



**State of North Carolina
Department of Correction
Division of Prisons**

POLICY & PROCEDURES

Chapter: C
Section: .1400
Title: **Case Management**
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.1401 POLICY

It is the policy of the Division of Prisons that each inmate receives services based on the needs identified in the case management assessment. Each inmate is eligible to receive correctional counseling from a staff member designated to provide case management services.

.1402 PURPOSE

- (a) The purposes of case management and correctional counseling are:
- (1) to plan, coordinate and facilitate the delivery of programs and services to each inmate during their period of incarceration and the initial stages of their return to the community.
 - (2) to provide guidance and support to the inmate.
 - (3) to develop an action plan and to monitor an inmate's progress
 - (4) to assist inmates in planning for and making a successful transition back to the community.
- (b) The case management process is dependent upon an assessment of each inmate to determine the focus of services to be provided during confinement. The services provided are designed to promote the greatest opportunity for positive change and aide in making a successful transition back to the community.
- (c) Specialized case management is provided for inmates with developmental disabilities, and inmates enrolled in the Exceptional Students Program.
- (d) The process of correctional counseling is intended to motivate and encourage the inmate to change by helping him or her to recognize behaviors and actions that have led to criminal behavior and participating in programs and services to address those behaviors and actions.

.1403 DEFINITIONS

For the purposes of this policy, the following definitions apply:

- (a) Case Management – a collaborative process of assessment, planning, guidance and monitoring to facilitate access to programs and services that address the individual’s needs.
- (b) Transitional Services – A systematic focus on assessment and planning for the purpose of assisting the inmate in adjusting to confinement and preparing for a successful transition back to the community.
- (c) Correctional Counseling - Personal interaction with an inmate with the goals of monitoring progress on the plan and encouraging the changes in behavior and attitude necessary to prevent future criminal behavior.
- (d) Case Manager - staff who are designated to provide services to inmates assigned to their caseload for management purposes.
- (e) Case Management Specialist - The supervisory staff person designated to manage the case management system in each facility.
- (f) Case Management Assessment - An evaluation of all issues important to an inmate's adjustment to prison and to his or her successful re-adjustment to the community.
- (g) Case Management Plan - The strategy that directs the delivery of programs and services to an inmate to areas identified in the assessment and change behaviors and attitudes to prevent future criminal behavior.
- (h) Case Notes - Information that is recorded to document assessment results, updates to the plan, programs and services provided, and events experienced by an inmate during confinement.
- (i) Transition Plan – A plan that states where the inmate will live and work when released from prison and identifies the treatment interventions and services to be provided in the community as part of aftercare.
- (j) Specialized Case Management - Supplemental services provided by designated program staff trained to assist inmates with disabilities in their adaptation to the correctional environment, in the utilization of programs and services, and with representation during disciplinary procedures.
- (k) Adaptive Behavior Assessment - An evaluation of the developmentally disabled inmate's functioning at the facility of assignment.
- (l) Mental Health Treatment Plan - The plan for services developed cooperatively by the DD case manager and designated mental health professionals. The treatment plan outlines appropriate mental health services and rehabilitation activities.

- (m) Developmentally Disabled Case Management Progress Note - A monthly summary of case management activities and progress made on treatment plan goals.
- (n) Case Management Quick Reference Checklist – A guide which is used sequencing the delivery services to assist the inmate in becoming successful while incarcerated and to prepare for transition back into the community. The checklist identifies the various transition services which should be provided to all inmates based on facility resources, custody levels, and program availability.

.1404 CASE MANAGEMENT SYSTEM

- (a) Case Management System Coordination

Each facility provides a case management system that coordinates all inmate services and activities, and supports security operations through regular communications with each inmate. Referrals to specialized staff for those needing professional attention occur as part of the case management system.

- (b) Case Management Caseload

All inmates are assigned to the caseload of a Case Manager by designated supervisory staff. Caseload assignments should consider the individual skills of the Case Manager and the special needs of the inmate. The design of the facility, the facility staffing pattern or other institutional requirements can guide the allocation of inmates among Case Managers.

