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|  KENTUCKY CORRECTIONS Policies and Procedures | Policy Number | Total Pages |
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| Authority/References KRS 196.030, 196.035, 197.020, 439.265, 439.250 - 439.555, 446.010 CPP 29.1 P&P ACA 2A-01, 2A-02, 2A-03, 2A-06, 2A-07, 2A-08, 2A-09, 2A-10, 2A-11, 2B-01 | Subject CASE PLANNING | |

I. DEFINITIONS

“Case manager” means the assigned classification staff member or probation and parole officer who is responsible for leading the case management team.

“Case plan” is defined in KRS 446.010.

“Department” is defined in KRS 439.250.

“Inmate” means a person who is committed to the department to serve a felony criminal sentence and is confined in a correctional facility.

“Responsivity” means an individual’s characteristics that may impact his or her approach to treatment, including culture, gender, motivational stages, developmental stages, learning styles, mental illnesses, brain injuries, and intellectual and developmental disabilities.

II. POLICY and PROCEDURE

This policy establishes procedures for preparing a case plan for an offender upon completion of the offender’s risk and needs assessment. This policy and procedure shall apply to all institutions, local facilities that handle risk and needs assessments, contract facilities, and the Division of Probation and Parole.

A. Reentry Case Plan

1. The purpose of the case plan is to provide services to reduce offender recidivism by targeting interventions related to criminal behavior and attitudes. Case planning uses the assessment process to develop objectives to address an offender’s individual criminogenic needs and risk to community safety.

| Policy Number | Effective Date | Page |
|---------------|----------------|------|
| 29.2 | April 6, 2018 | 2 |

2. If available, a review of the previous case plan shall be used in updating the case plan.
3. By using the offender's risk and needs assessment, the plan shall be individualized to the offender and incorporate the following:
 - a. Objectives to be met by the offender and the case manager,
 - b. Services and programs that address the offender's needs,
 - c. Conditions of supervision for those on supervision, and
 - d. Appropriate level of supervision according to risk and need for those on supervision.
4. The case plan shall reflect the offender's individual characteristics including level of risk, criminogenic needs, non-criminogenic needs as applicable, responsivity concerns as applicable, and specific time-limited goals.
5. Assessment results shall be verbally communicated to the offender and shall be used to develop case plan objectives that address community safety and offender needs. To identify intervention needs, the case manager shall consider the offender's criminal behavior and attitudes as well as other factors identified in the risk and needs assessment. Offenders shall not receive a copy of the risk and needs assessment results, but shall receive a copy of the case plan.
6. If multiple needs appear on the risk and needs assessment, it shall not be required that all needs be addressed simultaneously.
 - a. Consideration shall be given to individual case needs, offender abilities, and resources if determining how many criminogenic needs the case plan may contain at one time.
 - b. If not immediately addressing a need area, documentation shall be made in the offender management system explaining the reason for the choice.
7. If an offender is unavailable due to hospitalization, treatment, or incarceration, the reentry case management plan shall be completed within thirty (30) calendar days of the date the offender becomes available for supervision. The delay shall be documented in the offender management system.

| Policy Number | Effective Date | Page |
|---------------|----------------|------|
| 29.2 | April 6, 2018 | 3 |

8. The case manager shall oversee that appropriate information is entered concerning the case plan and the case management team members are aware of their responsibilities regarding the offender's case management plan.
9. If an offender transfers between facilities or districts:
 - a. The sending case manager shall document the status of goals in the offender management system, and
 - b. The receiving case manager may contact the previous case manager to obtain other pertinent information regarding the offender.

B. Reentry Case Management Team

The case management team may include Department or contract staff, community links or resources, offenders, and family members who impact the offender's life. This team may change as the needs of the offender are addressed. Not all members of the team have to be involved with the offender at the same time. For offenders with limited criminogenic needs, the case management team may consist of the case manager and the offender.

C. Objectives and Special Conditions

The reentry case management team and the offender shall jointly develop the case plan and identify the objectives and special conditions ordered by the releasing authority or as indicated by the risk and needs assessment. Areas that may be addressed include the following:

1. History of antisocial behavior
2. Antisocial Personality
3. Antisocial Attitudes
4. Antisocial Peers
5. Family
6. Education and Employment
7. Substance Abuse
8. Prosocial leisure activities

| Policy Number | Effective Date | Page |
|---------------|----------------|------|
| 29.2 | April 6, 2018 | 4 |

9. Responsivity

D. The case manager and the offender shall develop and discuss the measurable treatment objectives, which may include:

1. Offender planning, problem solving, and decision making,
2. Measurable criteria of expected behavior and accomplishments,
3. Program participation,
4. Schedule for achieving objectives and goals, and
5. Schedule for progress review.

If possible, the reentry case management team shall use supervision strategies, programs, and referrals that are evidence based.

E. The case manager and the offender shall sign the reentry case plan. The offender shall be given a copy of the plan. The initial reentry case plan shall be reviewed and approved by the case manager's supervisor. The plan shall be documented in the offender management system.

F. Timetable for Completion

1. Institutional Phase

- a. The offender shall receive information regarding the reentry case management plan during institutional orientation, as directed in the institutional reception and orientation procedure.
- b. Within ninety (90) days of case manager assignment in a permanent institution or in conjunction with a reclassification, the following activities shall occur:
 - (1) The case manager shall review case information and conduct any required assessments using the department's risk and needs assessment tool,
 - (2) The case manager shall conduct an initial interview with the offender to review all available case information and other relevant documentation, and
 - (3) The case manager and offender shall develop, review and update the reentry case management plan.

| Policy Number | Effective Date | Page |
|---------------|----------------|------|
| 29.2 | April 6, 2018 | 5 |

2. The following list shall be used in scheduling and reviewing case management plans. Each offender shall be due to be assessed based on the last digit of his inmate number that corresponds with the following months:

- a. January - 1, 2
- b. February – 3
- c. March – 4, 5
- d. April – 6
- e. May – 7, 8
- f. June – 9, 0
- g. July – 1, 2
- h. August – 3
- i. September – 4, 5
- j. October – 6
- k. November – 7, 8
- l. December – 9, 0

3. Supervision Phase

The case plan shall be completed and documented chronologically in the offender management system within thirty (30) calendar days of the offender's release to supervision.

G. Reentry Case Plan Review

1. The case manager shall monitor the offender's progress in achieving objectives or completing special conditions and shall review the case plan with the offender as needed. The offender's progress shall be documented in the offender management system.
2. The initial reentry case plan shall be reviewed by the end of the sixth month following the initial assessment. Subsequent reentry case plan reviews shall be completed annually, by the end of the twelfth month from the last case plan date.
3. The reentry case plan may be reviewed and amended if:
 - a. a new case manager is assigned,
 - b. the offender's situation has changed substantially, or

| Policy Number | Effective Date | Page |
|---------------|----------------|------|
| 29.2 | April 6, 2018 | 6 |

- c. a qualifying event occurs, including a change in program participation or status, pending violation or charge, or other significant events.
- 4. Any change in an individualized reentry case plan shall be reviewed with the offender, documented by the case manager, offender signature obtained, and documented in the offender management system.