State of Vermont Agency of Human Services Department of Corrections	Title: Facility Case Managem	ent	Page 1 of 23	
Chapter: Programs: Classification &	#371.02	-	Supersedes: #371.02 5 - Day Classification, dated 12/30/02.	
Case Planning	<b>Sup</b> #371	#371.02 da	Superseded History: #371.02 dated 12/30/02, 8/01/02 and 4/10/97.	
Attachments, Forms & Compani				
<ol> <li>Projected Movement Date (PMD) C</li> <li>Case Staffing Review Form</li> </ol>	Code Explanation			
3. Sex Offender Release Case Staffing	Form			
Sex offender Release Case Starring     Furlough Violation Case Staffing F				
5. Release Sensitive Notification Chec				
6. Case Staffing Checklist				
Local Procedure(s) Required: Yes (See Section 2, Intakes) Applicability: All staff (including contractors and volunteers). Security Level: "B"- Anyone may have access to this document.				
Approved by:				
Andrew A Dellite Commission		June 1, 201		
Andrew A. Pallito, Commissioner	r Date Signed	Date Effect	uve	

#### **PURPOSE**

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

#### **POLICY**

It is the policy of the Vermont Department of Corrections to prepare incarcerated offenders for successful transition back into the community while maintaining public safety. Offender Case Management in a facility includes assessment, classification, program planning, and re-entry planning that follow correctional best practice on security, supervision, treatment planning, continuity of services, and full utilization of community-based resources. The primary objectives are to provide protection for the public, reduce the risk of criminal behavior, support offenders to make amends, and enhance offender growth and development to become law-abiding citizens. This will be accomplished through the coordinated delivery of a continuum of services and supervision, which provides for offender, community and victim involvement, and wherever possible, the offender remaining engaged with their home community.

#### **AUTHORITY**

28 V.S.A. § 2a; 28 V.S.A. § 721.

#### REFERENCE

Agency of Human Services Four Key Practices. Department of Corrections APA Rule #00-10/Policy #256 Community Notification. Department of Corrections Policy #371 Offender Classification. Department of Corrections Administrative Directives #76.05 Positive Reinforcement, #254.04 Case Documentation – Electronic, #255.01 Sex Offender Registry & Internet Registry Determinations, #323.01 Inmate Release Money, #342.01 Pre-Sentence Investigation (PSI) Reports, #344.01 Collaborative Community Supervision, #371.05 Offender Case Planning, #371.07 Offender Risk Assessments, #371.08 Classification of Offenders Convicted of a Listed Offense, #371.10 Level C Designation for Offenders Convicted of Listed Offenses, #371.11 Level C Performance Expectations, #371.14 Furlough Residence Approval, #371.15 Conditional Re-entry, #371.22 Out of State Transfer/Supplemental Facility, #371.25 Parole Reviews & Recommendations, #410.02 Furlough *Violations*, #418.01 *Offender Out of State Movement & the Interstate Compact*, #501.01 *Restorative* Justice Programs, and #502.01 Victim Notification – Automated (VANS) and Non-automated. Interim Memo - Work Camp Eligibility and Removal, April 2012. DCF-DOC Memo of Understanding. 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.

### **DEFINITIONS**

<u>Case Co-management</u>: The process by which an assigned facility Caseworker and field office Probation & Parole Officer engage in collaborative decision-making about an offender's case.

<u>Case Management:</u> DOC activities and programs related to offender case planning, community supervision, and custody. It is the collaborative process of classifying, assessing risk and needs, case planning, applying correctional resources and supporting an offender from detention to discharge.

<u>Case Planning</u>: 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.

<u>Case Staffing:</u> Review of pertinent case plan information by Department of Corrections facility, probation and parole, and central office staff in order to make classification decisions about appropriate custody level, furlough status, programming, and level "C" designation for offenders convicted of listed offenses, as well as release sensitive notification cases.

<u>Case Staffing Review Form</u>: A form used by correctional staff to document a request to have a classification case staffing with designated authorities to determine appropriate custody levels, furlough status, community notification status, programming, and level "C" designations. Details on the form include offender name, legal status, probation and parole office site, convictions, sentence, date of request, a rationale for the request, and a recommended case staffing result.

This form also includes information relevant to details of offense, institutional behavior or field supervision, program assessment, case plan, victim impact, and case planning formulation of specific needs. (See *Attachment 2.*)

<u>Conditional Re-entry (CR)</u>: A furlough by which a sentenced offender is released to the community under supervision at or beyond their minimum release date.

<u>Correctional Services Specialist</u> (<u>CSS</u>): A staff role both in facilities and field offices; also referred to as Caseworker (facility) or Probation/Parole Officer (PO in the field). Field and facility Correctional Services Specialists share responsibility for case co-management for offenders assigned to their caseload.

<u>Criminogenic Need Areas</u>: 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).

<u>Custody</u>: A classification determination, which ensures that offenders reside in appropriate correctional facilities and living units.

<u>Furlough</u>: A legal status for an offender under the custody of the Commissioner serving all or part of their incarcerative sentence in the community outside a correctional facility. This includes offenders on pre-approved furlough (PAF), conditional re-entry (CR), reintegration furlough (RF), treatment furlough (TF), and medical furlough (MF).

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

<u>Needs-reducing Program</u>: A correctional program designed to address an offender's criminogenic need areas with the goal of reducing the risk for re-offense.

<u>Notice of Suspension (NOS)</u>: Written notice to a furloughed offender (RF, CR, PAF, HC and HD) that their furlough privileges have been suspended pending due process. Offenders issued an NOS will be brought to a correctional facility to await due process. There is a standard form.

