support case plan*. (See section on *Transition Plan, Attachment 1.*)
  - iii. As with any other offender who has an *entire case plan*, transition planning will begin six (6) months prior to the offender's projected movement date (PMD). That is, it will begin twelve (12) months before their maximum release date.
  - iv. Only through the central case staffing process will it be determined that an offender who is maxing out will NOT be released six (6) months prior to their maximum. Casework staff will still develop transition planning with these offenders; that will begin six (6) months before their PMD (maximum release date).
- c. Offenders Supervised in the Community
  - i. Only community offenders supervised in a risk management caseload will receive full case planning services (*entire case plan*) using the same case plan format for the ORP as in the facility.
    - *Conditional Re-Entry* (extension of case planning in facility) – Offenders on Conditional Re-entry will receive case planning services that are a continuation of the plan mutually developed in a correctional facility.
    - *Parole* – The case plan will take into account all relevant conditions as set by the Vermont Parole Board.
    - *Probation* - The case plan will take into account all relevant conditions as set by the sentencing District Court Judge.
    - *PAF/SCS* – The case plan will take into account treatment requirements as set by the sentencing District Court Judge.
  - ii. Offenders monitored in the community who are not supervised in a risk management caseload will not be required to complete an ORP.

**6. Case Co-management –Facility Cases**

- 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 relevant.
- 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. Case co-management also ends when an offender is released from a correctional facility upon completing their maximum sentence ("max-out") with no community supervision to follow.
- e. 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. However, it is expected that any issues can be resolved at the local level.

**7. Entire Case Plan and Transition/Community Support Plan Preparation and Authorization**

Case plan requirements, practices, and processes are explained in detail in the *Case Plan Instructions for Staff, Attachment 2*.

**TRAINING**

Facility Superintendents and District Managers will ensure that all staff responsible for completing and/or approving Offender Responsibility Plans, as well as any other appropriate individuals, are trained in all of this directive's processes and guidelines.

**QUALITY ASSURANCE**

- a. Supervisors both in the field and facility will review a representative sample of case plans from each caseload monthly for compliance with the directive and consistency with best practice. The District Manager/Facility Superintendent will report the results to the relevant central Executive quarterly.
- b. The Quality Management Unit will audit a sample of case plans annually to validate results of Casework Supervisor/Living Unit Supervisor reviews and will report their findings to the Quality Council.
- c. The Quality Management Unit will also provide technical assistance to local supervisors and managers as requested.
- d. The Quality Management Unit will audit specific situations at the request of the Quality Council.

**ATTACHMENT 1 - SAMPLE**

**VERMONT DEPARTMENT OF CORRECTIONS  
ORP ENTIRE CASE PLAN**

Development/Revision Date: \_\_\_\_\_

RSN: Y / N

(Release Sensitive Notification- Circle)

Offender Name: \_\_\_\_\_ DOB: \_\_\_\_\_ PID \_\_\_\_\_

Min Date: \_\_\_\_\_ Max Date: \_\_\_\_\_ Projected Movement Date: \_\_\_\_\_

Legal Status \_\_\_\_\_ Offenses: \_\_\_\_\_

Assigned Caseworker (Name): \_\_\_\_\_ at \_\_\_\_\_ (facility);

Assigned Probation Officer (Name): \_\_\_\_\_ at \_\_\_\_\_  
(P&P office).

**ASSESSMENTS, EDUCATION AND NEEDS**

**1. LSI** Date Completed \_\_\_\_\_ Overall Score \_\_\_\_\_

Criminal History \_\_\_\_\_% Education/Employment \_\_\_\_\_% Finances \_\_\_\_\_%

Family/Marital \_\_\_\_\_% Housing \_\_\_\_\_%

Leisure/Recreation \_\_\_\_\_% Companions \_\_\_\_\_% Alcohol/Drug \_\_\_\_\_%

Emotional/Personal \_\_\_\_\_% Attitudes \_\_\_\_\_%

**2. Sex Offender Risk Assessment (men only):** VASOR \_\_\_\_\_ RRASOR \_\_\_\_\_

Static 99 \_\_\_\_\_ High Risk? Y / N (circle)

**3. Sex Offender Registration Required? Y / N Completed? Y / N Date:** \_\_\_\_\_

**4. Check database for victim information, if relevant.** Initial \_\_\_\_\_

**5. Other Assessments:** \_\_\_\_\_

**6. Accommodations/Disabilities:** \_\_\_\_\_

(Use back if more room needed.)

