

CASE MANAGEMENT MANUAL

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Facility Case Management

Initial Booking Episode Admission into a Correctional Facility

Within **five (5) business days** of an initial booking episode into a Vermont Correctional Facility, assigned the Corrections Service Specialist (CSS) shall perform the following tasks. When possible, the five-day classification shall be done before population movement. If an inmate is being admitted/readmitted to any facility on the same booking episode, a complete admission does not have to be redone; however, the CSS in the receiving facility shall review the list of facility-specific topics and ask the inmate if they need further details on any specific items. If an inmate is sentenced after having been detained, the CSS will complete the sentenced requirements of the initial admission intake. Facility admission tasks should still be completed and documented in a contact note.

Facility Admission Tasks for All Inmates

1. VCAS, Vermont, Triple III, and FBI record check (include DMV and other applicable states)¹ –
2. Security Classification Tool.²
3. Deliver Facility Orientation.
4. Complete the Americans with Disabilities Act Screening.
5. Complete the Child Survey and the Active Parent Survey.
6. Identify any family supports and add them to the contacts in OMS.
7. Complete the Naloxone Interest form.
8. Complete the Department of Children and Families (DCF) section.
9. Review inmate's record to ensure it contains the necessary documents relative to the inmate's confinement.³
10. The CSS shall ask the following in the Questions tab in OMS. *Do you have any known history with any of the following?*
 - a. Developmental Services (DS) Waiver;
 - b. Vermont Choices for Care Medicaid Waiver (CFC);
 - c. Traumatic Brain Injury (TBI) Waiver;
 - d. Community Rehabilitation and Treatment (CRT); and
 - e. Youth Development Program (YDP)?
11. Identify any veteran status.
12. Document in OMS, using contact notes or other areas, any relevant information gathered during the initial inmate contact with the CSS.

¹ Review record check to determine if inmate is required to register with the Sex Offender Registry. This requirement will be based on the inmate's complete criminal history and is not limited to the present charge, conviction, or reason for detention.

² Classification shall be updated as needed, when the inmate's status changes, or if the inmate is convicted of a major DR.

³ This includes a legal document to incarcerate which includes DDR, bail, mitt, affidavit, warrant, probation order, return on mitt. It is critical that these documents are scanned into OMS.

13. Verify/update emergency contacts.
14. Explain the DOC's expectations of the inmate regarding their facility behavior and consequences of disciplinary convictions.

Supplemental Requirements for Detained Inmates

1. Complete the home detention survey for detained inmates.

Supplemental Requirements for Sentenced Inmates

1. Determine/update the Projected Release Code, Projected Release Date, Administrative Code, and Administrative date as needed; ensuring the information is current.
2. Determine Management Program Level (MPL).
3. Complete and/or update offender risk assessment and other specialized risk assessment tools as appropriate.
4. Complete Out of State (OOS) Eligibility Criteria in the case plan.
5. Determine risk intervention services eligibility and make appropriate referrals; document in the case plan
6. Determine if the inmate is work camp eligible, by completing the work camp eligibility form in the facility case plan, and if so, make the appropriate referral. If not, document in the notes why not eligible.
7. Begin writing the case plan
8. Discuss how case planning, risk intervention services; and the consequences of disciplinary convictions, failure to complete required services and case management are guided through the use of risk assessment tools.
9. Explain the role of the CSS related to facilitating behavior change by identifying strengths and assets and applying these to reduce identified criminogenic needs.
10. Explain the goal of DOC that the use of case management practices and, if applicable, risk intervention services is to reduce the offenders propensity to return to incarceration and aid them in becoming a productive member of the their home community.
11. For inmates with six or more months to serve answer identification documents questions in custom forms.
12. Ensure there is an assigned Probation and Parole Officer and complete a Release of Information (ROI) for the PPO.
13. Review the inmate's case with the PPO to determine if a case staffing is needed for programming, Release Sensitive Notification (RSN), MPL override, Level C, or sex offender release (case staffing).

Prison Rape Elimination Act Requirements

As part of the casework inmate admission orientation process, within 5 business days of incarceration the assigned Caseworker must complete the CSS PREA Orientation form in OMS:

1. Provide and review the "*You have a right to be Safe*" brochure.
2. Review and inform:
 - a. How to avoid risky situations related to sexual abuse
 - b. Instructions for operation of the Offender Reporting Line
 - c. How to report an incident
 - d. How to obtain medical assistance and/or counseling services if victimized

- e. The risks of potential consequences of engaging in any sexual activity
 - f. The departments policies and procedures for responding to sexual violence incidents
 - g. Rights to be free from sexual abuse, sexual harassment and to be free from retaliation for reporting incidents
3. Inmates who return to incarceration from the field in 90 days or less will receive orientation from the Booking Officer only.
 4. Inmates who are transferred in from another facility do not need to be reoriented.

Mandatory 30 day and updated assessments

1. Within 30 days of the admission orientation process, all inmates - regardless of return or transfer, the assigned CSS will reassess each inmate by completing all sections of the CSS Sexual Violence Screening Tool in OMS. The CSS will follow any other necessary procedures.
2. Updated assessments are completed upon receipt of additional information that relates to the inmate's risk of victimization or predation following an allegation of inmate-on-inmate sexual victimization.

Retaliation Monitoring as assigned by the PREA Coordinator

Retaliation against inmates will be monitored for 90 days (or until released from a correctional facility) by the inmate's assigned CSS and:

1. Will include periodic status checks;
2. Each date the CSS meets with the inmate, they will indicate the date and any retaliation or the absence of retaliation on the form;
3. All incidents of retaliation must be reported to the PREA Coordinator and the LUS
4. Transfers:
 - a. Within the facility – the form transfers to new CSS to continue through completion
 - b. To another facility – the sending CSS scans into OMS
 - c. From another facility – the receiving CSS prints and continues to record the form through completion

Completed forms will be scanned into OMS within the attachments tab for the specific incidents requiring monitoring with the original provided to the PREA Coordinator.

Introduction to Out of State (OOS Placement)

Within fourteen (14) days of arrival at an OOS facility, inmates will receive a letter of introduction from the assigned OOS CSS.

1. The letter will be delivered to the inmate via the OOS facility case management staff and will provide information, such as;
 - a. Explain the role of the OOS CSS
 - b. Provide applicable contact information for the inmate and family members
 - c. Provide general information regarding the OOS facility orientation process
 - d. Provide information to access PREA reporting mechanisms
 - e. Provide timeline expectations for OOS CSS contact with the inmate regarding case plan development
2. Emergency Contact (In OMS) updates and Release of Information forms will be provided

- to the inmate within this 14-day period.
3. Within thirty (30) days of arrival at an OOS facility, the OOS CSS will contact the inmate to discuss:
 - a. Information on resources available to the inmate (reemphasize orientation process)
 - b. Inmate engagement in any services offered
 - c. Risk and needs assessments applicable to the inmate
 - d. Review of the inmate’s individualized Facility Case Plan.
 4. Contact may be in-person, by telephone and/or by video conference.

Contact Standards

The following contact standards apply to all **instate inmates** (Note that in addition to the following requirements, the CSS shall meet with an inmate on an as needed basis):

Detainers	<ul style="list-style-type: none"> • Every 30 days
Sentenced and Sentenced-Detained (Moderate and High-Risk Inmates)	<ul style="list-style-type: none"> • For inmates with release date within 2 years - every 14 days • For inmates with release date over 2 years away - every 30 days • Past minimum inmates (except for those refusing programming or furlough) – every 14 days • Past minimum inmates refusing programming or furlough – every 90 days
Sentenced and Sentenced-Detained (Low Risk Inmates)	<ul style="list-style-type: none"> • For inmates with release date within 2 years - every 30 days • For inmates with release date over 2 years away - every 90 days • Past minimum inmates (except for those refusing programming or furlough) – every 14 days • Past minimum inmates refusing programming or furlough – every 90 days

The following applies to all contact with **OOS Inmates**:

All Inmates	<ul style="list-style-type: none"> • Within fourteen (14) days of arrival at an OOS facility, inmates will receive a letter of introduction from the assigned OOS CSS. Every 6 months a contact shall be made with the inmate either in-person, via phone, or using video conference.
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<p>Interstate Compact Cases (VT Offenders Housed Out of State via the Interstate Compact)⁴</p>	<ul style="list-style-type: none"> OOS CSS shall review the cases annually and enter any updates using contact notes in OMS. OOSU staff member will conduct site visits and meet with ICC/IGA inmates every (18) eighteen months.
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Collateral Consequences (13 V.S.A §8004)

<p>Offenders who received a term of incarceration of 30 days or more and will max out from a correctional facility</p>	<p>Complete the Collateral Consequences Notice not more than 30 days before they max out and not less than 10 days before they max out.</p>
<p>Offenders who received a term of incarceration of less than 30 days and will max out from a correctional facility.</p>	<p>Complete the Collateral Consequences Notice no later than 10 days prior to max out, unless the offender is serving less than 10 days, in which case, the notice shall be provided as soon as possible.</p>

⁴ Interstate compact cases where an inmate is housed in a Vermont facility via the interstate compact adhere to the instate requirements.