Offender Case Plan (OCP): The Department document that covers offender case planning, case management and reparative responsibilities. OCP is also the process focused on preparing an offender to re-enter the community, and/or be successful while under community supervision.

<u>Parole</u>: 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.

<u>Probation</u>: A form of community supervision where a suspended or deferred sentence is imposed by a court, under which an offender found guilty of a crime upon verdict or plea, is subject to conditions imposed by the court and placed under the supervision of the Commissioner of Corrections.

<u>Programs</u>: The Department of Corrections provides a range of treatment programs to address crimerelated 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.

<u>Projected Movement Date (PMD)</u>: Date and reason that it is projected that an incarcerated inmate will be eligible to be moved to the next phase in the case management plan, or the reasons why the

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offender is still incarcerated. *Attachment 1* is the list of PMD codes, the descriptions and explanation of the codes.

<u>Projected Release Date (PRD)</u>: The date when it is projected that an offender will be released from a facility.

<u>Reintegration Furlough (RF)</u>: 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 additional steps in notifying community partners, victims, and other members of the public who may be impacted by the offender's release. A case is assigned RSN status by a central case staffing based on field and facility staff recommendation. Criteria for RSN status include, but are not limited to, LSI scores, victim and community sentiment, and media or political notoriety of the offense. This does not pertain to sentenced-detained or detained offenders.

<u>SSISA</u>: An assessment tool - *Simple Screening Instrument for Substance Abuse*.

#### PROCEDURAL GUIDELINES

## 1. Philosophy

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

### 2. Intake and Admission

Correctional Services Specialists are responsible for the timely and complete intake of all offenders entering a correctional facility. Facility Superintendents will develop a procedure, or revise current procedures, for new admissions to their work site that includes the following:

a. Within five (5) days of a new admission into a correctional facility, excluding weekends and holidays, the following activities shall be completed or verified on all inmates, unless special circumstances demand more time. The following shall be in accordance with all Departmental policy, administrative directives, and procedures. Note: For female offenders this may occur at the facility they transferred to after lodging.

### i. Detained Inmates

- a) Vermont, Triple III, and FBI record check (include DMV and other applicable states);
- b) A Conviction Violation Survey (CVS) will be completed on all inmates upon initial intake or lodging. A CVS is updated as needed, or when the offender's status changes. The CVS will also be updated if the inmate is convicted of a major DR
- c) Deliver Facility Orientation, including PREA orientation, unless it was done in the last six (6) months;
- d) Determine if the inmate is a parent of a minor child, and complete the Child Surveys make sure both Child Surveys are done;
- e) Contact Department for Children & Families (DCF) as required;

f) Document in electronic case notes relevant information gathered following the initial offender contact with the CSS (see 2.b. below);

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- g) Enter all intake data into the electronic database;
- h) Review inmate's file to ensure it contains the necessary documents relative to the offender's confinement
- i) DNA will be collected on a detainee if ordered by the court.

#### ii. Sentenced/Detained Inmates

- a) Vermont, Triple III, and FBI record check (include DMV and other applicable states);
- b) Update the Conviction Violation Survey when the offender's status changes, and/or if the inmate is convicted of a major DR
- c) Update Projected Movement Date (PMD) as needed, ensuring that the date matches the PMD code;
- d) Deliver Facility Orientation, including PREA orientation, unless it has been delivered in the past six (6) months;
- e) Collect DNA on all sentenced inmates with felonies or domestic assault convictions;
- f) Where applicable, complete mandated Departmental processes such as ADA (see administrative directive #371.01), Sex Offender Registry, SSISA;
- g) Update inmate information (ID/Face Sheet, Digital Photo, etc.);
- h) Document in electronic case notes relevant information gathered following the initial offender contact with the CSS (see 2.b. below);
- i) Enter all intake data into the electronic database;
- j) Review inmate's file to ensure it contains the necessary documents relative to the offender's confinement.

#### iii. Sentenced Inmates

- a) Vermont, Triple III, and FBI record check (include DMV and other applicable states);
- b) Complete a new Conviction Violation Survey when the offender's status changes, and/or if the inmate is convicted of a major DR;
- c) Determine/update Projective Movement Date (PMD) as needed, ensuring that the date matches the PMD code;
- d) Determine/update the Projected Release Date (PRD);
- e) Collect DNA on all sentenced inmates with felonies or domestic assault convictions;
- f) Deliver Facility Orientation, including PREA orientation, unless it has been delivered in the past (six) 6 months;
- g) Determine Management Program Level (MPL);
- h) Complete LSI-R on all sentenced inmates or update LSI-R and/or other appropriate risk assessments as needed in accordance with administrative directive #371.07 *Offender Risk Assessments*;
- i) Complete any mandated Departmental process such as ADA, Sex Offender Registry, SSISA, Child Survey;

- j) Update inmate information (ID/Face Sheet, digital photo, etc.);
- k) Complete the Reintegration Furlough Eligibility assessment in the database;
- In accordance with directive 371.27 Home Confinement Furlough, an offender whose maximum sentence does not exceed 180 days will be reviewed for placement on Home Confinement.

- m) Determine mandated programming and make appropriate referrals;
- n) Determine if the inmate is work camp-eligible, and if so, make the appropriate referral; (See Interim Memo, *Work Camp Eligibility & Removal.*)
- o) Determine if the inmate is a candidate for Out of State (OOS) placement, and if so, prepare the OOS packet as required;
- p) Complete Section 1 of *Classification and Facility Expectations* of the Offender Case Plan (OCP), found in the database assessment tools;
- q) Begin residence approval process if sentenced to six (6) months or less;
- r) Document in electronic case notes relevant information gathered following the initial contact with the CSS (see 2.b. below);
- s) Review the inmate's case with the field CSS. To determine if a Release Sensitive Notification (RSN), MPL override, or sex offender release staffing is needed, the Facility Caseworker will review the case with the field CSS;
- t) Enter data into the electronic database for the above, where applicable;
- u) Review inmate's file to ensure it contains the necessary documents relative to the offender's confinement.