**7. Education:** High School Diploma? Y / N Last Grade Completed: \_\_\_\_\_

23 or more yrs of age? Y / N Ever were on an IEP? Y / N / Not sure

Difficulty with Reading, Writing or Math? Y / N Please Explain: \_\_\_\_\_

**8. Veteran? Y / N**

**9. Other Needs:** \_\_\_\_\_

**10. DNA: Required? Y / N Collected? Y / N Date Collected:** \_\_\_\_\_





**Incarcerative Goal: (Inmates only)**

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<b>1. Objective:</b>		
<b>Offender Action Steps</b>	<b>Staff/Community Action Steps</b>	<b>Date Completed/ Last Name</b>

<b>2. Objective:</b>		
<b>Offender Action Steps</b>	<b>Staff/Community Action Steps</b>	<b>Date Completed/ Last Name</b>

<b>3. Objective:</b>		
<b>Offender Action Steps</b>	<b>Staff/Community Action Steps</b>	<b>Date Completed/ Last Name</b>

**Community Goal:**

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<b>1. Objective:</b>		
<b>Offender Action Steps</b>	<b>Staff/Community Action Steps</b>	<b>Date Completed/ Last Name</b>

<b>2. Objective:</b>		
<b>Offender Action Steps</b>	<b>Staff/Community Action Steps</b>	<b>Date Completed/ Last Name</b>

<b>3. Objective:</b>		
<b>Offender Action Steps</b>	<b>Staff/Community Action Steps</b>	<b>Date Completed/ Last Name</b>

**TRANSITION/ COMMUNITY SUPPORT PLAN**

Need Areas	Offender Action Steps	Staff/Community Action Steps	Date Completed/ Last Name
Aftercare			
Benefits Enrollment			
Children (include child support)			
Community Safety			
Education			
Employment			
Family			
Finances			
Health Care			
Housing			
Immediate Release Needs			
Interpersonal Support			
Living Skills			
Mental Health			
Primary Source ID			
Recreation Skills			
Reparations			
Restitution			
Substance Abuse			
Transportation			
Other:			

**Notes:** (Use back if more room needed.)

**Authorization of Case Plan (Entire Case Plan or Transition Plan): (Signatures)**

Offender: \_\_\_\_\_ DOB: \_\_\_\_\_

Date: \_\_\_\_\_

Facility Caseworker (if applicable): \_\_\_\_\_  
Date

Probation & Parole Officer: \_\_\_\_\_  
Date

**Reviewed by: (Signatures)**

Facility Caseworker Supervisor (if applicable): \_\_\_\_\_

Date: \_\_\_\_\_

Probation & Parole Officer Supervisor: \_\_\_\_\_

Date: \_\_\_\_\_

**ATTACHMENT 2 - SAMPLE****VERMONT DEPARTMENT OF CORRECTIONS  
ORP CASE PLAN INSTRUCTIONS FOR STAFF**

Effective case planning is a teamwork approach, the core process by which services and expectations are organized to promote, support, and guide offender change and by which community safety is enhanced. Our approach to case planning is called Offender Responsibility Planning (ORP). ORP is a restorative approach to case planning that seeks to balance offender accountability and support. Grounded in the Agency of Human Services four key practices, it is client-centered, results-oriented, strength-based, and holistic. It seeks to effectively engage offenders in the case planning process by encouraging them to assume responsibility for developing their case plan. Our job, as agents of change, is to support and assist offenders in their efforts to become responsible citizens and neighbors. Essential to successfully engaging incarcerated offenders in the case planning process is effective case co-management. Working collaboratively, we better serve offender needs while enhancing our opportunity to involve other important partners and stakeholders essential to preparing offenders for success.