Case Planning

In the Case Management section within the offender's record in the Offender Management System (OMS) is the "Offender Case Plan." This section is intended to guide case managers through the general steps to properly enter Case Plans into OMS.

Case planning prioritizes matching individual factors with available services and programs that best support individual responsivity to intervention. Individual factors include, among others: demographics, learning styles, coping styles, cognitive abilities, motivational styles, culture, gender, and developmental stages. Case planning recognizes the diversity of individual needs and strives to meet these needs with responsive, flexible (as possible and permissible), and trauma-informed approaches.

Section One -Facility

(Administrative functions for all sentenced inmates regardless of sentence):

The Offender Case Plan is used to document: (1) population management [e.g., eligibility for out-of-state (OOS) and/or work camp]; (2) risk intervention services; (3) management program level (MPL); (4) administrative code and date; and (5) projected release code and date.

Population Management

1. Identify if the inmate is eligible for OOS placement; if **yes**, check the "OOS Eligible" box and complete the necessary steps pursuant to Out of State Criteria Selection:
 - a. Medical Clearance Requested: **Enter** the date the Corrections Service Specialist (CSS) requests medical clearance by sending a referral to the Offender Placement Coordinator.
 - b. Result of Medical Clearance: **Enter** "Cleared" or "Not Cleared" to indicate whether or not health services cleared the offender for OOS placement.
 - c. Worker Hold (i.e., Court; Facility Worker Hold; Hold Expired; Hold Removed; Medical/Mental Health; VCI Hold): **Enter** whether or not the offender has an approved hold per the hold request process (Facility Worker/VCI), which would prevent the offender from being placed OOS (e.g., if the offender is a key cook in the kitchen then the hold would be for "facility worker hold").
 - d. Hold Expiration Date: (e.g., *8/1/2017*). **Enter** the date of expiration as determined on the Hold application form.
2. Identify if the offender is eligible for placement in the work camp; if **yes**, check the appropriate box and complete necessary steps pursuant to Work Camp Eligibility and Referral:
 - a. Medical Clearance Requested: **Enter** the date the Corrections Service Specialist (CSS) requests medical clearance by sending a referral to the Offender Placement Coordinator.
 - b. Result of medical Clearance: **Enter** "Cleared" or "Not Cleared"

for work camp placement, as appropriate.

3. Enter any notes relevant to the OOS placement or Work Camp placement process into the applicable notes section. These notes shall be entered in full sentences using plain language that can be easily understood by anyone who reads them.

Risk Intervention Services

The Correction Services Specialist (CSS) and Probation and Parole Officer (PO) shall identify if the offender is required to complete any facility Risk Intervention Services (RIS) that may include education, programming, or Vermont Correctional Industries (VCI).

If the offender is required to complete facility-based risk intervention services:

1. Check the “Facility Programming Required” box identifying that programming is required.
2. Complete the facility programming referral and send out. Check the “Facility Programming Referral Completed” box identifying the referral was completed and sent.
3. Enter any notes relevant to programming in the Programming Notes section. This can include the date the programming required determination was made and the dates of when the programming referral was completed and sent. These notes shall be entered in full sentences using plain language that can be easily understood by anyone who reads them.

Management and Administrative Codes/Projected Release Codes

1. Enter the Management Program Level for the offender (Level A, Level B, Level C).
2. Enter the Projected Release Code and Projected Release Date using the table in *Appendix A*.
 - a. This code identifies the default status under which the offender will be released.
 - b. This code is associated with what is known about the case on the date the information is entered and represents how and when the offender would leave the facility, absent any changes.
 - c. The code and date are required to be updated when needed to reflect the current status.
3. Enter the Administrative Code and Administrative Date.
 - a. This code identifies individual characteristics about an inmate’s case that inform case planning and case management efforts.
 - b. This code additionally identifies barriers or circumstances that may prevent an inmate from being released at their minimum.
 - c. The code and date are required to be updated when needed to reflect the current status.

Section Two -Field (Administrative functions):

The Offender Case Plan is used to document investigations, supervision level, community service, supervision restrictions and rationale, curfew, purpose of driving and outcome, administrative type (if applicable), and risk intervention services.

Investigation

Enter investigation information, if any, related to an offender's case using the fields provided (Date Assigned, Date Due, Completed Date, Type).

Supervision Level

1. Select the risk management supervision level assigned to the case using the dropdown menu.
2. Select override supervision level, if applicable. (**Note:** Overrides require a supervisor's approval.)
3. View contact requirements for the selected risk management level.

Community Service

1. Enter the total number of community service hours assigned and remaining.
 - a. Update remaining hours as appropriate.

Supervision Restrictions

Restrictions

Select any appropriate restriction(s).

Restrictions Rationale

Enter a brief explanation of any restriction based on the offender's conditions, risk, need, and/or safety concerns.

Curfew

Enter curfew hours in the space provided.

Purpose of Driving

Check the reason(s) the offender is allowed to drive.

Driving Outcome

[Note: Only the District Manager (DM) can limit or deny privileges.] Select one of the driving privileges using the dropdown menu.

Administrative Type

Select the Administrative Type, if applicable, from the dropdown menu.

Risk Intervention Services

The Probation and Parole Officer (PPO) shall identify if the offender is required to complete any risk intervention services that may include Risk Reduction Programming (RRP) or education, or risk specific program.

If the offender is required to complete risk intervention services:

1. Check the “Community Programming Required” box identifying that programming is required.
2. Complete the community programming referral and send out. Check the “Community Programming Referral Completed” box identifying the referral has been completed and sent.
3. Programming Notes shall be entered to describe the path to programming and to note any case-specific information. This can include the date the programming required determination was made and the dates of when the programming referral was completed and sent. These notes shall be entered in full sentences using plain language that can be easily understood by anyone who reads them.

Section Three - Case Plan (Addresses Criminogenic Risk and Need):

The Offender Case Plan is a document that outlines an offender’s goals for addressing risk, need, and responsivity areas over the time an offender is on DOC supervision. The case plan includes specific steps to reach those goals and realistic timelines for the offender to achieve stability within the facility, during reentry and in the community. The case planning process involves the offender in constructing the plan, aligns case plan activities and strategies with interventions that address offender-specific criminogenic needs, and is identifiable, concrete, and easy to follow.

See “Case Plan Examples” for recommended format.

All case plans shall:

1. Identify the assessed risk level of the offender. Staff shall share the results of all assessments with the offender and help the offender make the connection between the assessment results and their behaviors, risk factors, and chosen interventions.

2. Target moderate- and above- criminogenic risk areas.
3. Identify the offender's strengths and build strategies on those strengths. Consider the best ways to enhance offender's responsivity factors, including motivation/readiness for change. Develop strengths-based strategies to address triggers and barriers.
4. Outline the offender's responsibilities clearly and concisely, including adherence to conditions.
5. Collaboratively involve the offender in all aspects of case plan development. Offenders involved in the development of their case plans are more motivated to work on goals that they helped develop, and to follow through on their commitments to complete activities specified in their plans.
6. Include updated information when a significant event has occurred including achievement of a goal/objective, addition of a new goal/objective, life-event occurrence that affects the offender's case, or any update that may impact risk assessment.
7. Include the following components for all dynamic factors:
 - a. Problem Statement –Based on information from the assessment(s). Outlines the offender's problem as it relates to the criminogenic risk area.
 - b. Goal Statement – Based on the problem statement. Outlines the desired outcome once the problem has been mitigated.
 - c. Objectives – This is what the offender shall do to support the goal.
 - d. Interventions – This is what the PO and/or CSS staff shall do to support the goal.

Who Needs a Case Plan?

1. Offenders serving a minimum incarcerated sentence of six (6) months or more (from the time of sentencing) who score moderate- or above- on any validated risk assessment.
2. Furlough Risk Management Supervision cases who score moderate- or above- on any validated risk assessment.
3. **A case plan must be completed within 90 days of sentencing and must be updated when a goal, objective, or intervention has been met or needs to be modified and when something substantial has changed.**
4. **If an offender is not required to have a case plan, they must have a supervision contract in the community.**

Case Plans must consider the following Responsivity Areas: (1) Child Care; (2) Cultural Barriers; (3) Disability; (4) Ethnicity; (5) Housing; (6) Language; (7) Other, Describe Below; (8) Reading and Writing Limitations; and (9) Transportation.

If any or all apply, then the appropriate check boxes should be selected in the "Responsivity Areas." If "Other, Describe Below" is checked then an explanation shall be entered into the "If Other, please describe" section.

