



Department of Corrections

INTERNAL MANAGEMENT POLICY & PROCEDURE

Applicability: ☐ Adult Operation Only ☐ JUVENILE Operations Only ☒ DEPARTMENT-WIDE

IMPP #: 14-113A

Parole Services: Case Plans and Case Plan Goals

PAGE #: 1 of 6

Original Date Issued: 06-03-15 Replaces IMPP Issued: 06-03-15 CURRENT EFFECTIVE DATE: 05-13-25

Approved By:  , Secretary **Next Scheduled Review: 06/2028**

POLICY

Case Plans shall be developed for offenders to identify efforts needed to reduce criminogenic risk or need area(s), increase stability and reinforce or strengthen prosocial factors. A range of incentives and motivational strategies shall be used to encourage and recognize progress toward case plan goals.

DEFINITIONS

Athena: A KDOC computer system designed for the documentation of offender case and case management information.

Case Management: A comprehensive approach to the post-conviction supervision of offenders to reduce risk and support reintegration by assessment, development, and implementation of programs and interventions.

Case Plan: An area in Athena that includes information about an offender's risk assessment scores, strengths, risks, goals and action steps and programs or services needed. The content in the case plan should inform and guide case management needs and supervision strategies utilized.

Case Plan Goals: Goals and action steps are a specific part of case plan which shall be developed collaboratively by the offender and parole officer to help guide efforts to reduce criminogenic risks and increase protective factors.

Cognitive Behavioral Intervention (CBI): Methods and tools used by staff that allow offenders to evaluate their thoughts, the impact they have on behavior, and changes that may be needed. The interventions focus on encouraging and reinforcing prosocial behaviors and reducing behavior that may contribute to re-offense. Cognitive behavioral interventions include but are not limited to EPICS tools and Carey Guides.

Criminogenic Need: Dynamic factors or circumstances, identified through research and actuarial risk assessments, that when changed, are associated with changes in the probability that an offender will engage in criminal behavior.

Criminogenic Risk: Factors or circumstances, identified through research and actuarial risk assessments, that when changed, are associated with changes in the probability that an offender will engage in criminal behavior. They include but are not limited to a pro-criminal attitude, criminal history, education/employment and substance abuse.

Driver: The criminogenic risk or need area that is identified as the greatest influence on the likelihood of an offender reoffending or engaging in criminal behavior.

EPICS: An acronym for Effective Practices in a Correctional Settings, which includes a set of verbal and written tools for use by parole staff in their work with offenders.

Level of Service/Case Management Inventory (LS/CMI): A risk and need assessment that includes 43 items plus case management and responsivity factors that can be used to develop a case management plan.

Risk Reduction Plan: A view in the Athena case plan where the goals, action steps and progress notes are provided in a concise view, and a document containing the information can be generated and printed.

Women's Risk and Need Assessment (WRNA): A gender-specific risk and need assessment developed for use with females.

PROCEDURES

I. Case Plan Goal Requirements

- A. Case Plan goals shall be developed and used throughout the supervision period to guide efforts to reduce criminogenic risks, increase protective factors and encourage success for offenders.
- B. The contacts made by the Parole Officer, with the offender pursuant to IMPP 14-117A shall be driven by the needs of the case plan, both in type of contact and the content.
 - 1. The parole officer shall be familiar with the contents of the case plan prior to any scheduled contact with the offenders so that progress toward goals can be discussed.
- C. Parole Officers shall develop or update case plan goals and action steps for offenders who are on the moderate or high supervision levels. The initial goal and action step(s) must be completed as soon as possible, and no later than 45 days from the offender's release to the community or acceptance for supervision in Kansas via the interstate compact.
 - 1. The goals and action steps must be entered in the designated location and format in Athena.
- D. If goals and action steps exist in Athena from a previous term of supervision, they should be reviewed to determine current applicability and updated or closed as needed.
- E. Case plan goals and action steps are not required in Athena for offenders who are on the low and low moderate supervision levels. Instead, a discussion regarding the offender's strengths and risk areas should occur within 45 days of release, to include the following:
 - 1. The criminogenic risk and need areas, protective factors and strengths, including information from the most recent risk assessment, risk screener and other available information.
 - 2. Steps to be taken to manage or reduce criminogenic risks, and to maintain and/or increase protective factors.
 - 3. The information discussed shall be documented in contact notes.
- F. If an offender is transferred from a low supervision level to to the moderate or high level (via re-assessment or override, per IMPP 14-111A), case plan goal(s) should be created or updated within 30 days of the change in supervision level.
- G. A multi-disciplinary team approach shall be used to develop and monitor the case plan goals for offenders whose supervision and/or case management is shared between parole, reentry program, and/or contract providers. The PO shall ensure that documentation of efforts and progress is maintained.
- H. Development of case plan goals for those on concurrent supervision shall be the responsibility of the primary supervision agency.