### b. Initial Inmate Contact with Facility Caseworker (CSS) (Instate Facilities)

The initial inmate contact with the assigned CSS will occur within five (5) business days of admission, or transfer to a facility:

- i. Conduct and/or review all risk and needs assessments applicable for the inmate, and review the results with the inmate.
- ii. Discuss with the offender how case planning, treatment and re-entry planning will be guided through the use of assessment tools.
- iii. Review with the offender the results of any assessments, focusing on areas, which will require case planning, re-entry planning or treatment.
- iv. Explain that the goal of corrections, treatment, programming and community supervision is to assist the inmate in becoming a law-abiding citizen.
- v. Explain the role of the CSS, which includes, but is not limited to, facilitating behavioral change by identifying the offender's strengths and assets and applying these to reduce the criminogenic needs identified by the assessment instruments.
- vi. Assist in a re-entry plan, which will establish community resources prior to their release in order to improve their successful, long-term re-entry.
- vii. Explain the expectations of the inmate regarding their behavior, programming requirements, and re-entry planning.

- viii. Review and discuss the Offender Case Plan (OCP) with the inmate, and inform them about the Transition Planning class offered by the CHSVT.
- c. Initial Contact with OOS Caseworker (CSS) (OOS Facilities)

The initial contact with the CSS will occur within five (5) business days of the case being assigned to the Out of State Caseworker. The first contact will be by letter to the inmate, introducing the assigned caseworker as well as informing the inmate of how they and/or their family may get in touch with the assigned caseworker:

- i. Explain the role of the CSS, which includes, but is not limited to, facilitating behavioral change (which includes referral to DOC or other community-based treatment programs and providers as needed), responding to non-compliance, and contacting partners, employers, and other collateral contacts.
- ii. Let the inmate know the specific rules and regulations of the out of state facility at which they are housed. Orientation will be provided to all out of state inmates by the out of state facility staff (contractor) at the facility at which they are housed.
- iii. Review all risk and needs assessments applicable for the inmate, and review the results with the inmate.
- iv. Collaborate with the inmate on an appropriate treatment referral if needed.
- v. Explore residence options and re-entry planning with the inmate.
- vi. Review the conditions of community supervision.
- vii. Review and discuss the Offender Case Plan (OCP) with the inmate.
- viii. Explain to the inmate what is needed in the OCP and tell them about the Transition Planning class that is being offered by the CHSVT, as well as other activities available to them.

#### 3. Contact Standards

- a. <u>Instate Inmates</u>: After the initial meeting, the CSS will meet with the inmate on an as-needed basis or during any case management activity (staffing, parole review, treatment review, etc.), but will meet with the inmate at least every 14-calendar days. This meeting **and any updates/changes within the last 14 calendar days** will be documented in electronic case notes.
- b. Out of State Inmates: (Sentenced Offenders) After the initial contact with the inmate housed out of state, the assigned CSS (Caseworker) will meet with the inmate on scheduled out of state trips, as well as contact them via phone and/or interactive TV as needed. The Caseworker will be required to enter an electronic case note at least every forty-five (45), days which would include an updated summary of activities, programming, employment, or any ongoing case co-management activities. For Interstate Compact cases, the standard will be every sixty (60) days. The Caseworker will enter an electronic case note, which would include an updated summary of activities, programming, employment, or any ongoing case co-management activities.

#### 4. Case notes

The assigned CSS will document in electronic case notes all inmate meetings, case management events, reviews, staffings, team meetings, assessments, and any time there is an event or change for

the inmate. All case notes will be in accordance with administrative directive #254.04 *Case Documentation – Electronic*.

# 5. Case Co-management

- a. Two (2) CSSs will be assigned to all sentenced and sentenced/detained incarcerated inmates: one (Caseworker) from the facility where the inmate resides, and one from the field office (Probation Officer) in the sentencing district (or where the inmate will eventually be supervised). The CSSs work together in a process called case co-management, which focuses on release planning for an offender.
- b. Case co-managers will routinely discuss facility-based re-entry services, which may support successful community transition, residence options, community expectations and utilization of community resources. They will conduct Case Management reviews as outlined in the time frame below. These reviews will be documented in electronic case notes.
  - i. <u>Initial</u>: The case co-managers will review Section 1, *Classification and Facility Expectations*, of the OCP, sentencing information and release planning. They will review the case and make programming determinations. They will also determine if a case staffing is required (e.g., MPL overrides/RSN/program determinations.)
  - ii. One (1) year until projected release date: The case co-managers, along with the inmate if possible, will review and discuss release planning and residence options, obstacles and barriers that the inmate faces around transition, community supports, programming and other related or important case planning needs.
  - iii. 180 days until projected release date: The case co-managers and the inmate will meet or use other means of communication (e.g., phone conference) to review the inmate's case and Section 2, *Transition and Re-entry Plan*, of the OCP. The purpose of this meeting is to prepare for release and to bring together the Probation Officer and the inmate. There will be discussion and case planning around residence, obstacles and barriers to release, community supports, programming progress, community resources available to the inmate, field case planning, and field expectations. The case co-managers will also screen the residence for appropriateness (e.g., Section 8/subsidized housing, exclusionary zones, victim proximity, sex offender compliance, etc.)
  - iv. <u>90 days until projected release date</u>: The PO will do a residence check review and if applicable, notify the occupants of the proposed residence of acceptability. If the residence is denied, both CSSs will discuss other residence options with the inmate.
  - v. 30 days until projected release date: Both CSSs and the inmate will meet to review the inmate's case and preparation for release, review Section 2, *Transition and Re-entry Plan*, updating if needed, and discuss Section 3, *Community Case Plan and Field Expectation*. This meeting will be focused on field expectations, employment, transportation and community referrals. The PO will conduct the physical residence check for appropriateness.
  - vi. Offenders Held on Furlough Violations: Both CSSs will review the case staffing decision and will begin release planning where appropriate. It is the PO's responsibility to follow through with the case staffing decision and release decision.
- c. In the event that the case co-managers disagree, the issue will be referred to the field Correctional Program Supervisor and the facility Living Unit Supervisor. If the dispute cannot be resolved at this level, the District Manager and Facility Superintendent will be notified. If the District Manager and Superintendent cannot agree on a resolution, they will contact the