All Case Plans must address the following assessment-based risk and need areas: (1) Education, Employment, and Financial Situation; (2) Family and Social Support; (3) Substance Abuse and Mental Health; and (4) Criminal Attitudes and Behavioral Patterns. Case Plans for the Field must also address: (1) Peer Associations and (2) Neighborhood Problems.

Developing a case plan involves the following **key principles**:

Risk: Identify the assessed risk level of the offender. ORAS is Vermont’s foundational risk assessment tool. If any other empirical risk instrument is also used, those results may inform the offender’s case plan and lead to additional goal creation. Intensity of services should be matched to the level of risk for reoffending. Research demonstrates that prioritizing resources for individuals at moderate- or above- criminogenic risk can lead to a significant reduction in recidivism among this group. Conversely, high-intensity supervision for low-risk people is an ineffective use of resources and may even be harmful.

Need: Target criminogenic needs (i.e., those dynamic risk factors that contribute to the likelihood of reoffending). Case planning should prioritize the core criminogenic needs that can be changed through supervision, programming, or other services and supports. The greater the number of criminogenic needs addressed through interventions over time, the greater impact those interventions will have on reducing recidivism.

Responsivity: Address individuals’ barriers to learning in the design of treatment interventions. Highlight the importance of addressing learning styles, reading abilities, cognitive impairments, and motivation when designing supervision and service strategies. For example, a mental health disorder may need to be addressed to accommodate an individual’s level of processing so the individual can learn from service providers and comply with conditions of supervision.

Case plans shall be written in **S.M.A.R.T.** goals:

1. **Specific.** Objectives and interventions are specific and goal-focused; they should also address, in specific behavioral terms, how level of functioning or functional impairment shall improve.
2. **Measurable.** Objectives and interventions are measurable, achievement is observable, and there are measurable indicators of offender progress (i.e., assessments, reports, and behavioral changes).
3. **Achievable.** Objectives and interventions are achievable during active DOC custody/supervision. They focus on improved functioning, instead of curing, and identifying goals that are achievable with the services provided and reviewable/revisable when the offender moves from one level to another.
4. **Realistic.** The offender may realistically meet goals within specific time period; goals and objectives are achievable given the offender’s environment, supports, and level of functioning; and progress requires offender effort.
5. **Timely.** Goals are time-limited or short-term with objectives that build success. Objectives and interventions can be reviewed within a specific time period.

Case Plan Examples for Facility and Field

Education, Employment, & Financial Situation:

Facility:

Problem Statement:

John Doe has been unable to maintain steady employment for more than two months at a time resulting in financial instability and loss of residence.

Goal Statement:

John Doe shall maintain employment while residing at Northern State Correctional

Facility in order to save money to put toward a residence.

Objectives:

John Doe shall write an essay identifying his barriers to maintaining employment greater than two months and will review it with his CSS at the next contact session.

John Doe will commit to saving X amount of his inmate wages each pay period, create a balance sheet to document wages/expenses, and review it with his CSS at a monthly contact session.

John Doe shall meet with corrections education staff in the next X months to evaluate community job readiness and skills.

Objectives Progress:

On (date), John met with his CSS and reported that he has met with corrections education twice since their last meeting

Interventions:

CSS shall meet with John Doe to review and discuss barriers to maintain employment at the next contact session.

CSS will review balance sheet with John Doe at a monthly contact session.

CSS shall refer John Doe to corrections education to evaluate job readiness and skills within the next 14 days.

Interventions Progress:

CSS referred John to corrections education after last meeting

On (date), CSS spoke with corrections education staff about John meeting with them for evaluation.

Field:

Problem Statement:

John Doe reports that he is frustrated with how little money he has, and the difficulty this is causing for paying his bills. John agrees that he needs to find employment.

Goal Statement:

John Doe will improve his financial situation by getting full time, lawful, employment while on supervision.

Objectives:

John Doe will apply to a minimum of three jobs each week.

John Doe will document the jobs he applies to on an employment search form, including contact information for the potential employer.

John Doe will bring his employment search forms and review his job search with his PPO each meeting.

Objectives Progress:

On (date), John met with his PPO and provided his completed employment search form.

Interventions:

PPO will meet with John Doe weekly to review his employment searches.

PPO will contact employers from John Doe's employment form every two weeks to verify the application.

Interventions Progress:

On (date), PPO followed up with a phone call to contact (potential employer) and spoke with (contact person).

Family & Social Supports

Facility:

Problem Statement:

John Doe has lacked emotional and personal support from his parents and siblings since he has been incarcerated. This increases his reliance on anti-social peers for support. He has stated he is more likely to reoffend with them.

Goal Statement:

John will form relationships with persons who are pro-social in his life and who can provide positive emotional and personal support in his rehabilitation.

Objectives:

John shall create a list of people both pro-social and anti-social whom the offender maintains or plans to maintain contact with by the next contact session.

Objectives Progress:

John discussed some potential individuals for his prosocial list in a conversation with his CSS on (date).

Interventions:

CSS shall meet with John Doe monthly and review how he is reestablishing contacts with his family.

CSS shall, every two months, inform John Doe's family how he is doing in the facility.

Interventions Progress:

John met with his CSS on (date) and reported speaking with his brother (prosocial support) last week on the phone, discussed John possibly moving in with his brother upon release. Discussed potential pros/cons of residing with his brother.

Field:

Problem Statement:

John Doe lacks the social supports within his community increasing his risk to engage in criminal behavior.

Goal Statement:

John Doe will increase contact with pro-social family members and support systems within the community while on supervision by attending AA meetings, which he has stated are likely to have positive, sober individuals he has known since before his incarceration.

Objectives:

John Doe will attend at least two AA meetings a week.

John Doe will attempt to connect with AA friends to engage in pro-social activities outside of AA at least once a week.

John Doe will have the meeting facilitator sign off on his attendance at AA meetings.

Objectives Progress:

John reported on (date) attending one AA meeting so far this week.

Interventions:

PPO will review John Doe's attendance at AA meetings at their weekly meetings.

PPO will discuss with John who he is associating with and what activities they are engaging in at their weekly meetings.

Interventions Progress:

On (date) John met with his PPO and reviewed AA meeting attendance and associations. Discussed transportation/scheduling barriers to attend AA meetings and agreed to adjust meeting time with PPO so John will attend AA meeting directly prior

to meeting with PPO.

Substance Abuse & Mental Health

Facility:

Problem Statement:

John Doe's psychiatric problems compromise his ability to focus on facility rules and regulations.

Goal Statement:

John Doe shall reduce the impact of his psychiatric problems on his ability to abide by facility rules and regulations.

Objectives:

John Doe shall meet with facility mental health staff to determine the need for a treatment plan and medication.

Objectives Progress:

On (date), John reported meeting with mental health staff to discuss medication last week.

Interventions:

CSS shall make referral to facility mental health staff immediately.

CSS shall follow up with facility mental health staff following John Doe's appointment.

CSS shall meet with facility mental health staff every three months to discuss John's participation with mental health staff and his functioning on the unit.

Interventions Progress:

On (date), CSS spoke with facility mental health staff, discussed conversations with John about treatment plan and medication needs.

On (date), CSS met with John, discussed his meeting with mental health staff. Provided positive feedback regarding John's follow up. Reminded John to also discuss treatment plan with mental health staff during their next meeting.

Field:

Problem Statement:

John Doe and his PPO agree that he has a pattern of relapsing into cocaine use when he gets out of prison.

Goal Statement:

John Doe will reduce his risk of relapse while on supervision by engaging in substance abuse counseling with the Licensed Alcohol and Drug Counselor (LADC) he met with regularly prior to his incarceration. They will meet weekly or as determined by the LADC and based on the LADC's availability.

Objectives:

John Doe will identify three triggers (people, places, and things) that will likely increase his risk of drug use. He will review these triggers with his PPO and LADC when he next meets with them.

John Doe will identify three pro-social individuals or activities to occupy his unstructured time. He will review these individuals and activities with his PPO and LADC when he next meets with them.

John Doe will sign a release at his next meeting with his LADC so that his PPO and LADC can discuss his treatment.

Objectives Progress:

John signed a release with his LADC that was emailed to PPO on (date).

Interventions:

PPO and John Doe will review the triggers within his community that increases his risk of relapse and anti-social behavior next meeting.

PPO and John Doe will choose pro-social activities that he may participate in within his community next month.

PPO will contact John Doe's LADC by the end of the month to discuss his treatment.

Interventions Progress:

On (date), PPO spoke with John's LADC (name), who reported John has met with her twice this month. Discuss her concerns regarding John's lack of natural supports.

Criminal Attitudes & Behavior Patterns

Facility:

Problem Statement:

John Doe experiences criminal attitudes and orientation that increase his risk of engaging in criminal behavior and substance abuse.