- I. Parole supervisors may authorize an exception to the requirement for case plan goals in the circumstances provided below. When exceptions are authorized they shall be documented in a contact note.
 1. The offender is a resident of the SVP treatment program, a state hospital providing behavioral health services or confined to a jail/correctional facility for more than 30 days.
 2. The offender has a medical, physical or mental condition that severely limits their ability to participate in the process.

II. Identifying Topics for Case Plan Goals

- A. Goals and action steps should focus on action or behavior that will reduce risk in the identified areas or reinforce or strengthen prosocial factors. Goals shall be specific and identify the change in circumstance, situation, or behavior that will reflect that the goal is met. Action steps must be well defined and measurable.
- B. Decision making about risk and need areas to be used in a case plan goal should include the following:
 1. Focus should be on the identified Driver, or High scoring areas from the most recent Risk Screener, LS/CMI or WRNA assessment.
 - a. Give priority to the criminogenic areas that have a strong correlation with criminal behavior: anti-social cognition, antisocial personality, anti-social associates and family/marital relationships.
 2. Consider the need to prioritize immediate stability needs such as housing, food, mental health or physical health.
 3. Consider the availability of resources needed, the offender's current circumstances, responsivity issues, barriers or other factors.
 4. A specific condition of supervision shall not be used as a goal or action step unless requested by the offender and it is related to a criminogenic risk/need area that needs to be addressed.
 5. Should an area that is not related to the Driver or a high scoring area from a risk assessment need to be selected as a target, there must be documented, objective evidence to support the selection. The evidence and rationale for the selection should be documented in the contact notes.

III. Development of Goals and Action Steps

- A. Goals and action steps shall be developed collaboratively, with input from the offender and the Parole Officer. Parole Officers shall encourage offenders to actively participate in the development of case plan goals, and provide them with necessary information through the following steps:
 1. Provide an overview of the most recent risk assessment's results, including the overall risk level and domains or key life areas that were identified as risks, needs or protective factors.
 2. Work with the offender to identify their Driver and areas that should be addressed. Methods used to determine the Driver must include one of more of the following:
 - a. Carey Guide Driver Workbook;

- b. The Behavior Analysis or other relevant Cognitive Behavioral Intervention tool/process;
 - c. Discussion regarding the assessed risks and current areas of need.
- B. Goals and action steps should be written from the offender's perspective, using language that reflects their style and level of understanding.

IV. Case Plan Goals/Risk Reduction Plan

- A. The Case Plan Goals Risk Reduction Plan (Attachment A) shall be generated from Athena and a copy given to the offender when goals and action steps are developed. Electronic copies may be provided if necessary or requested by the offender.
 - 1. Signatures are not required on the document.
 - 2. An updated Risk Reduction Plan document shall be provided to the offender when significant changes or updates are made to existing goals or action steps.

V. Monitoring Progress and Responding to Behavior

- A. Case plan goals and action steps shall be reviewed regularly with offenders involved to ensure that progress is being made and identify adjustments that may be needed.
 - 1. For those on the moderate or high supervision levels, a review/discussion shall occur with the offender no less than once per month.
- B. For offenders on the low and low moderate supervision levels, discussion about goals or risks and needs should occur periodically as personal contacts occur. The discussion should assess progress, identify any new needs and encourage focus on areas that require ongoing effort.
 - 1. For offenders who have case plan goals in Athena, carried over from time on a higher supervision level, the goals should be the focus of the discussion.
 - 2. For offenders who do not have case plan goals in Athena, the risks, needs, strengths and protective factors discussed at the onset of supervision should be the focus of the discussion.
- C. Progress toward the goals, or risk and need areas as discussed above, shall be tracked, discussed and recorded.
 - 1. Significant progress, changes to a goal or action step, and the closing of goals or action steps must be documented within the case plan goal/action step in Athena.
 - a. Termination information shall be entered in Athena for goals and action steps when they are completed successfully or closed for other reasons.
 - 2. Documentation of discussions about general case plan progress may be made in the progress note section of the case plan goal, or in contact notes.
- D. New goals and/or action steps should be added as needed, or at any time, as other steps are completed or closed.
 - 1. Case plan goals shall be reviewed after each LS/CMI or WRNA reassessment to ensure that the previously selected domains and any active goal/action steps are consistent with current risk/need areas and the offender's circumstances.
- E. Parole Officers and Case Managers should use motivational interviewing and other methods to encourage and motivate offenders to work toward personal goals and risk reduction activities.

