

Program Enrollment

Program enrollment is based upon professional judgment in combination with the review of several factors including, but not limited to; COMPAS Supervision Recommendation found under Supervision Recommendation Summary, priority level (WICS), case dynamics and program resources. Inmates that have refused to participate in a COMPAS assessment will not be enrolled in the following programs until an assessment is completed: Anger Management, Substance Use Disorder (SUD), Cognitive Behavioral and Domestic Violence.

It is critical to remember that The Risk Principle drives the following:

- Differentiating risk levels through risk assessment maximizes the use of resources
- Matching the intensity and duration of treatment, intervention and supervision to the level of risk
- Avoiding mixing low risk populations with medium and high risk; as such associations actually increase the risk that the low risk individuals will recidivate.

DAI has made the following determination regarding risk level and priority;

- High Risk = High priority
- Medium Risk = High priority
- Low Risk = Low priority
 - Inmates identified as low risk shall not have their need removed and will remain on the Wait List in WICS with the addition of the sub- "Criminogenic Need to be Addressed." Program provider will add a note in the Comments section of the Program Tracking History indicating reason for non-enrollment.

There will be times when statute, code or policy drives program enrollment decisions. Inmates with program needs that are eligible and suitable for earned release (CIP, ERP, RRS), sex offender treatment, and [Presumptive Mandatory Release \(PMR\)](#) inmates may be enrolled regardless of risk level.

Prioritizing program resources in an effort to provide programming to higher risk offenders, prior to lower risk offenders, is in compliance with evidence-based practices.

Case Plans

[Unified Case Plan \(UCP\)](#)

Overview

Procedure

Updating the UCP

Translating a UCP or Education Plan

[Information Reviewed](#)

[Involving the Inmate in the UCP Development and Review](#)

[Unified Case Plan and Education Plan Translation for LEP Inmates](#)

[Intervals for Updating the UCP and Education Plan within DAI](#)

[Updating the Unified Case Plan and Education Plan Received from Another Division](#)

[Unified Case Plan](#)

[Overview of Unified Case Plan](#)

The UCP is the focal point of the inmate's incarceration. A UCP should be created for all inmates and follow the inmate through the lifecycle in the institution and the community. The case planning process is intended to be fully interactive and transparent with the inmate.

Goals are developed for incarceration based on the initial intake assessment, COMPAS assessment results, additional assessment tools and inmate input. The UCP clearly defines for the inmate, case manager and others, the desired outcome of incarceration and how it will be achieved. Goals should focus on rehabilitation and be based on identified criminogenic factors. The goals are to be positively stated behavioral outcomes that are: specific, measurable, achievable, realistic, and time framed (SMART).

Risk reduction should be the primary purpose of the UCP. It is not always possible or feasible to develop a UCP 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.

ECRM_DAI_SUPERVISION_DAI SUPERVISION COMPAS_PROGRAM ENROLLMENT AND CASE PLAN

For a case plan to be effective, it must:

- involve input from the inmate, the case manager and if appropriate treatment/other service providers and the inmate's family members;
- focus on the top two to three criminogenic needs identified by the COMPAS assessment
- contain practical and concrete goals for the inmate
- include short term objectives (obtainable within 6-12 months)
- build on an inmate strengths; and
- address barriers to success.

Procedure:

A Unified Case Plan (UCP) will be created for all inmates regardless of risk level.

The UCP will be built off the most recent assessment. In these cases, the UCP shall be completed within 90 days of inmate's arrival at institution post DAI A&E intake or in conjunction with reclassification/parole hearing; whichever occurs first.

COMPAS allows the case manager to choose from a drop-down menu to identify the assessment from which the UCP is based and develop. The UCP shall be developed off the most recent assessment and is created for all inmates regardless of the COMPAS Supervision Recommendation.

A UCP shall be completed within 90 days of an inmate's arrival at an institution post DAI A&E intake or in conjunction with a reclassification/parole hearing; whichever occurs first.