Director of Community Corrections, Re-entry and Classification to resolve the issue. However, it is expected that any issues can be resolved at the local level.

# 6. Levels of Case Planning Services (OCP) for Inmates: Case-planning services will be in accordance with administrative directive #371.05 Offender Case Planning.

- a. All incarcerated inmates serving a sentence of 90 days or more will require completion of Section 1, *Classification and Facility Expectations*, of the OCP.
- b. All incarcerated inmates serving a sentence of six (6) months or more will require completion of Section 2, *Transition and Re-entry Plan*, of the OCP.

## 7. Case Review and Summary

- a. The assigned facility CSS will conduct a case summary and review every 90 days on all sentenced inmates assigned to them.
- b. The case summary will involve a review and update of all necessary case information; the CSS will enter an electronic case note summarizing the review. The review will consist of the following:
  - i. Current convictions and sentence, as well as their minimum and maximum release dates;
  - ii. Review and update if necessary of the Projected Release Date (PRD);
  - iii. Review and update if necessary of the Projected Movement Date;
  - iv. Review of current RF eligibility;
  - v. Inmate's proposed residence for release;
  - vi. Review of obstacles or barriers that would impact release and possible solutions;
  - vii. Review of inmate's behavior, to include disciplinary reports and incident reports;
  - viii. Review of progress of the inmate with their Offender Case Plan (OCP);
  - ix. Review of progress in programming;
  - x. Any other pertinent information;
  - xi. The CSS' professional observations on the progress the inmate is making in changing their behavior. The CSS will document the level of accountability, recognition of harm done, and progress in addressing risk/need areas. Recognition and reinforcement for positive activities the inmate has accomplished will be discussed with the inmate, and documented in this summary.

# 8. Projected Release Date (PRD)

This is the date when it is projected that an offender will be released into the community. This date may change based on circumstances, such as work camp "good time", RF eligibility or case staffing determination. The CSS will ensure the accuracy of the PRD throughout case reviews while the offender is incarcerated and document any changes in the 90-day case summary.

# 9. Projected Movement Date (PMD) and Codes

The PMD gives the date and reason it is projected that an incarcerated offender will be eligible to be moved to the next phase in the case management plan, or the reasons why the offender is still incarcerated. *Attachment 1* is the list of PMD codes, descriptions and explanations of the codes. PMD codes may change based on changes during the case management process. The CSS will document any date/code changes in the database.

# 10. Programming

The CSS will prepare packets needed for treatment depending on the crime the offender is convicted of, as well as length of minimum sentence, criminogenic risk/need areas and programming requirements. The CSS must also fill out the ADA accommodations assessment for all program-required inmates. Once programming needs have been identified, a program packet will be sent to the respective program facility.

### 11. Work Camp Placement

- a. All offenders meeting work camp eligibility and requirements will be referred to the Director of Community Corrections, Re-entry and Classification/designee for Work Camp placement.
- b. It is the responsibility of the Facility Superintendent to ensure that all eligible offenders in their facility have been referred to the Director of Community Corrections, Re-entry and Classification/designee for Work Camp placement. (See Interim Memo, *Work Camp Eligibility & Removal.*)
- c. The facility CSS or CLUS will refer the case to the qualified health care professional for inmate medical clearance.

#### 12. Out of State Placement

Any offender who has 60 days or longer to serve where they are not required, or refuse to do, correctional programming will be referred for Out of State placement. Out of State packets, will be submitted to the Out of State Unit. The Out of State Unit will review the packet and make referrals to the Health Services Director for medical and mental health approval. It is the responsibility of the Facility Superintendent/designee to do regular facility headcount reviews to identify offenders for Out of State Placement.

#### 13. Central Level Case Staffing

- a. Except for Furlough Violation staffings, all case staffings will involve input from both the facility and field case managers.
- b. All required case staffing reports will be reviewed and approved by the designated supervisor. This supervisor will forward the case staffing report to the Director of Community Corrections, Re-entry and Classification/designee.
- c. A Case Staffing Checklist (Attachment 6) will be completed on all central level case staffings.
- d. All Case Staffings and necessary documentation will be submitted the week prior to the scheduled central level staffing.
- e. Case staffing reports will generally be completed between the case co-managers. In cases where either the field or facility CSS has differing opinions related to the release of an inmate, the party requesting the case staffing will be responsible for completion of the case staffing form

### 14. Types of Case Staffing

a. <u>Custody and Placement Decisions</u>: The case staffing review process will be used whenever an offender is being recommended for custody classification overrides or any other custody decision, which is extraordinary. In these cases the facility CSS or supervisor will contact the Director of Community Corrections, Re-entry, and Classification/designee to schedule a review of the particular offender's custody designation. The requesting facility CSS will complete the *Case Staffing Review Form (Attachment 2)* and forward the form and

accompanying information to the Director of Community Corrections, Re-entry, and Classification/designee. Upon receipt of the case staffing review request, he/she will then schedule a case staffing with all interested facility and fieldwork sites. The Director/designee will document the results of the case staffing.