Goal Statement:

John Doe shall reduce his criminal orientation and attitudes by reducing his risk for committing new crimes and increasing his ability to function in the community.

Objectives:

John Doe shall complete incarcerative RRP in the facility and shall demonstrate his pro-social skills during programming and on the unit.

Objectives Progress:

John reported on (date) that he has missed one RRP group this month due to sickness.

Interventions:

CSS shall refer John Doe to RRP.

CSS shall monthly discuss with John Doe his participation, attendance, and what he is learning in programming.

Interventions Progress:

On (date), CSS submitted John's RRP referral packet.

Field:

Problem Statement:

John Doe increases his risk of engaging in additional criminal behavior when he steals money as a source of income.

Goal Statement:

John Doe will participate and successfully complete RRP while on supervision in the community to learn to identify what triggers his decision to steal, and to learn skills that he will use to avoid criminal behavior and make money legally.

Objectives:

John Doe will complete community RRP in the next six months and will demonstrate his pro-social skills during programming.

John Doe will not steal while on community supervision.

Objectives Progress:

On (date), John reported that he has been attending RRP as directed for the last month.

Interventions:

PPO will refer John Doe to community RRP.

PPO will monthly discuss with John Doe his participation, attendance, and what he is learning in programming.

PPO will further support John Doe in developing his pro-social skills through Effective Practices in Community Supervision (EPICS) interventions during monthly contact sessions.

PPO will follow up with RRP provider to ensure attendance.

Interventions Progress:

On (date), PPO submitted RRP referral packet.

On (date), PPO spoke with RRP provider, who reported John has missed several RRP meetings. Plan to speak with John next meeting regarding misreporting attendance.

Neighborhood Problems (Field Only)

Problem Statement:

John Doe and his PPO agree that John's neighborhood will expose him to a lot of risks that will increase his chances of reoffending, including criminal peers and access to drugs.

Goal Statement:

John Doe will develop a budget that would allow him to be able to afford to move out of his neighborhood in the next six months.

Objectives:

John Doe will develop a budget by his next meeting with his PPO that will identify how much money he needs to save each week to move into a new apartment in the next six months.

John Doe will write down any barriers to meeting his budget goals and share these with his PPO at his next meeting.

John Doe will review progress with his budget including income and expenses with his PPO each meeting.

John Doe will search for apartment ads in the newspaper and bring these in to review with his PPO each meeting.

Objectives Progress:

On (date), PPO met with John, who provided draft budget. John did not have apartment ads.

Interventions:

PPO will help John Doe review his budget and list of barriers to meeting his budget goals at least once a month.

PPO and John will review his apartment search each meeting and his PPO will offer input into each potential location.

Interventions Progress:

On (date), PPO reviewed draft budget with John and made suggestions. Reminded John to bring in apartment ads and provided more suggestions on where to look for apartment ads.

Peer Associations (Field Only)

Problem Statement:

John Doe has stated that he is worried about falling into criminal behavior due to living nearby several individuals he knows will pressure him into criminal activity to earn money, such as selling drugs and stealing.

Goal Statement:

John will identify individuals he knows needs to avoid and will develop a strategy with

his PPO for how to get his social and financial needs met without associating with criminal peers and engaging in crime while on supervision.

Objectives:

John Doe will identify three triggers (people, places, and things) that will likely increase his risk of associating with peers who are engaging in criminal lifestyles. He will review these triggers with his PPO when he next meets with him.

John Doe will identify three pro-social individuals or activities to occupy his unstructured time. He will review these individuals and activities with his PPO when he next meets with him.

John Doe will write down goals he wants for his life that include pro-social accomplishments around employment, peers, family, and sobriety to help motivate him to live a pro-social life.

John Doe will review these goals and progress on these goals with his PPO at each weekly meeting

Interventions:

PPO and John Doe will review triggers within John's community that increases his risk of criminal behavior next meeting.

PPO and John Doe will complete at least one EPICS sessions per month to support Doe in developing and following through with his pro-social goals.

Transition and Reentry

Reentry Planning Timeline

The reentry process shall begin at the following times dependent on the offender’s case specifics:

<u>Offender Type:</u>	<u>Timeline:</u>
Standard Offender	180 Days to Estimated Minimum Release Date
Offenders identified as: <ol style="list-style-type: none"> 1. Sex Offenders 2. Level C 3. Release Sensitive Notification (RSN) 4. Severely Functionally Impaired (SFI) 5. High Risk Domestic Violence Offenders 	1 year to Estimated Minimum Release Date

The Estimated Minimum Release Date is the date in which it is anticipated the offender shall be released from a correctional facility taking any earned good time into consideration.

At the respected timeline, the **CSS and PPO** shall review the case for the following:

1. Housing – discuss housing plans with the offender and determine if housing is going to pose an obstacle for release. If housing is going to pose as an obstacle for release, the CSS shall make every effort to ensure that the offender has housing at the PRD date. These efforts shall be documented in the *family and social supports* section of the offender case plan.
2. Review the case for victim issues and coordinate notification requirements pursuant to DOC policy. Check VANS and/or with an assigned VSS for victim contact information, All efforts shall be documented pursuant to contact notes and victim notification requirements.
3. Review the case for information from any previously designated agency (e.g., Education – Individualized Education Plan, 504, American with Disabilities Act). Document findings in *family and social supports section* of the offender plan.
4. Review the case for family supports and document findings in the *family and social supports section* of the offender plan.
5. Identify any risk reducing activities in the community and document in the *criminal history and criminogenic needs section* of the offender case plan.

Transition and Reentry

The transition and reentry process is pivotal to ensuring that offenders have the best possible start when transitioning from an incarcerative setting to a community setting. The DOC prides

itself on offenders having key services available set up for them at reentry.

The PPO/CSS shall document the transition and reentry efforts in the appropriate location in OMS or in a contact note if there is no assigned form or field.

The **CSS and PPO** shall perform a review of the following as part of the transition and reentry process:

1. Release address
2. Release Phone
3. Release Employment
4. Transportation at release
5. Picture Identification: DMV
6. Secondary Identifications: Social Security and Birth Certificate
7. Community Based Programming
8. Education
9. 3 Squares Vermont/GA/Reach Up/Fuel Assistance Application
10. Medicaid/Vermont Health Connect Application
11. SSI/SSDI/Medicare Application
12. Veteran Status
13. Information from any previously designated agency(Educational/Vocational Rehabilitation and/or Department of Labor)
14. Sex Offender Registry Required in Vermont or other state and if applicable a Pre-Release Report
15. Law Enforcement Notification
16. Victim Notification
17. Parole Summary
18. Financial Obligations
19. Community Based Recovery Coach
20. In need of/requesting:
 - a. Clothing
 - b. Food
 - c. Transition Money
 - d. Narcan
21. Health Discharge Summary received from medical provider
22. Court Conditions
23. Court Date
24. Review Developmental Questionnaire previously completed, and any referrals related to the responses
 - a. Development Services (DS) Waiver
 - b. Vermont Choices for Care Medicaid (CFC) Waiver
 - c. Traumatic Brain Injury (TBI) Waiver
 - d. Community Rehabilitation and Treatment (CRT)
 - e. Youth Development Program

Reentry Tasks
Identify whether or not the offender has any identification documents at Central Office and if so, advise the Identification Documents Coordinator of release plans or issue a facility ID if appropriate
Identify whether or not the offender needs any of the following at release: <ul style="list-style-type: none"> • Food • Release Money • Community Resources (e.g., clothing) • Narcan
Ensure a release is signed for the field PPO
Identify if there are any housing needs or a residence requirement
Review and discuss the Developmental Services Questionnaire previously completed with the offender and any referrals
Advise medical of release date in order for medical to initiate care coordination of all substance, medical and mental health needs addressed in the facility by medical and to complete the Medicaid application. Upload the medical discharge summary into the medical tab.
Assist the offender in obtaining appointments if the offender requests for substance, medical and mental health needs not addressed in the facility by medical
Determine transportation for the scheduled release
Comply with any pre-release sex offender registry compliance requirements
Identification of criminal risk: <ul style="list-style-type: none"> • Conduct Reentry Risk Assessment (ORAS) • Conduct Simple Screening Instrument for Substance Abuse (SSISA) • Identify any risk reducing accommodations available to the offender in the community
Apply for benefits (as eligible/requested): <ul style="list-style-type: none"> • 3Squares Vermont; Emergency/General Assistance; Fuel Assistance • Reach Up • Child Care Financial Assistance • Veteran Benefits • SSI or SSDI
Identify whether or not the offender needs any education resources in the community based on mandatory statutory requirements (under 23 and on furlough) or based on risk assessment results
Identify whether or not the offender has any employment needs and/or resources in the community. If there is a need for employment services a referral to VOC Rehab and or the Department of Labor should be identified.
Identify the offender's financial obligations: <ul style="list-style-type: none"> • Owes Child Support • Restitution or other debt
Perform any required residence approvals. This should include any victim issues or compliance with conditions.

