

Sixth District Department of Correctional Services POLICY		Issue Date 02/06/15	Effective Date 10/20/21	Policy Number 100-21
Subject CASE MANAGEMENT			Review Month September	Author 0600 (DKO)
Rescinds 100-19	References: Statewide Assessment, Case management and Supervision Standards rev. June 2019; Sex Offender Policies - 900; 902; 903; 916; Confidential Offender Information Policy 102; 102A			

POLICY:

An assessment and case management system is developed to ensure offender risk and criminogenic needs are identified and addressed in an effort to lower risk and reduce victimization. This system is intended to focus the majority of resources on moderate and high risk offenders and include the following elements: on-going risk and need assessment, responsivity, case planning, case plan follow-up and documentation, transfer of records, staff training, and quality assurance. Use of the DRAOR assessment and case plan does not apply to sex offenders except for those designated by the unit supervisor.

DEFINITION

1. Dynamic Risk Assessment for Offender Reentry (DRAOR) CBC – Structured assessment of dynamic risk, responsivity, and protective factors. This assessment is used to identify treatment goals, as well as drive case management strategies to manage and reduce risk.
2. Jesness Inventory - A personality and responsivity inventory that measures eleven (11) personality scales and nine subtypes. This instrument elicits information that assists in providing the most effective way to respond to offenders on an individual basis.
3. Risk, Needs, and Responsivity (RNR) Principle - Risk assessments form the basis of case management. Risk assessment information dictates the degree of intervention based upon assessed level of risk to reoffend. (Criminogenic) Needs describe the factors that have been demonstrated through research to be associated with and predictive of future criminal behavior. Identification of the specific needs of individual offenders and those needs successfully addressed shall decrease the probability of future crime. Responsivity is the need for individualization and is a key component to determining the best way to approach supervision and programming for offenders. Case management strategies are to be developed with sensitivity to the responsivity principle.
4. Case Management Strategies - Engagement of the offender in the treatment process to include assessing the offender’s needs and protective factors, developing a case plan linking the offender with appropriate services, monitoring and advocating for the offender when needed, providing reinforcement and practice of skills and intervening with the least restrictive sanctions when necessary.

DEFINTION: (continued)

5. Structured Contacts – Offenders on Level 3, 4 and 5 meet individually with their supervising officer as outlined in Table 1 Statewide Supervision Standards (100B). A minimum of thirty (30) minutes is devoted to a face-to-face meeting with a focus on risk reduction strategies utilizing core correctional practices to target the offender’s dynamic risk and protective factors. Officers develop and demonstrate progress on individualized case management strategies. Collateral contacts are for the purpose of building and verifying protective factors, identifying or verifying needs, verifying the offender is receiving an appropriate dosage of individualized or group interventions, and to overall help inform the case manager on case management strategies.
6. Monitoring Contacts - Offenders on Level 1 and 2 meet briefly with their supervising officer as outlined in Table 1 Statewide Supervision Standards (100B). A maximum of fifteen (15) minutes is devoted to a face-to-face or virtual meeting for the purpose of reviewing progress, monitoring court ordered conditions and assessing compliance with supervision.
7. Monitoring Contacts for Offender on Level 0 - Complete appropriate paperwork/ documentation, make appropriate referrals as needed, verify court ordered obligations and schedule monitoring appointments only as needed.

PROCEDURE:

1. Initial Assessments are completed as follows:
 - A. The Iowa Risk Assessment Revised is completed within twenty (20) business days of case assignment for all residential probation, work release, and OWI offenders, thirty (30) days from release for parole, thirty (30) days from case assignment for probation, and thirty (30) days from date of sign up for ICOTS cases unless-assigned to Level 0 supervision. This assessment is used to determine the initial level of supervision.
 - B. A Jesness responsivity assessment is completed on all probation, parole, work release, and OWI offenders supervised Level 3 or above or above within sixty (60) days of case assignment unless one has been completed within four (4) years from the beginning of the current supervision. Jesness results are entered into ICON. Staff’s approach with the offender is guided by the information gained from the Jesness.
 - C. A Dynamic Risk Assessment for Offender Re-entry (DRAOR) is completed in ICON under Offender – Case Management – CBC DRAOR Case Plans on all probation, parole, work release, ICOTS and OWI offenders under field supervision supervised at Level 3 or above no later than twenty (20) working days from date of residential bed assignment for residential, ninety (90) days from release for parole, ninety (90) days from date of sign up for ICOTS cases and ninety (90) days from sentencing for field offenders. These requirements do not apply to offenders with a sex offender program modifier. An approved DRAOR interview guide is used for initial DRAOR assessments. Monthly reassessments do not require use of the interview guide. The Stable Risk, Acute Risk, Protective Factor and Supplemental Needs Action Plans are updated as needed each time a DRAOR is done. Stable Risk, Acute Risk, Protective Factor and Supplemental Needs Internal Notes are provided as needed that would allow an auditor or another supervising agent to be able to verify the rationale for the scoring decisions.