1. If progress is not being made on a given goal, the parole officer shall discuss what is causing the lack of progress with the offender, diagnose the situation, staff it with a parole supervisor when necessary, and identify new strategies to attempt to recommence progress and address how to remove barriers to progress.
2. Goals and action steps included in a case plan are designed to help guide the offenders toward successful community interaction and are not release conditions. Therefore, a lack of effort or progress toward completion of a personal goal is not a violation of release conditions. It may, however, be considered when evaluating the overall compliance and cooperation of an offender during a period of supervision.
3. Parole officers shall use positive reinforcement, rewards and incentives to provide recognition and encouragement for efforts made toward goals or action steps.
 - a. If a significant goal is reached, the parole officer shall identify a means of acknowledging and rewarding the accomplishment, such as through a letter of recognition for an achievement, input from the supervisor, relaxing restrictions, verbal acknowledgement, or otherwise, and shall record this activity in the contact notes.

VI. Resource Development

- A. Parole staff are encouraged to work together by units or offices, to identify a range of other appropriate recognition strategies to augment the system of encouragement and rewards. Creative brainstorming, surveys, or other means should be used to make available a comprehensive range of affordable and effective recognition strategies to reinforce and reward desirable behavior and the accomplishment of tasks and goals under the case plan.
- B. Each parole office shall periodically review the resources available within the community to address the assessed and targeted criminogenic risk/needs of the offenders under supervision by that office.
 1. Parole officers, supervisors and program providers shall be involved in the identification of resources needed, determining the availability of those resources, and what is needed to enable parole staff to access resources.
 2. Resource needs and development shall be guided by information tracked and reported regarding subscale/dimension scores on the completed risk assessments, which reflect criminogenic risk/need.
- C. If resources are needed but not available, the Parole Supervisor(s) shall take steps to develop resource(s) or increase access for offenders. The steps shall include but are not limited to:
 1. Working with parole directors, programs staff and/or reentry staff to increase services that are provided by KDOC.
 2. Encouraging and allowing parole staff to provide groups or services for offenders on relevant topics, such as budgeting or leisure and recreation.
 3. Consider the option of parole officers or volunteers receiving training in the delivery of services, such as cognitive training, life skills, employment preparedness, and working in teams to deliver these services to offenders.

4. Working within community to identify stakeholders, service providers or potential service providers to encourage and assist with the development of needed resources.

VII. This IMPP must serve as final policy in all departmental facilities, and no General Orders shall be developed or implemented on this subject.

NOTE: The policy and procedures set forth herein are intended to establish directives and guidelines for staff, residents, and residents and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees, residents, or residents, or an independent duty owed by the Department of Corrections to employees, residents, residents, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure is not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

REPORTS

None.

REFERENCES

IMPP 14-111A, 14-117A

HISTORY

06-03-15 Original
05-13-25 Revision 1

ATTACHMENTS

Attachment	Title of Attachment	Page Total
A	Case Plan Goals - Risk Reduction Plan	1 page

Case Plan Goals - Risk Reduction Plan

Name: _____

Domain Type:	
Goal:	
Start date:	Target date:
Target Completion Date:	Termination Reason:
Action Step:	
Action:	
Start date:	Responsible:
Completion/Termination Date:	Completion/Termination Reason:
Action Step:	
Action:	
Start date:	Responsible:
Completion/Termination Date:	Completion/Termination Reason:
Action Step:	
Action:	
Start date:	Responsible:
Completion/Termination Date:	Completion/Termination Reason:

Signature

Date

Staff Member Signature

Date