Pre-Release Report

1. The CSS must prepare a pre-release report if the offender meets all of the following:
 - a. Has been convicted of one of the following offenses:
 - i. Lewd and lascivious conduct in violation of 13 V.S.A. § 2601;
 - ii. Lewd and lascivious conduct with a child in violation of 13 V.S.A. §2602;
 - iii. Sex assault in violation of 13 V.S.A § 3252;
 - iv. Aggravated sexual assault in violation of 13 V.S.A. § 3253;
 - v. Aggravated sexual assault of a child in violation of 13 V.S.A. § 3253a;
 - vi. Kidnapping with intent to commit sexual assault in violation of 13 V.S.A. §2405(a)(1)(D);
 - vii. Use of a child in a sexual performance in violation of 13 V.S.A. § 2822;
 - viii. Consenting to a sexual performance in violation of 13 V.S.A. § 2823;
 - ix. Promoting a recording of sexual conduct in violation of 13 V.S.A. § 2824;
 - x. Possession of child pornography in violation of 13 V.S.A. § 2827; or
 - xi. Luring a child in violation of 13 V.S.A. § 2828.
 - b. Sentenced after July 1, 2009;
 - c. Has a split sentence which requires the offender to serve a minimum of one year or more incarcerated and then is released to probation; and
 - d. Is required to complete incarcerative Vermont Treatment Program for Sexual Abusers (VTPSA) programming⁸ during the incarcerative term of his/her sentence or fulfil any other probation condition while incarcerated.
2. The CSS shall obtain the programming summary from VTPSA and complete the “Performance” section of the pre-release report and send (via email) to the PPO at least forty-five-days prior to the offender’s release to probation.
3. The PPO shall complete the remaining sections of the pre-release report and shall submit the report to the sentencing court, State’s Attorney, defense attorney no later than thirty-day prior to the offender’s release to probation.

⁸This condition typically is the following – “You shall participate in the Vermont Treatment Program for Sexual Abusers (VTPSA) during the course of your unsuspended sentence. Failure to complete said program while incarcerated may result in a violation of your probation.”

Contact Notes

It is the policy of the DOC that all documentation is standardized, recorded electronically, objective, factual, and in compliance with state or federal mandates regarding confidentiality of information related to offenders and the victims of their crimes. The general principle behind contact notes is that they are a continuous record of interaction with an offender and collateral contacts. Contact notes are a custom form available in OMS. This serves as a record which can be used to follow an offender's contact history during their period(s) of supervision by the DOC. Refer to the DOC *Directive #251.01 and APA Rule #19-035 Offender/Inmate Records and Access to Information* for guidance on offender access to contact notes. All contact notes should be entered within 24 business hours of the contact.

Purpose of Contact Notes

There are four main purposes of contact notes; they are:

1. **Document Services:** Include pertinent information about offender case management and attitudes; progress towards case plan/contract goals; participation in treatment and risk reducing activities; and victim collateral contacts (entered specifically in victim contact notes).
2. **Communication:** Contact notes outline your work in the event someone else takes over the case, when other authorized personal or external parties need to access the information, or records are subpoenaed by the court.
3. **Supervision:** Supervisors monitor contact notes to provide support for staff. Supervisors, and central office staff review contact notes to ensure case work policies and procedures are being met.
4. **Systems Evaluation:** Contact notes allow for analysis of information, process, and outcomes for improvement.

Elements of Contact Notes

When creating a contact note the following elements shall be adhered to:

1. **Informing the offender:** Inform the offender that DOC is taking notes and how the notes shall be used in their supervision and case management.
2. **Confidentiality:** Beyond protection under Federal Health Insurance Portability and Accountability Act (HIPAA), privacy standards do not promise that notes shall only be seen by the CSS and PPO. Rather the contact note may be accessed by anyone who may need to understand specificities regarding an offender's case. Please note the DOC does have a policy which governs staff access to offender information to ensure that staff only access offender information when necessary to perform their work duties.
3. **Accuracy:** Contact notes can be subpoenaed so accuracy is important. Be specific and objective; write a note that is easily readable and understood. Do not make comments the DOC would not want viewed by others; do not enter opinions; do not make your own diagnosis or conclusions.

4. Brevity and Shorthand: Contact notes can be brief but should include enough detail so the reader has a clear picture of the information that is documented. The author can reference something else in the Offender Management System (OMS) such as simply noting incident report or assessment was completed. You must not use short hand, symbols or cryptic information that only you would understand. Contact notes must be able to be read, understood, and comprehended by anyone reading them. When quoting someone else the author shall use quotation marks around the words and note to whom the quote is attributed.

Format of Contact Notes

This section walks through the OMS tab dedicated to contact notes. Each number and letter represent a fillable box or drop-down option which to choose from.

1. Date of contact: The date and time should reflect the actual date and time of the contact not necessarily the date and time it was entered.
2. Duration: This is the total time in minutes spent noted for the activities referenced in the contact note.
3. Types of contacts:
 - a. **Collateral contact** is contact with anyone other than the offender (e.g., victim, family member, employer, or neighbor).
 - b. **Offender contact** is contact with the offender.
 - c. **Management-Case Co-Management** shall be used when staff from two different sites (field and/or facility) are working together on an aspect of the case. This is the only selection that does not require the addition of attempted, direct or indirect. An attempted contact is one where the contact note author attempted to reach an individual (either offender or collateral contact), but was unsuccessful.
4. All collateral and offender contacts will be further noted as direct or indirect:
 - a. A direct contact is a face-to-face contact. There must be dialogue between the note author and the individual.
 - b. Indirect contact is any other contact that is not face-to-face. Examples are voice mail messages, telephone calls, teleconferences, or seeing the offender in public with no dialogue.
5. Location: This is the location where the author is when the contact is made and not necessarily where the offender or another individual is.
 - a. Court
 - b. Home (of the offender)
 - c. Correctional Facility or other incarcerative setting (local lockup)
 - d. Probation and Parole (P&P) Office
 - e. Other Field (any other location not captured – the contact note shall specify where)
 - f. Central Office
 - g. Treatment Site (treatment location outside the P&P office)
 - h. Work (offender's place of employment)

6. Services provided: More than one service can and should be selected to encompass the full context of the information in the contact note.
- a. DCF
 - b. Fee, fine, restitution
 - c. Investigation (to include PSI, ISR, ICOTS, residence) but not disciplinary
 - d. Motivate or treat
 - e. Offender refuses to participate
 - f. Orientation - This category shall be used to document any information from intake and/or initial offender meetings.
 - g. Other Case Management Contact - This category shall be used to document any other case management activities, including progress towards the goals, participation in risk reducing activities, and other contacts necessary for case management, such as employer contact.
 - h. Paperwork
 - i. Parole Board
 - j. Privilege Denied - This category shall be used when DOC staff denies a privilege outside of normal activities.
 - k. Privilege Granted - This category shall be used when DOC staff permits a privilege outside of normal activities.
 - l. Record Request
 - m. Release Sensitive Notification Activity
 - n. Retaliation Checks
 - o. Sex Offender Registry - This category will be used for documentation of completing sex offender registry paperwork for the offender.
 - p. SFI Staffing – entered by CO staff at the conclusion of an SFI staffing
 - q. SOR-Law Enforcement - This category will be used to document when sex offender related documentation has been sent or received to law enforcement or staff has had contact with law enforcement relating to a sex offender on supervision.
 - r. SOR-VCIC - This category will be used to document when sex offender related documentation has been sent or received to VCIC (sex offender registry) or staff has had contact with VCIC relating to a sex offender on supervision.
 - s. Work Crew

All other contact note categories (designated “Z do not use”) are not to be selected and will only contain prior information by the DOC and are now legacy categories.