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- b. <u>Program Participation Decisions</u>: The case staffing review process will be used whenever staff determine that there is justification to classify the offender differently than what is typically identified in the classification guidelines concerning program participation requirements. These case planning considerations may sometimes be referred to as "outside the box" in terms of case plan requirements or designation. Examples may include adjusting an offender convicted of a listed offense from a Management Program Level A to Level B, or overrides for Work Camp eligibility. In these types of cases, the requesting case manager will forward the *Case Staffing Review Form* (*Attachment 2*) to the Director of Community Corrections, Re-entry, & Classification/designee who will schedule a case staffing review of the particular case with all interested parties. At the conclusion of the case staffing decision-making review process, the Director/designee will document the results of the case staffing.
- c. Sex Offender Release and Parole Recommendation Decisions: This case staffing review process will be used whenever a sex offender is being recommended for release into the community or for a positive recommendation to parole. A Sex Offender Release Case Staffing Form (Attachment 3), treatment summary, PSI Report, and any other related documentation will be submitted to the Director of Community Corrections, Re-entry, and Classification/designee. He/she will convene a meeting of all designated Executive Directors and facility and field staff. A representative of the facility or probation and parole field office will present a case summary to the Executive Directors. At the conclusion of the case, staffing meeting a decision will be made concerning the release of the offender.
- d. <u>Furlough Violation</u>: All violations of furlough will be staffed locally by the District Manager /designee for resolution. There is no need for a case staffing report at this level. The DM/designee will enter an electronic case note outlining the staffing determination and <u>release plan</u>. If the staffing determination is for an interrupt greater than 30 days or a furlough revocation, it must be staffed with Central Office. For case staffings forwarded to Central Office, the PO will fill out the *Furlough Violation Case Staffing Form (Attachment 4)*, and a staffing will be scheduled.
- e. <u>Level "C" Designation Decisions</u>: The case staffing review process will also be utilized for cases, which may be classified as Level "C" Designation. These are cases that begin when an incarcerated offender has been convicted of one (1) or more statutorily listed offenses. Level "C" designation is reserved for those offenders whose listed offenses are egregiously harmful and who are assessed as high risk for future violent criminality. (See administrative directive #371.10.) In these cases the Facility CSS will forward a *Case Staffing Review Request Form*, along with all other forms which are outlined in directive #371.10, to the Director of Community Corrections, Re-entry, and Classification/designee. He/she will then convene a meeting of all designated Executive Directors and facility and field staff. A representative of the facility or probation and parole field office will present a case summary to the Executive Directors. At the conclusion of the case staffing meeting a decision will be made concerning the Level "C" designation.
- f. <u>Release Sensitive Notification Decisions (RSN)</u>: The case staffing review process will be utilized for identification of release sensitive notification cases. The purpose of these case staffings is to ensure quality assurance for those cases whose release to the community will be sensitive to the victims, community members, law enforcement personnel, and news media. In

Effective Date: June 1, 2012 these cases, the requesting CSS will forward a Case Staffing Review Form and all other forms as required, as well as document in electronic case notes. The Director of Community Corrections, Re-entry, and Classification/designee will convene a case staffing meeting with Department Executive Directors and all necessary facility and field staff. A representative from the facility or probation and parole office will be designated to present the case summary to the Department Directors. If RSN approval is determined by consensus, the Deputy Commissioner will signify the decision by signing the RSN Checklist Form (Attachment 5.)

g. Direct Community Placement (DCP): Offenders who are "maxing out" from a facility, and who have been incarcerated for more than the last 24 months, will have the opportunity to be released to Conditional Re-entry Supervision for the last six (6) months of their sentence, upon approval of a release plan. The offender's minimum release date and maximum release date must be more than six (6) months apart. If either the field or the facility believes that this would put the offender, victim or community at risk, this case will be staffed to determine eligibility for the DCP window. The staff person recommending denial of the DCP is responsible for producing the case-staffing document.

# 15. Transition Planning: Transition planning will begin at day one (1) and will continue until release.

- a. OCP Section 2, Transition and Re-entry Plan
  - Section 2 will be done on all offenders 180 days prior to the earliest release date, except for those listed in section a.ii.
  - ii. Certain offenders will need more time to prepare for re-entry. For the group listed below, the Transition and Re-entry Plan will occur at least one (1) year prior to the earliest release date. Those are:
    - a) Offenders who are convicted sex offenders;
    - b) Offenders who will be difficult to transition due to mental health reasons (SFIdesignated);
    - c) Offenders designated RSN;
    - d) Offenders designated Level C.
- b. Residence Approval: The residence approval process will be in accordance with administrative directive #371.14 Furlough Residence Approval or as directed by probation or parole conditions.
  - 180 days prior to the projected release date the facility CSS will notify the field CSS of the proposed address for release. The field CSS will review the proposed residence and determine if it is appropriate (e.g., Section 8/subsidized housing, exclusionary zones, victim proximity, sex offender compliance, etc.) and then document the decision in electronic case notes.
  - ii. 90 days prior to the projected release date the field CSS will be responsible to contact the residence and collaterals for appropriateness and notify the facility CSS of the outcome.
  - iii. 30 days prior to the projected release date, the physical residence check will be completed by the field office.
- c. Reintegration Furlough (RF): All offenders will be reviewed by the case co-managers to determine RF eligibility in accordance with administrative directive #371.26 Reintegration Furlough.

d. <u>Conditional Re-entry (CR)</u>: All releases of offenders who will be on CR status will be done in accordance with administrative directive #371.15 *Conditional Re-entry*.