**Level of Case Planning**

## a. Inmates

- i. All offenders with an incarcerative sentence of one (1) year or more will need to complete this *entire case plan*.
- ii. All inmates in a facility with a needs-reducing program will need to complete the *entire case plan* regardless of sentence length. The transition planning should be started as soon as possible, but no later than six (6) months prior to the offender's minimum release date.
- iii. For *sex offenders designated as high risk*, the transition planning will be started twelve (12) months prior to their projected release date.
- iv. For offenders granted Reintegration Furlough, transition case planning will begin at least 90 days before their 90-day window.
- v. Only a *transition/community support plan* is required for those inmates with a sentence of less than one (1) year and with no needs-reducing programs.

## b. "Max-out" cases

- i. We want inmates who are "maxing out", and who have been incarcerated for more than 24 months, to have the opportunity to be released six (6) months prior to their maximum release date. The goal is to increase the likelihood of their success in returning to the community.
- ii. As with any inmate having served over 24 months, they will have participated in the *entire case planning process*. For those who will be released six (6) months prior to their maximum release date, the Caseworker and PO will initiate the *transition/community support plan* twelve (12) months prior to the maximum release date.
- iii. For those offenders "maxing out" who are NOT being released six (6) months prior to their maximum release date (as determined by a central case staffing), the Caseworker and PO will initiate the *transition/community support plan* six (6) months prior to the maximum release date.

c. **Community-supervised Offenders**

All offenders supervised in the community in a risk management caseload will also complete an *entire case plan*. See the directive (section 5c.) for guidelines on specific legal statuses.

**Timelines**

- a. Staff will orient the offender to the case plan process within the first five (5) days of incarceration/supervision. The facility Caseworker or Probation Officer (whichever is relevant) will give the inmate/offender the *ORP Case Planning Notification Form (Attachment 3)* to read and sign.
- b. The offender will fill out the hard copy case plan form with assistance from the Caseworker/PO.
- c. The first draft of the ORP will be started by the Caseworker/PO and offender within thirty (30) days.
- d. The Caseworker/PO will enter the case plan document electronically on the ORP template within fifty (50) days of sentencing.

The case plan will be reviewed each time the facility Caseworker or Probation Officer meets with the offender and will be updated as needed.

**Note: The instructions below follow the format of the case plan, beginning with the first page.**

**Date**

The development or revision date will be noted on the top left hand corner of the first page of each case plan.

**Release Sensitive Notification (RSN)**

If an inmate has been identified as an RSN, the Caseworker circles "Y" in the upper right hand corner of this section. If not, "N" should be circled.

**Offender Summary**

The first three (3) sections of the case plan are a summary of information that is needed for the case plan. This information is completed by the Caseworker/PO working with the offender. These first three (3) sections need to be completed for ALL offenders and updated as needed.

- The **name, date of birth** and personal identification number (PID) are entered.
- The **minimum and maximum** release dates are taken from the sentence computation.
- The **Projected Movement Date (PMD)** includes the 90-day window time frame, as well as any additional Work Camp Good Time. The Caseworker should be clear with the offender that this is only a tentative date for release and subject to change; (e.g., an offender currently incarcerated in a work camp may be awarded additional Work Camp Good Time.)
- The Caseworker/PO lists the **legal status** of the offender here; (e.g., PAF, SCS, Parole, RF, etc.)
- The **offense line** notes the current convictions.
- The **facility Caseworker and Probation Officer** assigned to each offender are listed here with the name of the facility and field office, if both are relevant.

**Assessments, Education and Needs**

This section is completed and revised as needed by the Caseworker/PO. It is a summary of the offender's risk scores, strengths, education, and needs.