Risk Assessments

1. Timing:
 - a. Screening and Assessments are generally conducted upon intake to a community supervision site and upon sentencing at a facility site.
 - b. Screenings and Assessment may also be conducted when there is an event which is indicative that the previous status may have changed (e.g., new charge, significant life event, etc.) and may affect the correctional supervision and/or need reducing plan and should be reviewed annually.
2. Trained staff administer risk assessment tools and the majority of the screening tools. Additional assessments (e.g., psychosexual evaluations, substance abuse assessments) may be done by trained evaluators.
3. Trained staff shall use the screening information to identify potential responsivity factors which may affect an offender's ability and motivation to address his/her criminogenic needs, as assessed by the risk assessment tools.
 - a. Offense specific risk assessment tools which assess areas specific to domestic and sexual offending risk shall supersede the risk level (low, moderate and high) determination of the general risk assessment tools for the purposes of Risk Reduction Program participation eligibility and risk management supervision⁵
 - b. Screening and assessment information shall be incorporated into the development of the offender's case plan and the Correctional Intervention Plan.
 - c. Correctional Criminogenic Need areas shall be prioritized by score/need.
 - d. Correctional Criminogenic Need areas shall be prioritized as intervention targets and are required in demonstration of adequate dosage and/or proficiency for individuals designated as Level B or Level C. Individuals designated as Level B or Level C are those who meet moderate and above risk assessment in either general risk assessment tools or specific risk assessment tools (e.g., sexual or domestic violence), have a listed conviction, and given straight time to serve a sentence allowing participation and engagement Risk Intervention Services. Offenders who do not meet these criteria must be presented to the Central Case Staffing Determination Committee for approval to participate.
4. Quality Assurance:
 - a. If there is a discrepancy or dispute regarding the accuracy of scoring of a risk assessment tool, the documents used to score the tool, collateral information, and interview notes, shall be forwarded to a local trainer for review and/or correction. The training team subset shall have permission to correct an erroneous score and shall make note in contact notes that the score has been reviewed and corrected.

Ohio Risk Assessment System (ORAS)

The ORAS is validated for use with both incarcerated offenders and with offenders in the community. The ORAS evaluates each offender at defined periods in their supervision. This allows staff to continually update and determine areas of risk that have been mitigated or have

⁵ The PPO shall use which ever risk assessment (ORAS or DVSIR) score is higher when making determinations regarding the Domestic Offender Supervision Level Grid.

changed in a way that now needs attention. The goal is to ensure that the DOC is aware of and provides support and services to areas of risk. Risk assessments are used as a means of determining the probability of reoffending. They look at the risk to reoffend, not risk of committing a serious offense.

The ORAS encompasses various tools which are to be administered to offenders at various times. The tool(s) selected shall depend on the offender’s situation and case circumstances. All assessment tools are intended to be administered with **BOTH** a record review and an in-person interview of the offender and may include collateral information. An accurate assessment requires accurate information.

Refer to the table below for the tool and its specifics - *All ORAS tools shall be administered by an ORAS certified CSS/PPO and administered with the offender present.*

Community Supervision Tool	<ol style="list-style-type: none"> 1. This tool shall be used in the field. This tool should not be administered without the offender present. 2. It shall be administered two weeks of intake (risk management cases). 3. It shall be administered three months after release from incarceration. 4. It shall be reviewed annually and/or upon significant changes in community status. 5. If a Pre-Sentence Investigation (PSI) is conducted, the CST shall be used on the offender to determine Risk Intervention Services (RIS) eligibility and intervention targets.
Prison Intake Tool (PIT)	<ol style="list-style-type: none"> 1. All offenders sentenced to one year or more minimum shall be administered the Prison Intake Tool (PIT). 2. The original PIT risk score shall inform RIS eligibility. 3. Furlough Revocation shall result in the administration of the PIT and it shall inform RRP eligibility, although not RIS prioritization. 4. PIT shall be reviewed annually unless administering the supplemental or Re-Entry tool.

Re-Entry Tool	<ol style="list-style-type: none"> 1. Offenders that have served four or more years continuously shall be administered the Re-Entry tool six to eight weeks prior to release to the community. 2. It is completed via a file review of official records, a structured interview, and valid collateral sources. A self-report questionnaire can be given to the offender prior to the structured interview.
Supplemental Re-Entry Tool	<ol style="list-style-type: none"> 1. Offenders that have served less than 4 years and more than 1 year, shall be administered this tool 6–8 weeks prior to release. 2. It is completed via a file review of official records, a structured interview, and valid collateral sources. A self-report questionnaire can be given to the offender prior to the structured interview.

Supervision Level Assessment (SLA)

The SLA is the initial screening given on intake at field sites to determine eligibility for services and further assessments.

Training: PPOs are trained and supervised to administer this assessment by their supervisors.

Conviction and Violation Summary (CVS)

The CVS is used in the facility to summarize an offender’s convictions and violations to determine facility placement.

Training: CSSs are trained and supervised to administer this assessment by their supervisors.

Sexual Violence Assessments

Static-99R

The STATIC-99 utilizes only static (unchangeable) factors that have been seen in the literature to correlate with sexual re-offense in adult males. The estimates of sexual and violent recidivism produced by the STATIC-99 can be thought of as a baseline of risk for violent and sexual re-offense. From this baseline of long-term risk assessment, treatment and supervision strategies can be put in place to reduce the risk of sexual recidivism.

User Qualifications and Training: Persons using the Static-99 shall receive training from a trainer who is approved by the author of the instrument.

VASOR-2

The VASOR-2 is designed for use with adult males who have been convicted of one or more qualifying sex offenses and have committed at least one of these sex offenses on or after their 18th birthday. The Re-offense Risk Scale is statistically derived and is designed to assess risk for sexual and violent recidivism. The Severity Factors Checklist (Part of the VASOR-2) is clinically derived and is designed to describe the severity of sex offenses.

User Qualifications and Training: The VASOR-2 is designed to be scored easily by clinicians, and CSS staff. Before using the VASOR-2, however, it is critical that users read its manual and complete training that includes scoring practice cases in order to optimize scoring accuracy and reliability. VASOR-2 users should also have a basic understanding of risk factors related to sexual offense recidivism and risk assessment principles. The CCPS serves on a supervision team to monitor assessment, compliance, and are trained to administer the VASOR-2.

Procedure for using the Static-99R and VASOR-2

1. Within 30 days after a sex offender has been placed on probation, furlough, or sentenced to incarceration, the PPO/CSS shall complete the Static-99R and VASOR-2.
2. The assessments are not updated unless one of the following occurs:
 - a. New sex offense conviction;
 - b. Conviction for a Violation of Probation/Parole in lieu of a new sexual offense;
 - c. Institutional disciplinary report for sexual behavior that if that behavior occurred in the community, the offender could be criminally charged; or
 - d. Offender is incarcerated for a length of time that affects the scoring for age of offender.

SOTIPS (PPO only)

The Sex Offender Treatment Intervention and Progress Scale (SOTIPS) is a statistically-derived dynamic measure designed to aid clinicians, and PO staff in assessing risk, treatment and supervision needs, and progress among adult males who have been convicted of one or more qualifying sexual offenses and have committed at least one of these sexual offenses after their eighteenth birthday.

User Qualifications and Training: The SOTIPS was designed to be scored easily by clinicians and PO staff. Before using the SOTIPS, however, it is critical that users carefully read the SOTIPS manual and complete training that includes scoring practice cases in order to optimize scoring accuracy and reliability. SOTIPS users should also have a basic understanding of risk factors related to sexual offense recidivism and principles of psychological assessment. The CCPS serves on a supervision team to monitor assessment, compliance, and are trained to administer the SOTIPS.

Procedure for using the SOTIPS:

1. After 90 days of field supervision, the PO shall complete the SOTIPS. This assessment is administered two times per year in January and July for the prior 6 months. If the offender is in sex offender programming, the treatment provider also administers the SOTIPS and reviews scoring results with the PO.

Note - Static-99R, VASOR-2, and SOTIPS instruments cannot be used for women, juvenile offenders (under 18), possession of child pornography when it is the only charge, statutory rape or any "category B" offenses (per the scoring manual).

Domestic Violence Assessment

Domestic Violence Screening Instrument Revised (DVSIR)

The DVSIR is designed to assess the risk of repeated domestic violence in the future based on information available at the time of use. Vermont defines domestic violence as intimate partner violence for the purposes of completing the DVSIR. The DVSIR shall be administered upon initial meeting with assigned DV Risk Management PPO or CSS..

Training and Certification Process: PPO and CSS staff working with a Risk Management Domestic Violence Caseload shall attend one three-hour training session. Once completed, the PPO shall score the DVSIR on three cases that are given by the instructor. Upon successful scoring, the PPO and CSS shall be certified.

Forensic Evaluations

Violence Risk Appraisal Guide (VRAG)

This instrument contains a twelve-item actuarial scale which has been widely used to predict risk of violence within a specific time frame following release in violent, mentally-disordered offenders. Developed at Penetanguishene Mental Health Centre, the tool uses the clinical record, particularly the psycho-social history component, as a basis for scoring, as opposed to interviews or questionnaires. The Hare PCL-R (Psychopathy Checklist-Revised) score is incorporated into the VRAG calculations of risk.

Administration and Scoring: The DOC contracts with forensic psychologist to administer and score.

Clinical Screening

The Simple Screening Instrument for Substance Abuse (SSI-SA)

SSI-SA is a routine screening for substance abuse signs and symptoms that determines if a more comprehensive assessment is needed. The SSI-SA is the first step in the referral process.