The case manager shall complete the following steps to create an effective case plan:

Step 1: Review All Relevant Case Information

- WICS Inmate Classification Report; in particular,
- Primary education
- Treatment/program assignments
- COMPAS information, including the most recent assessment.

ECRM_DAI_SUPERVISION_DAI SUPERVISION COMPAS_PROGRAM ENROLLMENT AND CASE PLAN

- Pertinent information from other departments (i.e.: HSU, PSU, Social Services, job supervisor, etc.)

Step 2: Development of the UCP

- The inmate shall be present when creating the UCP.
- Engage the inmate by encouraging involvement in the creation of the UCP, explaining the purpose, and helping the inmate take ownership of the UCP. The UCP needs to reflect inmates' individual characteristics to engage them as this leads to reduced recidivism and increased public safety.
- During the UCP development with an inmate, no more than three (Criminogenic) Needs, with respective Goals, Tasks and Activities will be addressed at one time.
- The Goals, Tasks and Activities should be directly related to the Criminogenic Needs identified in the COMPAS assessment. Include at least one of the "Top 4" criminogenic needs as a part of the UCP.

Identifying the Driver - Criminogenic Needs:

It is important to determine the criminogenic need that is the driver of the criminal behavior and include it in the case plan. Consider:

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

Determine which needs are driving the behavior.

Top Four Criminogenic Needs:

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

Lesser Four Criminogenic Needs:

1. Substance Abuse
2. Employment
3. School

4. Leisure and/or recreation

Is there any reason to think that substance abuse may be driving the others? If so, elevate and choose this need as the driver. Also consider the inmate's input and your professional judgment.

Step 3: Add Goals, Tasks and Activities

- Use strengths to help motivate and give inmates confidence they can achieve success with their case plan goals.
- The case manager will maintain primary responsibility for writing and updating the UCP with the inmate.
- Only utilize pre-loaded Needs, Goals and Tasks.
- Activities are not pre-loaded and may be customized / individualized based on the inmate's needs HIPAA / PHI confidentiality must be maintained.
- Under the Tasks tab, the case manager must choose applicable tasks that relate to the chosen goal. The case manager may document start/end dates when available and completion information as applicable.
- If the goal, task or activity is not completed, enter the end date the inmate is no longer participating and enter the appropriate completion code.
- The case manager may include or consult with other staff (DOC or contracted program providers) in this process as pertinent to the case.
- A Case Plan note shall be entered on the Person Summary page upon completion, successful or otherwise, of a Goal, Task or Activity. Any Task or Activity note entered on the Case Plan itself will appear on the printed copy and be reflected in the notes section of the Person Summary page.

Step 4:

Identify and Add Triggers (Optional)

- Ask the inmate 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 can you surround yourself with to achieve greater things?).
- Formulate a response plan with inmates to deal with triggers (i.e.. what might we do to overcome some of the barriers? How can you make success more likely?).

Step 5:

Identify and Add Incentives (Optional)

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 inmate so as to be meaningful. The goal is for the inmate to learn intrinsic responses through this process.

Positive Affirmations/Reinforcement

- Provide more affirmations than criticisms at a 4:1 ratio.
- Make sure the affirmation is individualized so as to be meaningful to the inmate.
- 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.

Step 6:

Print out the UCP

- Once completed, the case plan is printed (use person version), reviewed with the inmate and signed by the inmate and case manager. The inmate is provided a signed copy for his portfolio. The inmate will receive a written copy of the initial and subsequent UCP (Person Version). Be sure to filter printing options to hide Case Plan Notes.
- As the case plan is updated when there is a change or addition to a goal or task, or activity, this process should be repeated.

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 a 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

NOTE: 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)

ECRM_DAI_SUPERVISION_DAI SUPERVISION COMPAS_PROGRAM ENROLLMENT AND CASE PLAN

NOTE: If an inmate arrives at the post intake site with an assessment completed, but no UCP started and is within 90 days to release, the assigned case manager may start a case plan if time permits.

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 Translation for LEP Inmates

ECRM_DAI_SUPERVISION_DAI SUPERVISION COMPAS_PROGRAM ENROLLMENT AND CASE PLAN

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