1. LSI: This section will have all LSI scores listed, including the overall score. If the offender has previously been under the supervision of Corrections, the Caseworker/PO needs to check for existing LSI scores. If scores exist, the Caseworker/PO needs to determine if the LSI should be completed again. If the LSI is completed again, the Caseworker/PO will reassess areas of risk. All scores over 50% will be addressed in the case plan.
2. Sex Offender Risk Assessment: If the offender is a *male* sex offender, the Caseworker/PO ensures the completion of the appropriate risk assessments and marks the scores here.
3. Sex Offender Registration Required: The Caseworker/PO must identify sex offenders who must be registered by indicating "yes" and the date that the registration was completed or no, if not completed. They will notify the offender that they meet the statutory requirement to register as a sex offender. If the offender hasn't registered and refuses to register, the Caseworker/PO will submit an affidavit to the State's Attorney's office.
4. Victim Contact Information: The Caseworker/PO checks the database to determine if there is a victim(s) and initial the case plan form after checking.
5. Other Assessments: The Caseworker/PO lists here any other assessments that have been completed.
6. Accommodations/Disabilities: The Caseworker/PO notes all disabilities and accommodations here (physical, cognitive, medical, mental health, etc.) See Department directive # 371.01 *Americans with Disabilities Act* for assessment, confidentiality, and disclosure of disabilities and necessary accommodations.
7. Education: The Caseworker/PO determines the last grade that the offender completed. If an offender is under 23, it should be noted here, along with whether or not they have earned a high school diploma. The offender should also be asked whether they have ever been on an Individualized Education Program (IEP), or have difficulty with reading, writing, or math (explaining further if they do). All information is considered to be a self-report unless the individual offender (or parent of offenders under 18) has willingly granted written permission to access their education records.
8. Veteran: The Caseworker/PO circles "Y" or "N" to indicate if the offender is a veteran. Service in the Reserves is not included unless they were ever activated.
9. Other Needs: This section is to be used when there are concerns/needs that haven't yet been noted; for example, parenting skills, victim of domestic violence, etc.
10. DNA: The Caseworker/PO circles "Y" or "N" to indicate if a DNA sample is required, if it was collected, and the date that it was collected. They will notify the offender that they meet the statutory requirement to submit a DNA sample if it was not collected. If the offender must submit one and refuses, the Caseworker/PO will submit an affidavit to the State's Attorney's office and notify their supervisor of the need for a case staffing.

## **Department Of Corrections Expectations**

It is the policy of the State of Vermont to release all offenders who are in full compliance with their case plan at their earliest eligible release date. This section is where required programming and approximate start dates are listed. Examples of programs are listed, but add any that are not in this list. The required Program Participation Credits (PPCs) are also noted here, if relevant.

## **Strengths and Assets**

Identification of offender strengths and assets is critical to successful case planning. Offenders improve more readily through their strengths than through their risks. People stay sober not because they are alcoholic (risk/need), but because they make a commitment to sobriety that they pursue with discipline (strength). It is in their best interest then to be intentional in the identification of the qualities they can draw on to address risk areas.

The domains of the LSI-R represent one source of strengths identification. Domains that score under 50% may contain elements that represent client strengths or assets in their environment. Items that are scored either 2 or 3, for example, can indicate pro-social adjustment and represent an area of the client's life to be explored.

Additional areas can also be pursued or pursued in greater depth:

- **Relationships**: People in the client's environment who are pro-social and are willing to commit to supporting their efforts to change;
- **Interests**: Activities that provide healthy outlets for positive attributes such as fitness, creativity, athletics, or charitable events, etc.;
- **Personal Assets**: Discipline in seemingly unrelated areas, financial assets, a group of pro-social friends, positive family support, etc.;
- **Employment**: Skills that may apply to fields the client hasn't tried or may be unaware of, a good work history, employers willing to write references or re-hire, etc.;
- **Education**: Possession of a secondary or post secondary degree, recognition of the value of education, ambitions in an area that requires education;
- **Affiliations**: Belonging to a church, bowling league, any pro-social organization.

Helping the client to explore these assets may result in strategies that are unique to the individual and that they can commit to with a sense of ownership. (Extra pages may be needed.)

## **Community of Planned Residence**

In this section, the facility Caseworker indicates where the offender lived prior to their incarceration and where they intend to live upon release. It is the Department's policy that offenders reintegrate into the community where they resided prior to incarceration. Exceptions to this policy must be approved by the Casework Supervisors in both the facility and field. If they are currently being supervised in the community, the PO asks where they live now.

The offender should also list what ties that they have to this community. The criteria that must be met in order for an offender to relocate to a different community may include, but are not limited to, victim fear, community sentiment, and better chances for success. The Caseworker/PO should contact the Department Victim Services Unit for victim-related questions and concerns.