Administration and Scoring: There are no specific qualifications for administration but should be preceded by discussion on purpose and confidentiality. A score of 4 and above warrants a referral for full assessment.

Note – There are two versions: The DOC uses the interview version.

Montreal Cognitive Assessment (MoCA)

MoCA is a rapid screening instrument for mild cognitive dysfunction. It is a one-page thirty-point test administered in approximately ten minutes. The test and administration instructions are freely accessible for clinicians at www.mocatest.org. The test is available in thirty-five languages or dialects. There are three alternate forms in English, designed for use in longitudinal settings.

Administration and scoring: The test may be administered by anyone who understands and follows the instructions, but only a health professional with expertise in the cognitive field may interpret the results.

The MoCA assesses several cognitive domains. The short-term memory recall task (five points) involves two learning trials of five nouns and delayed recall after approximately five minutes. Visuospatial abilities are assessed using a clock-drawing task (three points) and a three-dimensional cube copy (1 point). Multiple aspects of executive functions are assessed using an alternation task adapted from the trail-making B task (one point), a phonemic fluency task (one point), and a two-item verbal abstraction task (two points). Attention, concentration and working

memory are evaluated using a sustained attention task (target detection using tapping; one point), a serial subtraction task (3 points), and digits forward and backward (one point each). Language is assessed using a three-item confrontation naming task with low-familiarity animals (lion, camel, rhinoceros; 3 points), repetition of two syntactically complex sentences (two points), and the aforementioned fluency task. Finally, orientation to time and place is evaluated (six points).

Conditions for which the MoCA has been found useful: Several neurological and systemic diseases are accompanied by cognitive impairment. The MoCA has been found to be useful to detect mild cognitive impairment in many conditions including Alzheimer’s disease, Vascular Cognitive Impairment, Parkinson’s disease, Lewy Body, Fronto-temporal dementia, Multiple Sclerosis, Huntington disease, Brain Tumors, ALS, Sleep Apnea, Heart Failure, Substance abuse, Schizophrenia, HIV, and Head Trauma.

Academic and Workforce Readiness Assessments

Comprehensive Adult Student Assessment Systems (CASAS) Math and Reading Assessments

CASAS is the most widely used system for assessing adult basic reading, math, listening, writing, and speaking skills throughout the United States.

Administration and Scoring: Training is required to administer, score, and to purchase materials through the CASAS official professional development program (on-line www.casas.org). CASAS measures essential life and work skills for youth and adults, while meeting the National Reporting System (NRS) Accountability Requirements. The National Reporting System for Adult Education (NRS) is an outcome-based reporting system for state-administered, federally-funded adult education programs. A system designed to demonstrate program effectiveness and improve student outcomes, the NRS provides a means of regular evaluation for adult education nationwide — for states, programs, teachers, and students.

CASAS meets all of the Workforce Investment Act (WIA) requirements for youth and adult programs, and meets the Department of Labor’s requirements for determining basic skills deficiency and measuring literacy and numeracy gains under Common Measures.

Strategic Instruction Model (SIM) Writing Strategies

SIM assesses writing skills for remedial instruction.

Administration and scoring: Administration of the assessment requires successful completion of a training program with a certified SIM instructor.

Writing assessments are completed before and after instruction in the SIM Writing Strategies Program which was designed by the University of Kansas. The assessment measures proficiencies in sentence and paragraph writing. In studies, students who have learned Sentence Writing Strategies consistently produce written products that contain 100 percent complete sentences and at least 40 percent complicated sentences. Their written products include more words, more sentences, and a greater variety of sentences than those of low-achieving students who have not learned the strategy. www.kucrl.org/sim/strategies.shtml

Woodcock Johnson III, IV: Tests of Cognitive Abilities (WJ III, IV COG) and Tests of Achievement (WJ III, IV ACH)

The WJ III, IV is a wide-age range, comprehensive system for measuring general intellectual ability, specific cognitive abilities, oral language, and academic achievement. Performance scores help identify challenges and strengths, while providing information that can be utilized to develop strategies and accommodations for living, learning, and working goals.

Administration and scoring: Graduate-level training in cognitive ability assessment and a background in diagnostic decision making are requisite to administer and score this instrument. The WJ-III, IV tests are used for many reasons, including planning educational and individual programs, diagnosing learning disabilities, research, and growth assessment. The test has been found to be especially helpful in the identification and documentation of discrepancies between one's ability and achievement level. www.riverpub.com/products/wjIIIComplete

JSAI, BESI, CDM

These are workforce readiness assessments. There are no special qualifications to purchase or administer these products, since interpretation of the results is explained after each test.

Job Search Attitude Inventory (JSAI)

The JSAI is a brief, thirty-two-item inventory designed to make job seekers more aware of their self-directed and other-directed attitudes about their search for employment. It compares the inventory takers' attitudes about the job search process with those of professional counselors trained in teaching job search techniques. Responses to each of the attitude statements are made directly on the JSAI booklet. The JSAI is designed to be self-scored and self-interpreted. Statements represent five scales of self-directed job search attitudes. Step-by-step scoring instructions, a scoring profile, and information to interpret the profile results are included, as well as resources for more information and suggestions for improving one's job search attitude and approach. <http://jist.emcp.com>

Barriers to Employment Success Inventory (BESI)

It is an assessment that helps individuals identify problem areas that may be preventing them from getting and succeeding at a job. This simple tool also encourages takers to consider suggestions and develop a plan of action for overcoming their barriers. <http://jist.emcp.com>

Career Decision Making (CDM)

The CDM combines an assessment of interests, work values, subject matter preferences, and self-estimates of abilities with biennial updates of career information. It has had a number of revisions, the most recent in 2000, to keep the instrument as current as possible with a rapidly changing world of work. The paper-and-pencil CDM-R has two levels, one with a fourth-grade reading level designed to assess the vocational interests of the young, typically those in middle school and the more challenged readers of all ages. The other level, with a seventh-grade reading level, is more appropriate for more developed persons of all ages. Administration time varies from about thirty to forty-five minutes. In addition, the CDM-R has software so that students can complete the inventory on a computer and receive an interpretive report about occupations matching their interests, values, and abilities. www.pearsonclinical.com

Work Force Readiness Assessment

This was created by CHSVT to assess and prepare offenders for engagement in the Workforce Readiness Program. CHSVT created the assessment as a school over the past couple of years. The template was adapted from Wisconsin corrections education; CHSVT changed the assessment rating to match the school's portfolio assessment. The Career Practices are from the Common Core Technical standards and the Habits of Mind.

Portfolio Assessment

This is an offender/student designed collection of artifacts that demonstrate proficiency in required Common Core Standards for a high school diploma and individualized Living, Learning, and Working Plans. The portfolio includes artifacts that demonstrate the readiness to go into a career, take on the role of active citizenship, and continuation of learning after graduation. Demonstration of how the standards are met and reflections of living, learning, and working in the community are rigorously assessed through the faculty at CHSVT and panels of educators and other professionals at the presentation of the portfolio.

Case Staffing Determination Process

Case staffing determination is a process to assess an offender's case on an individual basis. The process is designed to review information and make decisions that are outside normal policy for a case. The case staffing determination process shall be used in circumstances outlined in the Case Staffing Determination Triggers Section.

Staff requesting guidance about cases that do not require the case staffing determination process should contact the appropriate central office representative. Questions and guidance do not need to be submitted through the case staffing determination process.

Types of Case Staffing Determinations

There are three types of staffing determinations as outlined below:

1. **Local Determinations:** Determines if significant violation occurred that needs to be referred to a director/central office staffing or if the offender can be managed with a community sanction.
2. **Central Office Director Staffing:** Determines an override of practice that requires a specific director approval or the outcome of a significant violation.
3. **Central Office Case Staffing Determination:** Determines the outcome or other circumstance by case review from the Central Office Case Staffing Determination Committee.

A significant violation is defined as:

1. An arrest or citation for a new felony or listed offense;
2. Offender's behavior directly threatens or harms an identifiable person/individual;
3. Evidence of behavior(s) that pose a direct risk to public safety;
4. When an offender is arrested on a Commissioner Warrant for absconding;
5. A documented pattern of risk related behavior where previous interventions have failed to mitigate the risk; or
6. A pattern or history of behavior that continues after the exhaustion of lower-level sanctions have failed to gain offender compliance.