Effective Date: June 1, 2012

- e. <u>Parole</u>: All releases of offenders requiring a review by the Parole Board will be done in accordance with administrative directive #371.25 *Parole Reviews and Recommendations*. The CCS who has the case 30 days prior to when the parole packets are due is responsible for the parole summary.
- f. <u>Sex Offender Registry</u>: Sex Offender Registry requirements will be done in accordance with administrative directive #255.01 *Sex Offender Registry and Internet Registry Determinations*.
- g. <u>Interstate Compact Cases</u>: If the offender is projected to reside in another state after release, the assigned CSS will manage this process in accordance with administrative directive #418.01 *Offender Out of State Movement and the Interstate Compact*.
- h. <u>Notifications</u>: Victim and community notifications will be in accordance with departmental policy and State statute.

# 16. Case Management Time Lines Summary: Below is a timeline for important case management activities.

- 5 business days after sentencing
  - o Intake, Assessment, Classification, and Admission
  - o CSS Meeting
  - o Initial Case Co-Management Review between field and facility CSS
  - o Section 1, Classification and Facility Expectations, of the OCP.
- 5 business days after arrival at facility
  - o Initial CSS Meeting
- 1 year prior to Projected Release Date
  - o Case Co-Management review between the assigned CSSs and the inmate
  - o Section 2, *Transition and Re-entry Plan*, for RSN, Level C, Sex Offenders, and SFI-designated inmates
- 180 days prior to Projected Release Date
  - o Section 2 Transition and Re-entry Plan
  - o Case Co-management meeting with assigned CSSs and the inmate
  - o Initial residence screen
- 90 days prior to Projected Release Date
  - o Initial residence screen for approval
- 30 days prior to Projected Release Date
  - o Case Co-Management meeting with assigned CSSs and the inmate
  - o Physical residence check

#### **TRAINING**

- 1. It is the responsibility of the Director of Community Corrections, Re-entry, and Classification/designee, in collaboration with the Director of Facility Operations, the Director of Human Resources Development, Facility Superintendents, and District Managers, to ensure that all relevant staff are trained in this directive.
- 2. Local Managers will be responsible to train new staff after the initial training.
- 3. It is the responsibility of the Director of Community Corrections, Re-entry, and Classification and the Director of Human Resources Development to develop and deliver a training curriculum on evidence-based practices, casework, and case management strategies, and core correctional competencies. These trainings will be delivered by departmental staff as well as from experts from outside of the Department. This will include trainings at the Vermont Corrections Institute, on-site trainings and trainings at the Correctional Academy, as well as online training.

#### **OUALITY ASSURANCE**

- 1. All District Managers are responsible for compliance with policy, directive and procedures regarding the supervision of offenders in the community.
- 2. All appropriate staff will use practices in compliance with policy, directive and procedures regarding the supervision of offenders in the community.
- 3. In keeping with best practice, the Quality Assurance Division will monitor for compliance with this directive.
- 4. After the directive becomes effective, baseline data will be determined for the various measures to gauge performance and provide feedback to various levels of the Department. Measures from the directive will be incorporated into the monthly quality assurance central reporting process

## PROJECTED MOVEMENT DATE CODE EXPLANATION

## **CODE DESCRIPTION**

**EXPLANATION** (date to be used)

Effective Date: June 1, 2012

PT Program Termination

6 months from termination date

This code is to be used when an inmate is terminated from a Department treatment program. The date used is 6 months from the termination date. When the 6 months expires, the assigned CSS will offer the inmate an opportunity to reapply to the program. If the inmate accepts, the proper referrals will be made to the appropriate program; once the inmate is in the program, the PMD code will change to Program Completion (PC) and the date would follow the rules under the PC code. If the inmate refuses the program or has yet to complete any assignments necessary to gain re-entry, the code should change to Program Refusal (PR) and the date should follow the rules under the PR code.

PR Program Refusal

6 months from refusal date

This code is to be used when an inmate refuses to participate in a Department-mandated program such as CSC or VTPSA. The date used is 6 months from the date the inmate refuses. When the 6 months expires, the assigned CSS will again offer the inmate an opportunity to apply to the program. If the inmate accepts, the CSS should submit the proper referral to the appropriate program. Once the inmate is in the program, the PMD code will change to Program Completion (PC) and the date would follow the rules under the PC code. If the inmate again refuses to participate in the program, the code should remain PR and the date changed to 6 months from the more recent refusal. If the inmate's max date is less than 6 months from the refusal, the PR code should remain and the max date used.

B1 Lack Housing

date returned to facility, date residence issue known

This code is to be used when an inmate is eligible for release (including RF) but they cannot secure a residence. The date used should be the date that the inmate was returned to the facility from the field for losing their residence, or the date after the minimum that it is known that the inmate cannot find a residence.

B2 Residential Treatment

date of staffing

This code is to be used when the case is staffed centrally and accepted into a residential treatment facility in the community, which is necessary for the inmate to be eligible for release. The date used should be the date that the staffing occurred. Once a treatment bed is found and a release date is secured, the inmate should remain a B2 until they leave, as that is the reason that they are over their minimum.