## **Harm Caused**

This is an opportunity for all to understand how others have been affected by the offender's criminal behavior. The Caseworker/PO will support an ongoing exploration of harm, and this section of the case plan should be amended on an ongoing basis as the offender increases their

understanding of the harm caused. Case plan objectives can be developed to address an understanding of the impact on others.

**a. Individuals**

The offender completes a table for each person they identify as being harmed. Individuals harmed should include any direct victims, as well as other affected parties, including significant others, family members, pre-existing/future relationships, and co-workers. The offender should not be included here as someone harmed. The physical, emotional, mental, relationship harm of others needs to be considered. The Caseworker/PO will ensure that those high risks identified by the LSI domain score over 50% are addressed. For example, *“I have harmed Judy Smith, my partner and victim of my physical abuse. How have I harmed her? She is afraid for the safety of our children.”*

Contacting victims at this time is an opportunity for the Caseworker/PO to introduce themselves, understand the victim’s needs, and learn about the impact of the crime. The Caseworker/PO must ensure that the victim approves of any information shared with the offender about the impact. If the victim does not want information shared, the Caseworker/PO will help the offender generate impact in this section. The Caseworker/PO must not enter the victim information in Department electronic case notes. If there are specific questions about this process or a victim’s response, they will contact the Department Victim Services Specialist in their area.

**b. Community**

This section gives the offender the opportunity to reflect on how their actions affected the community. They will look at the community where the offense occurred, as well as the community where the offender and victims/affected parties live.

**c. Self Impact**

This is the section where the offender can reflect on how their actions have affected them. The Caseworker/PO can ask how the offense and subsequent correctional supervision have affected the offender’s personal goals, future, relationships, etc.

## **Goals**

Following a results-oriented practice, we support the offender in setting goals to make gains in their life. The goal section is an opportunity for the offender to identify what they want in the future. Although most goals will remain the same throughout supervision, the objectives and action steps will probably change.

The case plan has goals divided into three areas: *Long Range, Incarcerative, and Community*. The Caseworker/PO will encourage the offender to complete the long term section as well as either the incarceration or community areas. Additional pages/tables will be added as needed.

1. *Long Range Goal(s)*: This is the offender’s statement of their ambitions beyond their experience with the Department. It identifies goals the individual is willing to work toward and may act as motivation to complete incarceration and supervision activities; e.g., buy a house, start a family, start my own business, etc.
2. *Incarcerative Goal(s)*: These are to be completed while the offender is incarcerated. It is the offender’s statement of what they hope to accomplish while incarcerated; e.g., get out at my 90-day window, complete programming, get a facility job, etc.

3. **Community Goal(s):** This section is completed either while the offender is incarcerated or while in the community. This is the offender's statement of what they hope to accomplish while under supervision in the community; e.g., get my own apartment, complete community programming, get a job, spend time with my kids, etc.

**Objective:** A statement identifying the behavior that will lead to attaining a goal. These statements will include observable, clear, measurable behaviors with beginning and target dates. The objectives should be SMART – Simple, Measurable, Attainable, Realistic and Timely. Objectives will include areas with LSI domain scores over 50%.

Examples:

- "I want to know ways to avoid hurting my future partners."
- "I want a high school degree by 2010."
- "I want to be drug and alcohol-free by February 2008."
- Harm statement: "As a result of my B&E, Ann lost an heirloom quilt made by her grandmother." So the objective might be, "By the time I leave jail, I want to have a list of the ways I can make it up to Ann, (if appropriate, based on victim interest) besides paying restitution."
- "I will abide by facility rules during my period of incarceration to demonstrate my ability to follow rules."

**Offender Action Steps:** These are the activities that will lead to the attainment of the objective. They must be specific, measurable, and attainable and include start and end dates.

Examples:

- "I will successfully complete the CSC program by 1/05/08."
- "I will ask the school for an assessment of my reading and math by 8/10/07."
- "I will ask the teacher by 8/30/07 to help me make a plan to get a high school diploma."
- "I will find out what the rules are in this facility by 7/18/07."