General Information on Case Staffing

1. The Central Case Staffing Determination Committee will meet once weekly to review cases.
2. Staff shall email AHS.DOCCaseStaffing@vermont.gov seven days prior to schedule the meeting.
3. All documentation for a central level case staffing determination shall be completed and uploaded to OMS seven days prior to the scheduled meeting.
4. All staffing paperwork for a significant violation must be submitted 3 days after either:
 - a. the NOS hearing; or

- b. if the offender appeals, after the DM replies to the appeal.
5. The author of the report is expected to attend the case the case staffing determination meeting.
6. Both Field and Facility staff should be prepared to discuss the case in depth and provide necessary information to inform the determination.
7. All information contained in OMS about a case must be up to date and accurate. This includes the offender's case plan; risk assessments; and all other documents required related to the need for the case staffing determination.
8. In cases where the Field and Facility staff have differing opinions related to an offender, the staff member requesting the case staffing determination shall be responsible for completion of the case staffing form.
9. All staffing forms shall be reviewed and approved by a supervisor before submission and may be returned if incomplete or incorrect.
10. Central Office staff will document the decision in the case staffing form at the time of the staffing meeting.
11. Staffing reviews/updates do not require a new case staffing form. The previous form should be updated denoting, by date, what information was updated.
12. All case staffing forms require a recommendation from the assigned PPO and CSS.

Case Staffing Trigger Descriptions

1. Furlough and Parole status requests of an interrupt for a significant violation
The local staffing must determine if the behavior meets the criteria for a significant violation and documentation shall occur within seven business days of the offender's return. All requests to interrupt or revoke parole and furlough for a significant violation shall be sent to the Central Office Case Staffing Determination Committee.
2. Transitional Housing
There is a desire to release an offender only to transitional housing.
3. Request to Refute Presumptive Parole
When staff have clear and convincing evidence that an inmate's release would result in a detriment to the community, or that the inmate is not willing and capable of fulfilling the obligations of parole.
4. Risk Intervention Services – Risk Score or Offense Criteria
When staff determines there is justification to designate the offender differently than what is typically identified concerning program participation requirements.
5. Risk Intervention Services – Minimum Sentence Requirement
When staff determine that an inmate is eligible for programming based on the assessed risk score and offense criteria but the minimum sentence for programming is not adequate.
6. Classification, Housing and Custody
The case staffing determination process shall be used whenever an offender is being recommended for custody classification overrides, or any other custody or designation

decision. The process shall be used whenever staff determines that there is justification to classify the offender differently than what is typically identified in the classification guidelines. 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.

7. Sex Offender Release and Parole Recommendation Decisions

The case staffing determination process shall be used whenever a sex offender is being recommended for release into the community on community supervision furlough, presumptive parole, or recommendation for parole.

8. Level “C” Designation Decisions and Reviews

The case staffing determination process shall be utilized to make Level “C” Designation decisions. These are cases that begin when an incarcerated offender has been convicted of one 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. Cases designated as Level C will require a case staffing determination review every two years.

9. Release Sensitive Notification Decisions (RSN)

The case staffing determination process shall be utilized for identification of release sensitive notification cases. The purpose of this determination is to ensure quality assurance in the communication for cases when release to the community is sensitive to the victims, community members, law enforcement personnel, and/or news media.

10. Community Notification Plan

The case staffing determination process shall be utilized for identification of community notification for high-risk offenders. The purpose of this determination is to ensure quality assurance in the communication for cases when release to the community is sensitive to the victims, community members, law enforcement personnel, and/or news media.

11. Delayed Release

When a person does not meet the criteria for release on community supervision furlough for public safety concerns.

12. Release to another County and not County of origin

When DOC wants to restrict the release location for public safety concerns.

13. 2 -year and 4- year sanction dates

When an offender reaches the end of a two or a four-year sanction as a result of a previous case staffing determination process.

Appendix

Management and Administrative Codes/Projected Release Codes

Administrative Code – this code identifies individual characteristics about an inmate’s case that inform PPO/CSS staff’s case planning and case management efforts. This code additionally identifies barriers or circumstances which prevent the inmate from being released at their minimum.

Projected Release Code – this code identifies the default status which the offender will be released under. This code is associated with what is known about the case at this time, effectively, if nothing changes how would the offender leave the facility.

1. Insert the Management Program Level for the offender (*i.e., Level A, Level B, Level C*)
2. Insert the Administrative Code, Administrative Date, Projected Release Code, and Projected Release Date based on the table below:

Administrative Code:	Administrative Date:	Projected Release Code:	Projected Release Date:	Explanation:
No Programming	Minimum Release Date	Community Supervision Furlough	Minimum Release Date OR Anticipated Release Date	Offender is being released on Community Supervision Furlough and is not required to complete any mandated programming.
Programming	Date Programming expected to complete	Community Supervision Furlough	Minimum Release Date OR Anticipated Release Date-	Offender attending programming
Program Termination	The date the person was terminated from programming; inmate shall be asked every 6 months regarding reapplication	Max Release	Maximum Release Date	Offender has been terminated from programming.
Program Referral	Date when referral was completed by the CSS to the RIS program. The referral shall be completed within 30 days of intake	Community Supervision Furlough	Minimum Release Date OR Anticipated Release Date	Offender is required to complete RIS prior to release and the CSS has made a referral to a program.

Administrative Code:	Administrative Date:	Projected Release Code:	Projected Release Date:	Explanation:
Program Start	Date offender starts programming	Community Supervision Furlough	Minimum Release or Anticipated Release Date	Dates identify when an offender is starting programming and anticipated to complete programming.
Lack of Housing	Date the offender was determined to be release eligible but does not have an approved residence.	Max Release	Maximum Release Date	Offender requires approved housing and lacks an approved residence
Refusing Furlough	The date the person refused furlough; inmate shall be asked every 6 months after furlough eligibility date, which will be changed after each refusal.	Max Release	Maximum Release Date	This code is for inmates who are refusing to participate in furlough.
Staffed pending New Charges	Date of the staffing	Max Release	Maximum Release Date of the offender's current sentence.	Offender is currently pending new charges and ordered held pending resolution of new charges either through local or director case staffing process.
Refusing Mandated Services	Date the most recent refusal to participate in programming; inmate shall be asked every 6 months regarding reapplication	Max Release	Maximum Release Date	This code date shall be updated after every review where the inmate refuses programming.
NOS/Staff	Date returned to Jail for NOS or date staff determined a case staffing was needed	Max Release	Maximum Release Date	Offender has been returned from field or staff has determined a central case staffing is needed to determine programming or release decisions.

Administrative Code:	Administrative Date:	Projected Release Code:	Projected Release Date:	Explanation:
Hold	Date hold placed on them from another jurisdiction.	Max Release	Maximum Release Date	This code is to be used when a Hold is placed from another jurisdiction and the offender is not eligible to be released without further action as explained in the hold tab.
Level C	Date level C was approved at Central Staffing.	Max Release	Date of next staffing	Offender has been determined by case staffing to meet Level C criteria, review date will be at the minimum release date and every two years afterward.
Life	1/1/3000	Max Release	1/1/3000	Offender is serving a life without parole sentence and shall not be released from incarceration.
Parole Granted	Date parole was approved	Parole	Anticipated release date on parole.	Offender has been granted parole directly from the facility.
Split Sentence	Maximum Release Date	Probation Release	Maximum Release Date	Offender is serving a split sentence and shall be released to Probation Supervision.
Staffed to Max Release	Date associated with the central staffing	Max Release	Max Release Date	Offender has been approved through the case staffing process to complete their sentence incarcerated.
Staffed to Furlough Ineligible	Date associated with the staffing.	Max Release	Max Release Date	It is determined through the central staffing process that the offender is ineligible for furlough.
1 Year Review	Date associated with the central staffing.	Community Supervision Furlough	Date of next staffing	Offender is determined through the central staffing process that they are not furlough eligible.

Administrative Code:	Administrative Date:	Projected Release Code:	Projected Release Date:	Explanation:
Staffed to Furlough Interrupt – 90 Days	Date associated with the central or local staffing when it was determined that the offender would have a furlough interrupt.	Community Supervision Furlough	90 Days from Return	Offender is determined through the central staffing process that the offender shall have a furlough interrupt of 90 days.
Staffed to Furlough Interrupt – 180 Days	Date associated with the central staffing when it was determined that the offender would have a furlough interrupt.	Community Supervision Furlough	180 Days from Return	Offender is determined through the central staffing process that the offender shall have a furlough interrupt of 180 days.
Staffed to Furlough Interrupt – 1 Year	Date associated with the central staffing when it was determined that the offender would have a furlough interrupt.	Community Supervision Furlough	1 Year from Return	Offender is determined through the central staffing process that the offender shall have a furlough interrupt of 1 Year.
Staffed to Furlough Interrupt – 2 Year	Date associated with the central staffing when it was determined that the offender would have a furlough interrupt.	Community Supervision Furlough	2 Years from Return	Offender is determined through the central staffing process that the offender shall have a furlough interrupt of 2 Years.
Staffed to Furlough Interrupt – 4 Year	Date associated with the central staffing when it was determined that the offender would have a furlough interrupt.	Community Supervision Furlough	4 Years from Return	Offender is determined through the central staffing process that the offender shall have a furlough interrupt of 4 Years.