PE Program Eligible

date of program eligibility to include 180-day window

This code is to be used when an inmate is prior to their minimum release date. The code determines when an inmate is eligible to enter a mandated DOC program such as CSC or VTPSA. In determining when an inmate is eligible to enter into a program, a PPC calculation worksheet must be completed in accordance with Directive #371.12. The 180-day RF needs to be considered in this calculation. Once the CSS has determined the number of PPCs, they will have to work backwards from the inmate's minimum release date to determine the correct program eligibility date.

MA Max Release

date of maximum release

This code is to be used when it has been determined that an inmate will max out their sentence. The date used is the maximum release date. Split sentences should be reflected under this code.

#371.02 Facility Case Management Attachment 1 - Sample

PC

Program Completion

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date of program completion to include 180-day window

Effective Date: June 1, 2012

This code is to be used when an inmate is in a Department-mandated program. The date used is the date that the inmate is going to complete the program, which should normally be the inmate's minimum release date including their 180 day RF. However, given suspensions, terminations and unearned PPCs, this date can change by the month and should be updated whenever necessary.

MP Max to Probation Release

date of maximum release

This code is to be used when it has been determined that an inmate is serving a split sentence and will be released to Probation Supervision. MP is to be used when Programming is not an option. The date used is the maximum release date.

MA Max Release

date of maximum release

This code is to be used when it has been determined that an inmate will max out their sentence. The date used is the maximum release date.

CR Conditional Release

date of minimum release/date of planned release

This code is to be used for inmates who are not mandated for in-house DOC programs, not eligible for RF, and are waiting for their minimum sentence to expire so they can be released. The date should be their minimum release date.

P3 Program Suspension – 30 days

date of suspension

This code is to be used for inmates who have been suspended for 30 days from a mandated Department program. The date used is the date that the inmate was suspended. It should be noted that on the 31<sup>st</sup> day, the inmate should be placed back into the program and their code then changed to PC with a new program completion date.

P6 Program Suspension – 60 days

date of suspension

This code is to be used for inmates who have been suspended for 60 days from a mandated Department program. The date used is the date that the inmate was suspended. It should be noted that on the 61<sup>st</sup> day, the inmate should be placed back into the program and their code then changed to PC with a new program completion date.

P9 Program Suspension – 90 days

date of suspension

This code is to be used for inmates who have been suspended for 90 days from a mandated Department program. The date used is the date that the inmate was suspended. It should be noted that on the 91<sup>st</sup> day, the inmate should be placed back into the program and their code then changed to PC with a new program completion date.

GS Graduated Sanction

date sanction ends – release date

This code is to be used for inmates who have been returned to a facility on a Graduated Sanction. The date used is the date the sanction ends, which should also be the release date.

NC New Charge

date returned to facility or charge added, to include citations

This code is to be used for inmates that have been returned to a facility from some type of furlough (CR, PAF, etc.) status and have been charged with a new crime, or have been charged with a new crime while incarcerated. It is reserved for inmates who have actually been charged with a new

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crime, not for inmates who *may* be charged with a new crime. The date used should be the date returned to the facility or the date that the charges were added.

NS NOS/Staff

date returned to facility, staffing date - use if not a GS or NC, or waiting for staffing.

This code is to be used for inmates who have been returned to the facility from Conditional Re-entry status and have been served Notice of Suspension paperwork. The date used should be the date that they were returned to the facility. This code should be used even if the inmate waives their right to a hearing. Once the staffing has occurred, the code should be changed to reflect the results of the staffing. Normally the code will change to Centrally Authorized (CA), but other codes may be appropriate as well.

CA Centrally Authorized

staffing release date or staffing review date

This code is to be used for inmates who have been staffed at the Central Level (monthly staffings at central office or weekly staffings through the Director of Community Corrections, Re-entry and Classification/designee.) The date used is the date that is set by the staffing for the inmate's release; or if the decision of the staffing is to re-staff the case after a specific period of time, the date should be listed as the new staffing review date. This code would generally be used for NOS cases that have been staffed and a decision made to release an inmate at a time in the future. The NS code would change to a CA code and the release date used.

RF Re-integration Furlough

date (180 days or less) prior to minimum release

This code is to be used for inmates who qualify to be released on Re-integration Furlough\*. The date would always be prior to the minimum release date. The date used should be the date that the inmate is scheduled for release. If no release date has been determined because it is too early in the inmate's sentence, the date used should be exactly 180 days prior to the inmate's minimum release date. In rare cases, inmates may qualify for Early Release, which is an additional 5 days award that is calculated in the database. If an inmate qualifies for Early Release, the RF code should be used, and the date used should be 180 days prior to the minimum release date plus any additional 5 days awards.

\*Additionally, this code should be used for offenders sentenced to less than 365 days for an eligible misdemeanor, per statute. These cases qualify for RF release at any time within their sentence.