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PROCEDURE: (continued)

- D. Other assessments may be used to assess specific needs or with specific populations, including but not limited to sexual offenders, domestic violence, mental health and substance abuse.
2. Case Plans are completed as follows:
- A. Case management strategies are completed in ICON on all probation offenders supervised at Level 3 or above within ninety (90) days of sentencing, ninety (90) days from release for parole, and ninety 90 days from sign up for ICOTS cases. The DRAOR case plan is completed with offenders in residential facilities within twenty (20) working days from residential bed assignment. The case plan addresses the criminogenic needs and builds upon protective factors as identified in the DRAOR Assessment. The action plans identify how the offender plans to address the needs. The case manager uses SMART (Specific, Measureable, Attainable, Realistic, Time-Framed) action steps to achieve risk reduction. The case manager supports the action plan and verifies the offender's progress. The action plan is a collaborative effort between the offender and case manager.
 - B. Offenders on Level 3 or above are referred to appropriate interventions based in identified criminogenic needs. Case management strategies are reviewed and action steps updated and documented at each structured appointment.
 - C. The offender's readiness to change is also considered when developing the DRAOR Case Plan. An offender's stage of readiness influences the pace at which case work proceeds. The case plan appropriately reflects the stage of change.
 - D. New case assignments with less than one-hundred twenty (120) days remaining on supervision do not require a DRAOR or formal caseplanning. Case managers continue to make need-based referrals and engage in skillbulding during structured contacts to aid in the re-entry process.
3. On-going Case Management:
- A. Case Managers update the DRAOR and Case Plan at least monthly if the level of supervision is Level 3 or above. Case managers utilize the DRAOR to drive the case management strategies with the offender at each structured appointment and document progress in ICON. This includes the priorities, needs and protective factors identified by the DRAOR as well as the core correctional practices (CCPs) used. If at any time the DRAOR score reduces the level of supervision below Level 3 a case plan is no longer required.

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PROCEDURE: (continued)

- B. For cases on Level 1 or 2, a DRAOR is completed at any time the case manager observes any of the following significant events to determine whether the level of supervision increases to Level 3 or above and a Case Plan is needed: pending charges/reports of violation; unaddressed violations or new arrests; lack of stable residence/loss of residence; non compliance with treatment recommendations; relapse or having unmet treatment needs; mental illness.
- 1) Offenders who score below Level 3 may be staffed with the Supervisor for a level change or override after considering the following factors:
 - a. Pending charges/Report of Violation;
 - b. Unaddressed violations or new arrests;
 - c. Lack/loss of stable residence;
 - d. Non compliance with treatment recommendations;
 - e. Mental illness;
 - f. Relapse;
 - g. Unmet treatment needs.
 - 2) Any parolee coming directly from the institution scoring less than Level 3 on the initial Iowa Risk Revised is reviewed with the Supervisor for possible override. Overrides require supervisory approval.
 - 3) If an Iowa Risk Revised or DRAOR has not been done within the past twelve (12) months and the offender is on Level 2 or below, the most recent assessment is updated to determine if the current status of Level 2 or below remains appropriate. For example, if the most recent assessment completed on the offender is the DRAOR, then the supervising agent updates the DRAOR as the annual assessment.
 - 4) Offenders on caseloads designated as High Volume Caseloads are subject to event-driven re-assessment only. Offenders on Self-Supervised Probation (SSP) caseloads do not require an Iowa Risk Revised every twelve (12) months.
- C. The Stable Risk, Acute Risk and Protective Factor Action Plans are updated each time a DRAOR is done and include progress, changes, and problems in the areas being addressed.

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PROCEDURE: (continued)

- D. Assessments are updated prior to:
 - a. Submitting a report of violation;
 - b. Moving an offender's placement on the supervision continuum.
- E. The DRAOR Total Score is used to increase or decrease supervision from the level of supervision identified by the Iowa Risk-Revised as follows:
 - a. High scores (10-23) move up a level.
 - b. Low scores (0-2) move down a level.
 - c. An override is available, and can be used as needed, but requires supervisory approval.
 - d. Offenders are supervised according to approved Contact Standards (100B).
- F. All assessment overrides are approved and submitted in ICON by a supervisor.
- G. Training and Quality Assurance: (see 6th District Policy Continuous Quality Improvement Process [0117] for additional information).

Staff whose job duties include case management are trained and demonstrate proficiency in the required assessments. The Department complies with the proficiency and continuous quality improvement standards as approved by the District Directors.

- 1) Iowa Risk-Revised training is provided by trained trainers using the curriculum developed by the Department of Corrections. Each participant has either a copy of, or access to, the Iowa Risk Revised Manual.
- 2) Jesness training is provided to case management and residential staff that includes how to use the information from the Jesness.
- 3) DRAOR training is provided by certified trainers to all staff who supervise clients on Levels 3, 4 or 5 as well as staff who conduct Presentence Investigations.
- 4) All supervising agents who supervise offenders at Level 3 or above complete case management training by an approved case management trainer.
- 5) Staff who conduct assessments or case management as part of their duties shall demonstrate ongoing proficiency which is monitored and measured by continuous quality improvement methods. Staff are provided ongoing training, booster sessions, updates and any other information or materials that become available.

PROCEDURE: (continued)

H. Transfer of Cases:

The sending district staff ensures that an Iowa Risk Revised is completed prior to initiating the intra-state transfer. For offenders that are not on new case status (or at the onset of supervision), the sending district also ensures the following is entered into ICON:

- 1) DRAOR assessment and case plans, if applicable;
- 2) A completed Jesness Inventory within the last 4 years, if applicable;
- 3) Relevant assessment, treatment and/or progress information, if applicable;
- 4) Supporting information used in the assessment, such as high-risk behavior, crisis events, or gains in protective factors (such as positive community involvement, employment, social supports, etc.)

BY ORDER OF:

Bruce Vander Sanden, District Director