- (c) Case Management Assessment

The assessment process is a review of pertinent information relating to issues identified in the major life areas. The assessment is completed within 30 days of an inmate's assignment to a Case Manager upon completion of admission processing. The findings of the Case Analyst, and information obtained from interviewing the inmate and various sources is the basis for the assessment. The purpose of the assessment is to create or continue a plan for the inmate's period of incarceration and his or her transition back to the community. Needs identification occurs throughout the period of incarceration therefore, assessment is an ongoing process.

- (d) Case Management Plan

A case management plan is developed for each inmate by the initial Case Manager and is updated during the inmate's stay in prison to reflect behavior and attitude changes, compliance with the plan and achievements. The plan is based on an assessment of needs and identifies the programs, services and activities the inmate should participate in to facilitate adjustment to confinement and to promote the greatest opportunity for positive change. Case management plans should be reviewed and updated as accomplishments occur and as needs change. The plan should be completed within 30 day of assignment

to the initial Case Manager and should be reviewed and updated as needed by each subsequent Case Manager.

(e) Inmate Participation

Participation on the plan is expected of all inmates and should be encouraged through correctional counseling. Efforts are made to encourage participation in as many components of the plan as possible prior to completion of the sentence. Case Managers should monitor each inmate's progress to determine the next steps required to complete the plan.

.1405 CASE MANAGEMENT REQUIREMENTS

(a) Caseload Assignment

- (1) The Case Management Specialist or designee assigns new inmates to a Case Manager within three (3) working days following arrival at the facility. Inmates, who have completed admission processing and remain at the same facility, are assigned a Case Manager within three (3) working days of assignment to the facility.
- (2) All inmates are assigned a Case Manager with the exception of admission processors. The assigned Correctional Case Analyst serves as the Case Manager for admission processors needing services.
- (3) Regular case management procedures #1 above do not apply to inmates that are at a facility on a Time Limited Assignment. Time Limited Assignment means being at the facility for things such as treatment, court and investigation. When an inmate on a Time Limited Assignment has been at the facility for 30 days section .1405(a) (1) will then apply to the case.

(b) Inmate Contact

- (1) The assigned Case Manager makes their initial contact with the inmates that are new arrivals at the facility as soon as possible, but no later than three (3) working days after being assigned to their caseload. The initial contact with the inmate is used to answer questions, to provide information that serves to orient the inmate, to inform the inmate of procedures, to request an appointment with the Case Manager or other staff, to begin or to update the case management assessment and to initiate or review the case management plan.
- (2) The assigned Case Manager meets with each of their assigned inmates based on the following frequency:
 - (A) As often as necessary to address classification and program reviews required by policy;

- (B) As often as deemed necessary by the Case Manager to address the needs of the inmate. Each Case Manager shall ensure that inmates with special needs such as developmentally disabled inmates, ESP inmates etc., and inmates requiring transition or other services are seen as often as necessary to address their identified needs.
 - (C) Not less than one time every other calendar month.
- (3) Inmate contact is made for a variety of purposes to include developing an assessment, implementing or updating the case management plan, coordinating the delivery of services, providing guidance and support, assisting in preparing for reentry, and monitoring the offender's progress.
 - (4) Each correctional facility establishes and maintains a formal procedure by which inmates may initiate contact with the Case Manager (or other staff) to address issues of immediate concern.
- (c) Transition Procedures
- (1) Planning for an inmate's successful transition back to the community begins at admission to prison and consist of developing an action plan, coordinating the delivery of programs and services, monitoring the inmate's progress, encouraging participation in the plan and resource linkage.
 - (2) Assignments to programs and activities should be based on the case management plan, should take into consideration the amount of time remaining on the sentence. The length of time required completing the assignment, and the other activities listed in the case management plan.
 - (3) Assignments that require a greater investment of time such as academic education, vocational training, cognitive behavioral intervention, substance abuse treatment, mental health intervention and others are planned early enough in the sentence to ensure program completion and to ensure that the full benefits of the program are realized.
 - (4) The Case Management Quick Reference Checklist is a tool to aid in the sequencing of case management services and transition services delivered to inmates.
- (d) Transition Planning
- (1) Transition planning consists of developing plans for the inmate in the community they plan to reside in upon release and includes:
 - (A) an residence plan;