Revised 5/2012

# **CASE STAFFING FORM**

Effective Date: June 1, 2012

Name: Inmate name		
Type(s):		
Custody and Placement	Program Participation	
Level C Designation	RSN	
Date of Birth: DOB		
Facility Site: CRCF	Field Site: BAPP	
Facility CSS: Facility Caseworker	Field CSS: Field PO	
STAFFING INFORMATION		
Date of Request: Enter date staffing report submitt	ed to Classification division.	
Requested by: Enter person/title/office/facility requ	uesting staffing.	
<b>Rationale for Request:</b> Enter details of current behaview request.	naviors or needs which precipitated the staffing	
<b>Review and Approved by:</b> Enter person/title of CWS/CLUS/CPS who reviewed, approved, and fowarded to the Classification division.		
CONVICTIONS & SENTENCE INFORMATIO	)N	
Affidavit attached:		
Prior Record: Enter relevant convictions that relate	e to current convictions or behaviors.	
INSTITUTION BEHAVIOR AND FIELD SUPP	ERVISION	
Facility Behavior Summary: Enter brief overview	of inmate's behavior.	
Prior Supervision History: Enter brief overview of inmate's past supervision history.		
PROGRAM ASSESSMENT		
Overview: Enter brief overview of inmate's program	m needs.	
Program History: Current and Past Program Histo	ry	
CASE PLAN		
Case Plan: Provide narrative related to progress and This will include release planning, residence, employing the Montal Health and Mental Health.	syment, treatment, programming, and education.	
VICTIM		
Victim Services Specialist Input: Input from the V	VSS or Victim Services	
Victim Services Notified of the Release and informed of the Staffing Date: Y \(\sim\) / N		

#371.02 Facility Case Management Attachment 2 - Sample	Page 19 of 23	Effective Date: June 1, 2012
RSN		
CSS CHECKLIST - Rationale used	(check all that apply):	
Listed offender High/medium-h	igh risk/needs LSI	Level C designation
Designated High Risk by Sex Offende	er Review Committee	
RSN Criteria:		
Media issues/coverage: Discuss any m	nedia attention or attach r	nedia release.
Victim reaction and/or safety concerns	s: Provided by VSS	
Community reaction: Discuss any com	nmunity sentiment conce	rns.
Other reasonable rationale: Other crite	eria not included above.	
Level C		
VRAG Score: VRAG Ro	equested:	
RECOMMENDATION		
Specific recommendation to include the for release:	me frames, aftercare requ	uirements, and resources/action needed

Cc: DOC Case Staffing Alias

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Cc: DOC Case Staffing Alias

# SEX OFFENDER RELEASE CASE STAFFING FORM

Effective Date: June 1, 2012

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Name: Inmate name	Date of Birth: DOB
Facility Site: Facility	Field Site: Field office
Facility CSS: Facility Caseworker	Field CSS: Field PO
STAFFING INFORMATION	
Date of Request: Enter date staffing report submitt	ed to Classification division.
Type of Release: CR	
Staffing Date Scheduled For: Date of staffing if kn	nown
<b>Review and Approved by:</b> Enter person/title of CV fowarded to the Classification division.	WS/CLUS/CPS who reviewed, approved, and
CONVICTIONS & SENTENCE INFORMATIO	N
Affidavit attached:	
<b>Prior Record:</b> Enter relevant convictions that relate	e to current convictions or behaviors.
INSTITUTION BEHAVIOR AND FIELD SUPE	CRVISION
Facility Behavior Summary: Enter brief overview	of inmate's behavior.
Prior Supervision History: Enter brief overview o	f inmate's past supervision history.
PROGRAM ASSESSMENT	
VTPSA Program Summary Attached:	
Program History: Current and Past Treatment Hist	tory
VICTIM	
Victim Services Specialist Input: Input from the V	SS or Victim Services
Victim Services Notified of the Release and infor	med of the Staffing Date: Y \( \subseteq \text{N} \subseteq
RELEASE PLAN	
Release Plan: Transition and Residence Plan, After Employment, Requirements and resources/actions in	· · · · · · · · · · · · · · · · · · ·

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# FURLOUGH VIOLATION CASE STAFFING FORM

Offender Name:	Date of Birth:	PID#:	
Field Site: Bennington	Field CSS:		
STAFFING INFORMATION			
Date of Request:	Requested and prepare	red by:	
Narrative of Violation: A description of conditions and behavior causing the violation.			
FIELD SUPERVISION HISTO	RY		
History of non-compliance and re	sponses within the past twelve (1	2) months:	
Date of Violation	Behavior/Condition Violated	Response	

# RECOMMENDATION AND RELEASE PLAN

Specific recommendation to include time frames, requirements, and resources/action needed for release:

# RELEASE SENSITIVE NOTIFICATION CHECKLIST

Effective Date: June 1, 2012

OFFE	NDER NAME:
DOB:	PID#:
CSS C	CHECKLIST - Rationale used (Check all that apply.):
	Listed offender
	High/medium-high risk/needs LSI
	Victim notification on file
	Community sentiment
	Level C designation
	Referred to Sex Offender Review Committee (Directive 255.01)
CASE	STAFFING CSS (field & facility), CWS, Victim Services) – (Check all that apply.)
	Media issues/coverage
	Political issues/coverage
	Victim reaction
	Community reaction
	Victim/community safety
	Other reasonable rationale
Centra	al Staffing Date:
Case N	Note Dated:
	Note Entered by:
	<b>tal Note*</b> - This form should be mailed electronically to the case staffing alias sestaffing@ahs.state.vt.us) and should not be part of the offender's file.
Centra	al Office Approval by: Date:
	Rev 5/2012

Cc: DOC Case Staffing Alias

# **CASE STAFFING CHECK LIST**

Offender:		ров:	PID#:
Min:	Max:	Senten	ice:
Offenses:			
<b>County of</b>	Release:		
<b>County of</b>	Residence:		
CSS Assign	ned:		
Please inclu	ude (if available) the following fo	orms for offenders needing to b	e case-staffed.
	1. Case Staffing Form – Cas	e-Staffing Review.	
	2. PSI Report		
	3. Record Checks		
	4. Affidavits, Sentence Com	p and Mitts	
	5. Victim Letters or input fr process	om the victim for the team to	o review in the staffing
	6. Any other pertinent infor	mation or comments:	

Cc: DOC Case Staffing Alias

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Effective Date: June 1, 2012