Case Plans

Unified Case Plan (UCP)

Unified Case Plan and translation for LEP Inmates

Unified Case Plan

Overview

At the point of Divisional intersections, DAI, DCC, and DJC case managers shall facilitate a seamless Unified Case Plan transition as the client moves from one division to the other, or within an existing Division. Examples of transitions include, but are not limited to, release from DAI to DCC, revocation from DCC to DAI, and transfers from one social worker/case manager to another.

When the person in our care (PIOC) is exiting an existing Division or transferring within the same Division, the sending case manager shall review all incomplete goals/action steps and select the appropriate completion code as a direct result of the PIOC's actions or lack thereof. All other incomplete goals and action steps shall be left open for potential continuation with the PIOC in the receiving location. The receiving case manager shall then review the existing incomplete goals and action steps for potential continuation. In the event that an incomplete goal/action step is no longer applicable, the receiving case manager shall close the goal/action step by selecting the appropriate completion code. Note, during the transition the goal should generally remain the same, as it is primarily driven by the assessment and not Division-specific.

In the case of transition from DJC to an adult Division, the receiving Division's case manager shall create a new case (Lifecycle) and case plan because the juvenile case plan will be closed at the same time as the case (Lifecycle) is closed. The case manager shall review the previous juvenile case plan for continuity and to avoid redundancy when creating the new case plan based on an adult assessment.

Overview: Skill Deficit/Growth Area, Goals, and action steps are developed based on the COMPAS assessment results, PIOC input, and additional assessment tools as outlined in DAI business process. The case plan clearly defines the road map for success for the PIOC, case manager, and others, and how it will be achieved during their time under DOC supervision. Action steps are to be focused on rehabilitation and based on identified criminogenic factors. They are to be positively stated behavioral outcomes that are specific, measurable, achievable, realistic, and time framed (SMART). Risk reduction should be the primary purpose for the UCP; therefore, the case plan should not focus solely on conditions of supervision unless they are directly related to a client's criminogenic needs. It is not always possible or feasible to develop a case plan to encompass all of the risk and need areas that have been identified. In these instances, priorities must be established and progressive case planning implemented. Customized Skill Deficits/Growth Areas may need to be entered for specialized needs that are not identified by COMPAS (i.e.. sex offender or mental health concerns). Best practice indicates that triggers, incentives, and sanctions be discussed and included but are not required while in DAI.

In order for a case plan to be effective, it must:

- involve input from the case manager, the PIOC, treatment/other service providers, and, if appropriate, the client's family members;
- focus on the top two to three driving criminogenic needs, at the most, identified by the COMPAS assessment, case manager, and PIOC;
- contain practical and concrete SMART action steps for the POIC;
- include short term objectives, allowing the PIOC to build a sense of accomplishment and achievement;
- build on a PIOC's strengths; and
- address barriers to success/responsivity factors.

The case plan is the focal point of PIOC's supervision. The case plan is created at the onset of the PIOC's DOC supervision, and will follow the PIOC through the lifecycle in the institution and the community. The case planning process is intended to be fully interactive and transparent with the PIOC.

Procedure:

A case plan shall be created for all PIOC. In the case of low risk individuals, case managers should employ strategies that support stabilization factors, strengthen connections to internal resources and align with court ordered conditions and institution rules/regulations.

COMPAS will allow case managers to choose from a dropdown menu to identify the assessment on which the case plan is based. The case plan must be created based upon the most recent assessment. This dropdown selection automatically becomes the name of the case plan and can be seen on the Person Summary screen.

Case managers will complete the below listed steps in order to create an effective case plan:

A: Engage the PIOC by encouraging involvement in the creation of the case plan, explaining the purpose, and helping the PIOC take ownership of the case plan. Case plans need to reflect PIOC's individual characteristics to engage them as this leads to reduced risk of recidivism and increased institution and public safety.

B: Target medium and high-risk individuals. During the UCP development with the PIOC, no more than three Needs, with respective Skill Deficit/Growth Areas, Goals and Action Steps will be addressed at one time. Use the dropdown options unless working under a customized need track for sex offender or mental health concerns. The Customized Needs track should only be utilized if COMPAS does not identify a specific need applicable to the PIOC.

Criminogenic Needs: Identifying the Driver

- The "drivers" tend to be in the top four criminogenic needs
- Need to find the pattern of cause in each risk area
- Not all criminogenic needs are of equal contribution
- The presence of some criminogenic needs are often derivatives of others

Sequence Selection Process of Criminogenic Needs

Determine which needs are criminogenic:

Top Four Criminogenic Needs

1. Anti-social cognition

2. Anti-social companions
3. Anti-social personality or temperament
4. Family and/or marital

Other Four

1. Substance Abuse
2. Employment
3. School
4. Leisure and/or recreation

The "other four" are likely connected with one of the "top four" criminogenic needs and rarely should be identified as the client's driver.