- (B) an employment plan
 - (C) a plan that includes the interventions and services to be provided in prison;
 - (D) a plan that includes the interventions and services to be provided in the community and identification of the community resources for the services;
 - (E) documentation of the plan in the inmate record;
 - (F) evidence of the implementation and monitoring of the plan through regular case note entries.
- (2) All inmates will be asked for a residence plan 8 months prior to release. The Case Manager will verify all residence plans prior to entering them on the IP55 screen. Verification of the plan will be done by calling the proposed residence to confirm that the inmate can reside at that address. For confirmed plans; the Case Manager will contact the residence 30 days prior to release to assure that the plan is still viable. Supporting documentation on confirmed plans will be entered on the IP55 under the F14 comment. Comments on all other attempts to secure a residence plan will be entered on the IP60 screen by using the 69 comment type. When inmates are transferring for release the sending facility will verify the residence plan 2 weeks prior to the transfer. When it is determined that the plan is not viable the facility will initiate efforts to secure a viable residence plan by talking with the inmate and utilizing all available resources.
- (3) Official documents such as forms of identification, Social Security cards, Driver's License, birth certificates, educational certificates, vocational certificates, school transcripts, referrals to community agencies and other documents to aid in transition are filed in the inmate record in the transition document envelope and are given to the inmate at the time of release.
- (4) All inmates will be issued two forms of identification upon their release. Duplicate Social Security cards are obtained for those inmates who have had a Social Security card in the past but no longer have their card. The DOP Exit Identification Card will serve as one form of identification and will be issued to inmates upon their release.
- (e) Documentation
- (1) Information on all services provided and contact with an inmate should be documented as part of the inmate record. Case management contacts, assessments and plans, transition services, transition plans and aftercare planning are documented in OPUS.

- (2) Case notes are used to record each inmate contact and to document the case management assessment and plan, the transition plan, progress made by the inmate and any other information relevant to the case.
- (3) After the initial contact is documented, the beginning case notes should reflect a review of the case management assessment and plan and any updates to the plan.
- (4) Subsequent case notes by the same Case Manager should comment on an inmate's current activities, services being provided, progress being made and accomplishments achieved. Case notes should reflect a logical connection with the established case management plan.
- (5) When an inmate's Case Manager changes the first case notes of the new Case Manager will summarize the current case management assessment, review the established case management plan and update the plan based on changes that have occurred. The review and restatement of the case management assessment and the case management plan ensures accurate and timely acknowledgement of the agreed upon goals for each inmate and directs the delivery of services.

(f) Specialized Case Management for Inmates with Developmental Disabilities

Case management standards and requirements for developmentally disabled inmates are defined in Policy # TX VII -1 of the Health Care Manual. Those standards and requirements are implemented in conjunction with the requirements noted in this policy.

(g) Correctional Counseling

- (1) The purpose of correctional counseling is to motivate the inmate towards positive change and encourage the inmate to take the necessary steps to change. Correctional counseling includes communication and counseling techniques that encourage inmates to become involved in programs and activities that will benefit them when they are released from prison. Correctional counseling aides in the secure operation of the facility by opening the lines of communication and encouraging appropriate behavior.
- (2) A core message of correctional counseling is that each inmate is responsible for their actions and that they should change their behavior to promote cooperation and compatibility with others as well as display respect for the law.

(h) Case Management Training

- (1) Each Case Manager is trained in providing case management services and correctional counseling as part of in-service training.

- (2) The training curriculum for case management and correctional counseling is the responsibility of the Program Services Section. The Program Services Section will instruct trainers who will then train Case Managers at each location.
- (3) The training for developmental disability Case Managers is administered by mental health services.

.1406 CASE MANAGEMENT AUDITS

- (a) The Case Management Specialist or other senior program staff at each facility is responsible for periodic audits of case management procedures and of case management documentation.
- (b) Audits are conducted two times each year and consist of a random sample of inmate cases, a review of case management procedures as practiced at the facility and a report on correctional counseling activities. Case management documentation of sample cases is reviewed by the supervisor conducting the audit. The primary purpose of the audit is to ensure that the Case Manager is meeting the requirements of this policy and to assure that inmates are being assigned to programs and activities per the established case management plan.
- (c) The Case Management Specialist or other senior program staff is responsible for corrective action when an audit reveals that the case management system requirements as specified in this policy have not been met.
- (d) Audit results and corrective actions are reported to the facility superintendent and to other managers as required.
- (e) The implementation of a standard audit format for case management is the responsibility of the Program Services Section.

8/27/10
Director of Prisons Date

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