**Staff/Community Action Steps:** When an offender action step requires collaboration with staff or community, the name of the responsible person/group will be written here along with the target date of completion. Again, they must be specific, measurable, attainable steps and include start and end dates.

Examples:

- "CSS Blaine will refer Bill to a Justice Center staff member for offender re-entry by 1/1/07."
- "CSS Blaine will assist Bill with setting up appointment with an AA sponsor by 1/1/07."
- "CSS Smith will make a referral to the CHSVT."
- "Instructor Jones will complete an educational assessment and provide a realistic idea of how long educational objectives will take."
- "Joe Rogers will ask staff to find someone from NA to come in and talk about drug use."
- "CSC completion by 2008 is a required activity. CSS Smith will continue to discuss CSC need with Dan Dailey and will not recommend parole until it is completed."

**Completion Date:** The Caseworker/PO will sign their last name and date of completion for each step.

**Transition/Community Support Plan**

- a. *Inmates*: The transition plan *section* will be completed for ALL inmates currently incarcerated, including those with less than a one (1) year sentence of incarceration. For those with sentences of one (1) year or longer, the transition plan should be started as soon as possible, but no later than six (6) months prior to the offender's regular minimum release date. All areas need not be addressed if there is no issue. For offenders granted Reintegration Furlough, transition case planning will begin at least 90 days before their 90-day window.
- b. *Max-out Cases*: As noted in the directive, we want to offer inmates who are "maxing out" and have been incarcerated for more than 24 months, unless otherwise **not** authorized by central case staffing, an opportunity to be released six (6) months prior to their last day of sentence. This would include completing a *transition plan*. Co-case management is important in these cases as well.
- c. *Community Offenders*: There may be certain offenders under community supervision, although not transitioning from a facility, who require completion of this transition plan section. These may include offenders who at the time of sentencing are required to change residence, employment, or community due to programmatic or Court mandates. The PO will make such recommendations to the local field Casework Supervisor for approval.

**Need Areas:** Following the human services best practice of providing holistic service to individuals, the Department considers the whole context of offenders' lives, not just one element or program. There is a list of common and comprehensive need areas in this section of the plan. The Caseworker/PO will review all areas, briefly identify any problem, and complete the steps for all areas that need to be addressed. The questions listed here are intended only as prompts.

- Aftercare: Have all arrangements been made for transfer to new treatment programs? Will new programs be needed and have appointments been made?
- Benefits Enrollment: What federal or state health or disability benefits need to be set up, or does the offender need to be re-enrolled in a program they were in before incarceration; e.g., SSI, Medicaid, VHAP, etc.?
- Children: What needs to be set up for children? This includes child support payments, child care, supervised visits, relief from abuse order restrictions, etc.
- Community Safety: The community may participate through the voice of Justice Centers. What is the offender's plan to be a law-abiding citizen?
- Education: Are there plans or requirements for continued education? Have these been addressed? **Note: All offenders serving an incarcerative sentence (in a facility or in the community) under age 23 without a high school diploma are required to attend school.**
- Employment: *For inmates*: Is there a need to develop a job placement prior to leaving the facility? What plans are there for pre-release job search? What community resources will handle this? Has a Vocational Rehabilitation/Department of Labor referral been made at least eight (8) months before anticipated release? Does this person have a complete, neat application that can easily be used to apply for jobs? *For offenders under community supervision*: Referrals should be made to Voc Rehab/Department of Labor while completing the case plan.
- Family: What support does this person need to return to their own family? What arrangements/discussions with family need to occur?

- **Finances:** Is this person in need of financial assistance and/or counseling (both money and basic financial management)? Has a connection been made with the Economic Services Division of the AHS Department for Children and Families?
- **Health Care:** This section will address medical and prescription referrals so there are no gaps in medical services and prescription availability.
- **Housing:** Is there a housing need? What are the housing plans?
- **Immediate Release Needs:** Have the offender's immediate needs for the day that they are released been planned (food, housing, meds, money)?
- **Interpersonal Support:** The Caseworker/PO will identify, by name and role, family and friends, volunteers, AA/NA connections that will be helpful, and ensure that the appropriate permissions are in place to support these people. (Names can include volunteer/Circle of Support and Accountability members, faith-based support members, etc.)
- **Living Skills:** Does the offender have cooking/self-care/shopping skills? Does this person have banking and budgeting skills?
- **Mental Health:** Have all the connections been made with local mental health providers? Are medication needs planned?
- **Primary Source Identification Card:** Two pieces of ID are needed upon release; have these been identified?
- **Recreation Skills:** Has this person made plans for how they will recreate in a healthy manner? Do they have a recreation plan? Does this conflict with supervision standards?
- **Reparations:** In addition to financial reparations, what other reparations are planned? These should be restorative; i.e., identified by the victim and community, and connecting the individual to the community.
- **Restitution:** The Caseworker/PO notes here the plan for the offender to pay their restitution.
- **Substance Abuse:** What plans need to be made for treatment and relapse prevention?
- **Transportation:** What arrangements are needed for transportation?
- **Other:**

**Offender Steps:** These are the activities that will lead to the attainment of the objective. They must be specific, measurable, attainable, and include start and end dates. For example, "make phone calls to local resources by 5/30/08."

**Staff/Community Steps:** The Caseworker/PO helps identify people who will help with the transition steps and what they will do. These people could include DOC staff, Agency staff, community members, family, and volunteers. It includes contact information. For example, "provide phone access and resource phone numbers by 1/23/08."

**Completion Date:** The Caseworker/PO will sign their last name and date of completion for each step.

### **Authorization**

The Caseworker/PO and the offender sign the plan, whether is it an entire case plan or a transition plan. The authorization of the co-caseworker also needs to occur. If the authorization occurs through email or phone, the CSS will note this in electronic case notes. The Caseworker/PO supervisors in the facility and field will also review and authorize the plan. Again, if any authorization occurs through email or phone, staff will note this in electronic case notes.

**ATTACHMENT 3 – Sample**

**ORP CASE PLANNING NOTIFICATION FORM**

(For both inmates & offenders supervised in the community)

TO: \_\_\_\_\_ Facility: \_\_\_\_\_ or Field Office: \_\_\_\_\_  
(Offender Name)

Date of Birth: \_\_\_\_\_

The Department has responsibility for helping you to prepare for your future and your success in the community through the Offender Responsibility Planning (ORP) process. Within five (5) days of your admission or intake (except for weekends and holidays), your facility Caseworker if you are incarcerated, or your Probation Officer if you are in the community, will go over this case planning process with you.\*.

The ORP case plan is your guide for taking responsibility for your offense and your future. The Department will help, but the basic responsibility is yours. Your level of participation in ORP may affect when you return to the community if you are incarcerated, the level of community supervision you are subject to, and the amount of community support you receive.

I understand and have been given notice about the ORP process.

\_\_\_\_\_  
(Offender Signature) (Date)

\_\_\_\_\_  
(Staff Signature) (Date)

**\*If you need help or have questions about this process, please ask your Caseworker or PO.**

*Cc: Offender, Offender file*

## ORP RESPONSIBILITY GRID

Effective 11.21.07

*Note: These actions are not meant to be fully inclusive of everything staff or offenders will be doing in order to develop and update successful ORPs.*

ACTION	ROLE RESPONSIBLE	TIME FRAME	OFFENDER ROLE
Assign facility Caseworker to incarcerated offender.	Living Unit Supervisor	Immediately	N/A
Assign PO in sentencing district to offender under community supervision.	Casework Supervisor	Immediately	N/A
Orient offender/inmate to case plan process, sign Orientation Notice and give to offender/inmate to sign.	Facility Caseworker/PO	Within 5 days of incarceration or sentencing	Sign Orientation Notice; ask questions
Screen offender/inmate for any ADA issues.	Facility Caseworker/PO	Immediately	Share any ADA issues.
Start filling out hard copy case plan form.	Offender/Inmate	Within 30 days of Orientation	Get assistance from Caseworker/PO to do this 1 <sup>st</sup> draft.
Determine if sex offender must register, if already registered, & notify offender if 'yes'. Fill out affidavit & submit if offender refuses.	Facility Caseworker/PO	While developing case plan	
Determine if DNA sample must be collected, if already collected & date, and notify offender if 'yes'. Fill out affidavit & submit if offender refuses.	Facility Caseworker/PO	While developing case plan	
Contact victims, if relevant.	Facility Caseworker/PO or VSS where indicated	While developing case plan & throughout re-entry process	
Start draft "entire case plan" with offenders in following statuses: incarcerative sentence of 1 year or more; all inmates with needs-reducing program	Facility Caseworker and PO together	Within 30 days of Orientation	Work with Caseworker/PO to complete

## ORP RESPONSIBILITY GRID

Effective 11.21.07

*Note: These actions are not meant to be fully inclusive of everything staff or offenders will be doing in order to develop and update successful ORPs.*

Complete draft "entire case plan" with offenders on community risk management caseload.	Probation Officer	Within 30 days of Orientation	Work with Probation Officer to complete
Complete "transition plan" with offenders in following statuses: incarcerative sentence of less than 1 year & no needs-reducing program.	Facility Caseworker and PO together	At least within 6 months of release.	Participate in developing a transition plan.
Begin transition planning phase of ORP for all offenders before their release date.	Facility Caseworker and PO together	At least 3 mos. before 90-day window for RF, 6 mos. for others, 12 mos. for max outs being released 6 mos. before max date, and 12 mos. for high risk sex offenders.	Participate in developing a transition plan.
Enter case plan on ORP template electronically.	Facility Caseworker/PO	Within 50 days of Orientation	N/A
Refer any CSS disagreements re: ORP to Supervisors.	Facility Caseworker and PO	ASAP	N/A
Determine if offender maxing out will not be released 6 months prior to max release date.	Central Case Staffing Team		N/A
Review representative sample of case plans from each caseload.	Living Unit Supervisor, Casework Supervisor	Monthly	N/A
Report results of monthly review to Central Executive.	Superintendent, District Manager	Quarterly	N/A
Audit sample of case plans & report to Quality Council	Quality Management Unit	Annually	N/A

## ORP Reference Sheet

The Caseworker/PO orients inmate/offender to ORP case plan process & ORP Case Planning Notification Form signed within 5 days of admission or intake.

Status	Sentence	Risk	Type of ORP Case Plan	Who	Ist Draft Started	When Transition Planning Started
Offenders (Incarcerative Sentence)	1 year or more	Any	Entire Case Plan	Caseworker/PO	30 Days	ASAP, no later than 6 mos. prior to min. release date
High Risk Sex - Offenders (Incarcerated)	Any Length	Needs- Reducing Program	Entire Case Plan	Caseworker/PO	30 Days	12 months prior to projected movement date
"Max Out" Cases (Incarcerated)	Being released 6 mos. prior to max release date	Any	Entire Case Plan	Caseworker/PO	30 Days	12 months prior to maximum release date
"Max Out" Cases (Incarcerated)	NOT being released 6 mos. prior to max release date	Any	Transition Plan	Caseworker/PO	30 Days	6 months prior to maximum release date
Reintegration Furlough	Any Length	Any	Entire Case Plan	Caseworker/PO	30 Days	At least 90 days before their 90-day window
Offenders (Incarcerative Sentence)	1 Year or less	No Needs Reducing Program	Transition Plan	Caseworker/PO	30 Days	ASAP, no later than 6 mos. prior to min. release date
Offenders (Incarcerative Sentence)	Any Length	Needs Reducing Program	Entire Case Plan	Caseworker/PO	30 Days	ASAP, no later than 6 mos. prior to min. release date
Conditional Re-Entry//Parole	Any Length	Any	Entire Case Plan	Caseworker/PO	Extension of facility case planning	
PAF/SCS	Any Length	Needs Reducing Program	Entire Case Plan	PO	30 Days	N/A
Probation (Risk Management)	Any Length	Needs Reducing Program	Entire Case Plan	PO	30 Days	N/A
Certain Offenders Under Community Supervision	N/A	N/A	Transition Plan	PO	30 Days	ASAP

\*For all statuses the case plan must be entered electronically within 50 days.