Responsivity: Matching PIOCs to Appropriate Interventions and Supervision Strategy

- Maximize the PIOC's ability to learn from an intervention by providing cognitive behavioral approaches and tailoring any intervention to the learning style, motivation, abilities, and strengths of the PIOC. This includes gender and other individual characteristics.
- Adjust the supervision approach and interventions accordingly

C: Review court ordered conditions and institution rules and explain to PIOC that conditions/rules and criminogenic needs will be addressed during their DOC supervision, but the conditions/rules may not be in the case plan.

D: Assess the PIOC's motivation to address criminogenic needs. This can be accomplished by use of motivational interviewing techniques, URICA, Thinking Reports, Carey Guides/BITS, cognitive behavioral programs, or other motivation enhancement strategies.

E: During the UCP development with the PIOC, no more than three Needs, with respective skill deficits/growth areas, goals, and action steps will be identified at one time. Case plans should focus on the top two to three criminogenic needs. The driver should be prioritized and identified in the actual case plan.

- A skill deficit/growth area shall be identified for each criminogenic need. Case Managers may select a skill deficit/growth area from the dropdown options or create a customized skill deficit/growth area if the appropriate drop down is not available. Skill deficits/growth areas address risk factor characteristics that drive the criminogenic need.

- One active goal shall be developed for each skill deficit/growth area. Goals should consider a PIOC's reasons for change. To accomplish this, individualized strengths, triggers, incentives and consequences may be identified with the PIOC.

Triggers

- Ask the PIOC to list the people, places and things that tend to stimulate anti-social behavior or lead to destructive decision making (i.e. What kinds of situations tend to trip you up? Who might you want to avoid to achieve greater things?).
- Formulate a response plan with PIOCs to deal with triggers (i.e. what might we do to overcome some of the barriers? How can you make success more likely?).

Incentives

- Incentives are one of the main links between people and change. Incentives should be used to encourage and reinforce pro-social behavior.
- Effective incentives must be individualized to the so as to be meaningful. It is important to identify both internal incentives (i.e. maintain freedom, ability to attend college, maintain family relationships) and external incentives (i.e. have a job, attend recreation, fewer drug tests, stay out of restrictive housing, RH).
- The goal is for the PIOC to learn intrinsic responses through this process.

Consequences

- Be creative, the sanction should impact the PIOC.
- Internal sanctions (i.e. level of remorse, family disappointed).
- External sanctions (i.e. UA, RH, Room Confinement).

Strengths

- Use strengths to help motivate and give the PIOC confidence that they can achieve success with their case plan goals.

Maintenance

For goals that are not timebound, such as a goal associated to the Substance Use need area, the Ongoing Maintenance functionality may be selected. When selected, the goal will collapse and a symbol appears on the case plan to indicate the individual goal is in maintenance.

At least one action step shall be developed for each goal. All action steps are customized to be unique to the individual PIOC. Actions steps include SMART tasks the PIOC needs to accomplish in order to achieve their goals. In general, action steps outline participation in institution resources as well as risk reduction interventions completed throughout supervision.

F: Print Out the Case Plan

- Once completed, review and sign the case plan with the client.
- The case plan will exist in COMPAS and is not required to be uploaded to an electronic file.

G: Case Plan Updates

- The case plan is reviewed at every visit with the PIOC. This emphasizes the importance of the plan as well as the responsibilities for progressing on the goals.
- The case plan is updated when there is a change or addition to a goal or action step. In addition, the case plan shall be updated at the time of their reclassification or parole hearing. Updates shall reflect progress or completion of action steps as well as any additional skill deficits/growth areas, goals and action steps to be targeted for the next review period.

Positive Affirmations/Reinforcement

- Provide more affirmations than criticisms at a 4:1 ratio (i.e.. thank you for arriving on time, waiting patiently, attending work/school, completing volunteer activities in the institution, completing your homework, actively working on your case plan, not getting any conduct reports, completing an action step in your case plan, positive work or school evaluation).
- “Stack” incentives so that the PIOC receives consistent positive feedback in the first few months of supervision.
- Make sure the reward is individualized so as to be meaningful to the PIOC.
- Use positive feedback more frequently in place of silence or negative feedback.

- Establish a positive rapport employing respect, effective listening, strength-based guidance, and authenticity to create a professional alliance that is inherent in its authority.
- Apply them frequently for optimal learning.
- Offer only incentives that can be administered and avoid those that cannot due to cost or policy.

