



INTERNAL MANAGEMENT POLICY & PROCEDURE

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

IMPP #: 14-149A

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PAROLE SERVICES: Case Management Reviews

Original Date Issued: 05-13-25 Replaces IMPP Issued: N/A **CURRENT EFFECTIVE DATE: 05-13-25**

Approved By: 

, Secretary

Next Scheduled Review: 10/2028

POLICY

Case Management Reviews shall be conducted to confirm that supervision services provided for offender is of good quality and occurs in accordance with established policy and procedures. The reviews are used to evaluate case management strategies utilized, to provide guidance to staff and to evaluate work performance.

DEFINITIONS

Case File: The compiled information that is relevant and necessary to determine the case management strategy for an offender that is under Post Release Supervision, parole or interstate compact supervision. It includes the hard copy file maintained by the parole officer as well as information stored in OMIS, Athena, SharePoint and Docuware. The case file also includes relevant information contained in external web-based systems used in the course of business, such as vendors that provide services to KDOC by contract and the Interstate Compact Offender Tracking System (ICOTS) website.

Case Management Review (CMR): A review of designated case activity for a specific individual on supervision. The review process includes the evaluation of various aspects of supervision, work performed by the parole officer and compliance with policy requirements. The reviews are documented on the Case Management Review Form in Athena (Attachment A).

Case Management Review Form: A form (Attachment A) that is used to guide the content of the Case Management Review process and to document the findings of a review. The electronic form in Athena should be used, when available.

Inter-rater review: A comparative review of a completed Case Management Review, to determine if the initial review was completed accurately and with fidelity.

PROCEDURES

I. Requirements for Case Management Reviews

- A. Case Management Reviews (CMR's) shall be conducted by trained parole staff who work in the following roles: Parole Officer II, Parole Supervisor, Parole Management Team members, and the Parole Staff Development unit.
- B. CMR's shall be conducted annually for each parole officer or parole supervisor who manages a caseload and provides supervision services to offenders.
 1. No less than two CMR's shall be conducted for each parole officer per calendar year.

2. New parole officers shall have their initial CMR completed between six months and one year on the job. The number of reviews required per year may be pro-rated and reduced to one review if the employee's start date is after July 1st.
 - a. Should a CMR be completed before an employee has had the opportunity to complete training in all of the topics or skills involved, the review results for that area(s) should be used for training and coaching rather than to evaluate work performance. Employees should not be expected to perform tasks or utilize skills with proficiency prior to receiving training.
3. A minimum of one CMR shall be conducted annually for Parole Supervisors who supervise cases, in addition to their supervisory duties.
 - a. The reviews shall be completed by a Deputy Director, the Staff Development unit or a Parole Supervisor assigned by the Regional Director.
- C. Parole Supervisors shall develop a plan and schedule each year that ensures completion of the required reviews for the parole officers they supervise.
 1. Parole Supervisors shall maintain documentation of their progress toward completion of required CMR's, and provide updates to the Parole Director, as requested.
- D. CMR's are not required for parole officers who are assigned to the Interstate Compact Unit. Instead, no less than two assigned cases or cases assigned to process for revocation shall be reviewed per year. The reviews shall evaluate case activity for accurate documentation and compliance with policy in decision making, good time, and violation/revocation procedures.
 1. The unit's supervisor and/or designees from the Parole Staff Development Unit shall complete the reviews and follow the tracking and evaluation process described in section III.
 2. Feedback shall be provided to the officers involved following the process in section II.E. Review documentation shall be retained in the supervisory file.

II. Case Management Review Process

- A. CMR's are to be completed using the designated form (Attachment A) and shall be completed in Athena, when available.
- B. The person completing the CMR shall review the hard copy case file, where possible, and the electronic information available from OMIS, Athena, SharePoint and Docuware. Records from vendors that provide services relevant to the offender on supervision shall be reviewed. The ICOTS website shall be reviewed if an interstate transfer has occurred during the current supervision period.
 1. When necessary due to geographic limitations, the reviewer may use a designee to review the hard copy file and report their findings.
- C. The information requested by the CMR form shall be entered in the document, and evaluative comments made where requested on the form. Additionally, the factors below shall be considered when documenting findings and providing feedback for a review.
 1. Did the supervision methods used include evidence-based strategies and techniques, as expected by agency leadership and policy?
 2. Did the officer provide an appropriate balance of monitoring for compliance, providing reinforcement and support and work for behavior change?

3. Were required tasks completed within the time frames required by policy?
4. Is the documentation in the case thorough and professionally written?
- D. To finish a review, an assessment of the work performed shall be made and needs for follow-up action noted.
 1. The Summary of Case Management Review section of the CMR form shall be used to provide comments about the state of the file, an overall assessment of the work performed and any trends that were noted.
 2. If follow-up action is needed, in response to the review, it shall be documented in the Follow-up Needed section, along with time frames in which the work should be completed.
- E. After completing a CMR, the reviewer shall:
 1. Provide a copy of the CMR form to the parole officer involved and discuss the review. Good work shall be acknowledged and reinforced, and a plan shall be developed to address any areas where improvement is needed.
 2. If follow-up action is needed for the case, based on the review, the reviewer shall advise the parole officer of the needs and the time frame for completion.
 3. If the reviewer is other than the Parole Supervisor, the supervisor shall be notified of the review, findings, and the discussion held with the officer.
- F. The review is retained in Athena and a hard copy may be retained in the supervisory file.

III. Tracking and Evaluation of Completed Reviews

- A. All reviews shall be documented in the designated statewide tracking system within 30 days of completion.
 1. Upon request, notification and/or a copy of each review shall be provided to the Staff Development unit designee.
- B. As part of the continuous quality improvement process, summary data from CMR's shall be compiled at least once per year, coordinated by the Parole Management Team designee.
 1. The summary data shall be provided to the Parole Management Team for review.
 2. The Management team shall evaluate trends and needs and establish a process for sharing relevant information with staff involved and stakeholders.

IV. Inter-rater Reviews

- A. Inter-rater reviews shall be completed periodically to help ensure accurate, comprehensive CMR's and the consistent application of policy.
 1. Only staff who are trained to complete CMR's may conduct inter-rater reviews.
- B. To complete an inter-rater review, a Case Management Review shall be completed for a case that was previously reviewed by a different staff member. The two reviews are then compared to identify likeness or variances.

- C. Results of completed inter-rater reviews must be shared with the initial reviewer, and feedback provided. Reviewers should be recognized for good quality work and if inconsistencies or deficiencies exist, they should be discussed and used as a learning opportunity.
1. If the result of the review has impact on the supervision process for an offender, the parole officer assigned to the case shall be notified.
 2. The results of the inter-rater review shall be shared with the supervisor of the employee who completed the initial review, along with information about the feedback provided. A copy of the review may be retained in the supervisory file.
- D. After an inter-rater review has been completed, the person completing the review shall notify the Staff Development unit and enter designated information in the statewide documentation system.

V. 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

None.

HISTORY

05-13-25 Original

ATTACHMENTS

Attachment	Title of Attachment	Page Total
A	Case Management Review form	5 pages

Case Management Review

Individual Name:		Case Plan:	
Reviewer:		Date of Review:	
Date supervision began:	Assigned PO:		Date case assigned:

Summary of Case Management Review:

Follow Up Needed:

Demographics and Classification Information

Offense Information

Offense Type	Offense Date	Description	Counts

Current Discharge Date:

Good Time Status: Not applicable, Applicable and all awards have been completed, Completed and additional time is available to earn or withhold.

Comments:

Supervision Level:

Name	Date	Score	Supervision Level Category Type	Supervision Level

Comments:

Risk Screener:

Required? Yes/No

Completed? Yes/No

Completed date:

Score:

Comments:

LSIR/LS/CMI:

Required? Yes/No

Completed? Yes/No

Completed date:

Score:

Comments:

WRNA:

Required? Yes/No

Completed? Yes/No

Comments:

Other Assessments

Were other specialized assessments available and considered in case management? (SO, DV, Other)

Comments:

Supervision Level Override

Was a supervision level override requested? Yes/No

If yes, was the reason for override clearly described and consistent with policy? Yes/No

Was the override removed when no longer valid or necessary? Yes/No

Override comments:

Case Management Information

Reentry Plan

Completed in the required time frame? Yes/No Personal contact with the residence provider? Yes/No

Comments:

Use of Resources

Did the officer take steps to identify and access needed resources? Yes, No, Sometimes, N/A

Were program/service referrals made in a timely manner? Yes, No, Sometimes, N/A

Services, referrals and interventions are accurately documented? Yes, No, Sometimes, N/A

Comments:

Special Conditions

Were PRB or Court Ordered conditions addressed in a timely and effective manner? Yes, No, Sometimes, N/A

Progress or compliance with Special Condition was monitored and addressed? Yes, No, Sometimes, N/A

Completion information has been entered for Special Conditions that have been completed or closed? Yes, No, Sometimes, N/A

Comments:

Risk Reduction Plan (RPP)

Goals and Action Steps developed collaboratively with offender? If a low-moderate or low risk case, were strengths and risk areas discussed, along with steps needed to maintain strengths and reduce or manage risks?

Goals and action steps are related to reducing criminogenic risk areas? Yes, No, Sometimes

The RRP/goals and action steps are discussed regularly during supervision? Yes, No, Sometimes

Changes are made to goals/actions when needed, based on offender's circumstances? Yes, No, Sometimes, N/A

Progress and updates are reflected in progress notes or contact notes? Yes, No, Sometimes, N/A

Comments:

Contacts

Contacts made with or about the offender were made as required? Yes, No, Sometimes

Do contacts with offender follow the CHART format? Yes, No, Sometimes

Content of offender contacts includes the RRP, balanced with other needs? Yes, No, Sometimes

Were collateral contacts made as required, to verify information and enhance supervision? Yes, No, Sometimes

Contact notes are well written and include sufficient information? Yes, No, