

1.1. E.6 Case Management

I Policy Index:



Date Signed: 11/06/2019
Distribution: Public
Replaces Policy: N/A
Supersedes Policy Dated: 12/11/2018
Affected Units: All Institutions
Effective Date: 11/06/2019
Scheduled Revision Date: October 2020
Revision Number: 9
Office of Primary Responsibility: Classification and Transfers Manager and DOC Administration

II Policy:

The Department of Corrections (DOC) will use case management to address and support appropriate institutional behavior, programming, education, treatment, Individual Program Directives, release planning, system risk and transition services for inmates.

III Definitions:

Case Management Risk Level:

A level of risk established in accordance with DOC policy 1.4.G.6 [System Risk Classification](#).

Case Plan:

A defined set of requirements, expectations, and goals for each inmate.

Community Risk:

A level of risk established by the Community Risk assessment used to predict the risk of an individual parolee's supervision failure and establish community supervision level. (See DOC policy 1.5.G.4 [Parole-Community Risk Assessment and Supervision of Inmates](#)).

Custody Classification Risk:

The risk levels of Maximum, High Medium, Low Medium and Minimum custody classification that are used to predict an inmate's risk of institutional escape and violence (See DOC policies 1.4.B.2 [Male Inmate Classification](#) and 1.4.B.14 [Female Inmate Classification](#)).

LSI-R Risk:

Level of Service Inventory-Revised. An assessment tool used in part to measure an inmate's risk to reoffend and define the inmate's programming needs. Level of risk is established through an LSI-R assessment which is used to predict the risk of recidivism by an inmate.

Possible Release Date:

An initial parole date, next parole date, suspended sentence release date, good time release date or term expires date on which an inmate is eligible for possible release from incarceration.

IV Procedures:

1. Case Load Management:

- A. Inmates will be assigned to one of the following three case management levels, as determined by the inmate's system risk classification (See DOC policy 1.4.G.6 [System Risk Classification](#)):
1. Level 3 system risk;
 2. Level 2 system risk; or
 3. Level 1 or 0 system risk.
- B. Required minimum contact standards for level 3 system risk inmates (See [Attachment 1](#) Inmate Caseload Management):
1. Must have a minimum of two (2) case management contacts per year.
 2. Beginning one year prior to the inmate's possible release date, the case manager must meet with the inmate at least one (1) time per month.
 - a. Case Management contacts required for Restrictive Housing may be used to fulfill this requirement (See DOC policy 1.3.D.4 [Restrictive Housing](#)).
 3. Six (6) months prior to the inmate's release, case managers are required to review and confirm the inmate's release plan.
 - a. Case managers may request assistance from the transition case manager when conducting release planning for level 3 inmates.
- C. Required minimum contact standards for level 2 system risk inmates (See [Attachment 1](#) Inmate Caseload Management):
1. Must have a minimum of one (1) case management contact per year.
 2. Beginning six (6) months prior to the inmate's possible release date, and until the inmate's release, case managers are required to meet with the inmate at least one (1) time per month.
 3. Six (6) months prior to the inmate's possible release date, case managers will review and confirm the release plan for the inmate. Case managers are encouraged to contact the transition case manager for assistance with challenging cases.
- D. Required minimum contact standards for level 1 or level 0 inmates (See [Attachment 1](#) Inmate Caseload Management):
1. Must have a minimum of one (1) case management contact per year.
 2. Six (6) months prior to the inmate's possible release date, case managers are required to meet with the inmate and review the inmate's progress, review and confirm their release plan and preparations for release.
- E. Case managers are required to review all release plans for inmates within three (3) months of their possible release date, regardless of their level, to determine whether the inmate is appropriate for

referral to the Department of Social Services, Veterans Administration or Vocational Rehabilitation Service.

1. Case managers will document the status of the inmate's needs in the Comprehensive Inmate Management System (COMS) Release Plan screen
- F. Case managers are required to review all case plans for inmates within 120 days or less from their possible release date, regardless of their level, to verify the inmate has a Social Security card, birth certificate and driver license or state ID (if eligible) (See DOC policy 1.1.A.7 [Inmate Identification Procedures](#)).
1. Case managers will document the status of the inmate's identification documents, or the date the inmate applied for the documents, in the COMS Release Plan.
- G. Case managers will schedule case management contacts as required by the minimum contact standards set forth by this policy.
1. Case managers are required to meet with the inmate, unless one (1) of the following occurs:
 - a. The inmate declines to appear;
 - b. The inmate is housed in a contract facility or out-of-state.
 - 1) Inmates housed in contract facilities or housed out-of-state will receive case management via telephone, video conference or by correspondence initiated by the case manager.
- H. Case managers are required to participate in all discretionary and non-compliance board hearings for inmates assigned to their caseload. This include inmates identified for possible Compassionate Parole Release.
1. Case managers may assist the inmate during a parole hearing and provide information to the parole board regarding the inmate's current status and preparations for release.
 - a. The information provided will at a minimum include the following:
 - 1) Proposed residence;
 - 2) Employment plan;
 - 3) Institutional behavior since last discretionary hearing;
 - 4) Specific needs, care, treatment,
 - 5) Goals and progress; and
 - 6) Case manager/transition case manager recommendation.
 - b. In cases where a scheduling conflict arises involving multiple inmates, case managers should attend the hearing of the inmate assigned to the highest level (3).
 - c. If the case manager is unable to attend a scheduled parole hearing for level 3 inmates, the case manager may contact the parole board office manager to inquire about re-scheduling the hearing for a later time.

2. Standard Case Planning:

- A. Initial case plans for new admission inmates will be created by unit staff while the inmate is assigned to the Admissions and Orientation (A&O) unit (See DOC policy 1.4.A.2 [Inmate Admission](#)). Case

plans for parole and suspended sentence violators will be created by unit staff following transfer of the inmate to the housing unit. Case plans will include the following:

1. Custody Classification;
 2. Individual Program Directives (IPD) (new admissions only);
 3. Release Planning (within five (5) years of a possible release);
 4. Community Risk Assessment;
 5. Financial Obligation Worksheet; and
 6. LSI-R Assessment.
- B. Review of case plans by unit staff may occur any time, but, at a minimum, during a scheduled contact in context with policy requirements (within the institution) and shall include review of all case plan elements and associated plans-of-action assigned to the inmate to determine program status, goals established, and accomplishments. The case plan should be updated regularly as changes in the inmate's circumstances and behavior become known, as needs/issues arise, as goals are accomplished, etc.
- C. Recording Case Notes:
1. Case managers are responsible for documenting the case management contact and discussion points for inclusion with any positive or negative recommendations regarding an inmate's parole in the Case Notes tab in COMS.
 2. The following information should be noted after each case management contact:
 - a. Any substantive release plan changes.
 - 1) Address change.
 - 2) Job change.
 - 3) Transportation on day of release.
 - b. Goals and accomplishments.
 - 1) New goals set.
 - 2) Progress notes on previously set goals.
 - 3) Completed goals.
 - c. Assessments.
 - 1) Custody Classification.
 - 2) Review of next custody level change.
 - d. Review of any administrative decision.
 - 1) AIMS Assessment (male inmate's only).
 - 2) PREA Assessment.
 - 3) LSI-R Assessment.

4. Case Management Training:

- A. Training Curriculum:

1. The Office of Classification and Transfer is responsible for developing and scheduling case management training sessions bi-annually. Training will be provided to case managers and other designated staff and may include, but is not limited to, the following topics:
 - a. Prioritizing and managing caseloads;
 - b. Classification;
 - c. Evidence Based Programming;
 - d. Case Planning;
 - e. Individual Program Directives (IPD);
 - f. Release Planning;
 - g. Assessments; and
 - h. Motivational Interviewing.
2. Performance Evaluations:
 - a. The Office of Classification and Transfers is responsible for developing and administering a performance evaluation exam that includes the primary areas of case management.
 - 1) Classification;
 - 2) Case Planning;
 - 3) Individual Program Directive;
 - 4) Release Planning; and
 - 5) Assessments.
 - b. The evaluation will be completed by case managers annually.

5. Case Management Audits:

- A. The Office of Classification and Transfer will be responsible for conducting regular case management audits utilizing a standardized audit format.
 1. Audits will be conducted bi-annually and will include a minimum of ten (10%) percent of a case manager's caseload.
 2. The Office of Classification and Transfer will be responsible for appointing staff to assist with the bi-annual audit.
 3. The auditors must be proficient in case management and the related policies, procedures and requirements.
- B. The audit team will provide a report to the Office of Classification and Transfer and the respective Warden. The report will include an analysis of the following:
 1. Case Plans;
 2. Custody Classification; and

3. Recidivism tracking for each caseload.

V Related Directives:

- DOC policy 1.1.A.7 – [Inmate Identification Procedures](#)
- DOC policy 1.3.D.4 – [Restricted Housing](#)
- DOC policy 1.4.A.2 – [Inmate Admission](#)
- DOC policy 1.4.B.2 – [Male Inmate Classification](#)
- DOC policy 1.4.B.14 – [Female Inmate Classification](#)
- DOC policy 1.4.G.6 – [System Risk Classification](#)
- DOC policy 1.5.G.4 – [Community Risk Assessment and Supervision of Inmates](#)

VI Revision Log:

August 2010: New policy.

November 2011: Reviewed with No Changes

January 2012: **Changed** term “inmate” to “inmate” throughout the policy. **Added** definition of Second Change Act National Evaluation, SCA Treatment Group, SCA Control Group, Case Plan Database, Re-Entry Grant Manager, Local SCA Coordinator Deleted “non-compliance hearing date from Programmed Release Date definition. **Deleted** “Required Minimum Contact Standards by Case Management Risk Level” and **Replaced** with “High Risk inmates will be managed according to moderate risk standards unless they are in the treatment group for the SCA evaluation. Those in the treatment group will be managed according to the high-risk standards” to Section 1 B. **Deleted** “programmed” and **Replaced** with “possible” in Section 1 B 1. a. and b. **Deleted** “one (1) year prior to an inmate’s programmed release date” and **Replaced** with “at the time of placement in the SCA treatment group” in Section 1 B. 1. **Deleted** c. “Case managers will begin developing reentry program referral packets six (6) months prior to release for high risk inmates with a programmed release date who are releasing to Sioux Falls/Minnehaha County or Rapid City/Pennington County areas who have gaps in services or need assistance with release planning.” and **Deleted** 1) “The referral packet will be sent to the Reentry Program Manager for referral to the local reentry task force.” and 2) “These packets for inmates with programmed release dates should be submitted to the local task force four (4) to six (6) months prior to the programmed release date” all in Section 1 B. 1. c. **Deleted** “Required minimum contact standards for high risk inmates with a discretionary date begin six (6) months prior to an inmate’s discretionary date and continue until their discretionary parole hearing.” in Section 1 B. 2. **Deleted** a. “Case managers are required to meet with high risk inmates at least one (1) time per month” and b. “When a high risk inmate, releasing to Sioux Falls/Minnehaha County or Rapid City/Pennington County areas is granted a discretionary parole and the inmate has gaps in services or needs assistance with release planning, a reentry referral packet will be sent to the Reentry Program Manager for referral to the local reentry task force.” and 1) “These packets for inmates granted a discretionary parole should be submitted to the local task force within ten (10) working days of the parole notice” all in Section 1 B.2. **Deleted** 3. “Reentry Referral Packets will include the following information:” and items a. - l. in Section 1 B. 3. **Deleted** 4. “If a high-risk inmate releasing to Sioux Falls/Minnehaha County or Rapid City/Pennington County does not need release planning or reentry service assistance, an information sheet will be sent to the Reentry Program Manager for referral to the local reentry task force prior to the inmates release to the community” in Section 1 B.4. **Added** “Standard” to Section 2 title Case Planning. **Added** “for new admissions” and **Deleted** “and will” and **Replaced** with “and case plans for parole and suspended sentence violators will be created by unit staff in the receiving unit following transfer from the admissions unit” to Section 2. A. **Deleted** “reviewed annually or” from Section 2 B. 1. **Added** d. “Confirm the inmate has signed the Laws Governing Escape Sentencing form” to Section 2 B. 4. **Added** new Section 3. Case Planning for National Evaluation Participants **Renumbered** previously established sections that follow.

August 2013: **Deleted** d. “The inmate is absent from the unit or facility for furlough, employment, hospitalization, court appearance or other reasons” in Section 1 F **Deleted** d. “Confirm the inmate has signed the Laws Governing Escape Sentencing” in Section 2 B. 4 **Deleted** “intensive case management tab of the Inmate Records database” and **Replaced** with “the Case Plan Database” and COMS” in Section 2.

October 2014: Deleted definitions of Second Chance Act National Evaluation, SCA Treatment Group, SCA Control Group, Re-Entry Grant Manager Programmed Release Date, Discretionary Release date, Working Day and Local SCA Coordinator. Revised definition of “case Plan” and Case Management Risk Level. Added “and establish community supervision level” in definition of Community Risk. Deleted “through assessments, release type, age and transition needs and plans” and Replaced with “by the inmate’s system risk classification” in Section 1 A. Deleted “High Risk Inmates” and Replaced with “Level 3 System Risk Inmates” and Deleted a-c in Section 1 A. 1. Deleted “Moderate risk inmates” and Replace with “Level 2 System Risk Inmates” and Deleted a-b. in Section 1 A. 2. Deleted “Low Risk Inmates” and Replaced with “Level 1 or 0 System Risk Inmates” and Deleted a. in Section 1 A. 3. Deleted B. “High Risk Inmates” in Section 1 Deleted “high risk” and Replaced with “level 3” and Deleted “6 months” and Added “Case management contacts required for Restrictive Housing can be used to fulfill this requirement” in Section 1 B. 1 (changed to a.). Deleted “Six months prior and until the inmate’s possible release date, case managers are required to meet with the inmate at least 2 times per month” and Replaced with “Must have a minimum of 2 case management contacts per year” in Section 1 B. 1. b. Added “Must have a minimum of 1 case management contact per year” in Section 1 B. 4. A. Deleted C. in Section 1. Deleted “three” and Replaced with “four months” and Added “Social Security card and birth certificate” in Section 1 E. Deleted “Review of case plans may occur at anytime but a scheduled contact in context with this policy shall include at a minimum” in Section 2 B. Added new list of elements to Section 2 B. Deleted “Case Plan Database for inmates in the SCA Treatment Group and” in Section 2 B. 5. c. Deleted C- D in Section 2 (listing of elements in the case plan). Deleted Section 3 “Case Planning for National Evaluation Participants”. Renumbered sections. Deleted Attachment 1. Revised Attachment 2.

January 2016: Reviewed with no changes.

October 2016: Reviewed with no changes.

November 2017: Reviewed with no changes.

October 2018: Added “This include inmates identified for possible Compassionate Parole Release” in Section 1 H. Added 4) to Section 1 H. 1. a.

October 2019: Reviewed with no changes.

Mike Leidholt (original signature on file)

Mike Leidholt, Secretary of Corrections

11/06/2019

Date

Attachment 1: Inmate Case Load Management

The *Inmate Case Load Management* form is located at:

<M:\DOC\DOC Policies\Agency\DOC Policies\Attachment Templates\Offender Case Load Management.doc>