H: Discharge/Release

- The case manager will enter end dates and appropriate completion codes of all applicable skill deficit/growth areas, goals and action steps.

Storage of UCP:

- Case plans are not filed in the Social Service file. The UCP is an electronic record within COMPAS.
- The inmate is to store the UCP within his/her Reentry Portfolio and is expected to bring a copy of the UCP to occasions where the UCP will be reviewed which may include, but are not limited to:
- Formal meetings with case manager, or other occasions per direction of the case manager.
- Re-Classification Committee Hearings
- Parole Commission Interview

Updating the UCP

The case manager will update the UCP when receiving an inmate on their institution caseload or in conjunction with the reclassification process; whichever is sooner. The most recent assessment will be utilized for updating the UCP by copying and editing the existing UCP. The software will automatically close the existing UCP when copied forward.

To further enhance and create ownership in the inmate's case plan, the inmate should be encouraged to contact the case manager when he/she has completed at task or activity. By doing this, it will provide an opportunity for the inmate to process the work he/she has done and seek guidance if needed. It will also allow for the addition of new tasks or activities.

Events that warrant an update:

- In preparation for a Re-Classification Hearing/Parole Commission Interview
- Completion of a new assessment
- Completion of a task or activity

Changes may include adding, closing, updating:

- Criminogenic Needs
- Goals, Tasks, and Activities
- Contacting DCC agent to update any active DCC task and activities
- Making appropriate COMPAS notes to include notes surrounding Needs and Goals the inmate is not currently addressing
- Entering the completion status on all active activities and tasks

Temporary Placement: Upon the temporary receipt of an inmate on the social worker / case manager cases, an entry into the UCP is not required unless, based upon staff discretion, there is a need to make an entry. Examples of temporary placements include, but are not limited to:

- Short term unit placement within the same site (as determined by site administration)
- Short term segregation placement (as determined by site administration)
- Medical (e.g., DCI Infirmary)

If an inmate arrives at the post intake site with a completed assessment but no case plan has been started and the inmate is is within 90 days to release, a case plan will not be started.

Updating Case Plans Received from Another Division

At the point of Divisional intersections, DAI, DCC, and DJC case managers shall facilitate a seamless Unified Case Plan transition as the offender moves from one division to the other, or within an existing Division. Examples of transitions include, but are not limited to, release from DAI to DCC, revocation from DCC to DAI, and transfers from one P&P Agent/Social Worker to another.

When the offender is exiting an existing Division or transferring within the same Division, the sending case manager shall review all incomplete tasks/activities and select the Completion Code of Unsuccessful for any that were unsuccessful (failed) as a direct result of the offender's actions or lack thereof. All other incomplete tasks and activities shall be left open for potential continuation in the receiving location. The receiving case manager shall then review the existing incomplete tasks/activities for potential continuation. The receiving case manager also has the option to start new tasks/activities based on Division or site-specific programs or services. In the event that an incomplete task/activity is no longer applicable, the receiving case manager shall close the task/activity by selecting the Completion Code of Closed. Any time a task or activity is updated or closed, a task note shall be created, documenting the action. Note, during the transition the goal should generally remain the same, as it is primarily driven by the assessment and not Division-specific.

In the case of transition from DJC to an adult Division, the receiving Division's case manager shall create a new case (Lifecycle) and case plan because the juvenile case plan will be closed at the same time as the case (Lifecycle) is closed. The case manager shall review the previous juvenile case plan for continuity and to avoid redundancy when creating the new case plan based on an adult assessment.

Unified Case Plan and Translation for LEP Inmates

When a Unified Case Plan (UCP) is created for LEP inmates, it shall be translated to primary language via approved vendor. A DOC 1163T is required prior to utilizing an outside vendor.

If the UCP contains Protected Health Information a DOC-1163A Authorization for Use and Disclosure of Protected Health Information (PHI) should be signed by the inmate prior to proceeding with translation.

Process for translating a UCP:

- Case plan and shall be translated at the inmate's request when goals/tasks/activities are created or updated.

- The translated version will be loaded into Virtual Folders by case manager/designee and stored in the Release Planning section
- Translated case plan should use the following naming convention: - UCP_DOC#(MMDDYY).
- For example: Inmate John Jones DOC# 123456 has a UCP that is translated in Spanish should be saved as.UCP-Spanish_123456(012222).
- A copy of the translated UCP and English copy will be given to the inmate to be stored in the inmate's portfolio and documented in COMPAS notes and WICS when appropriate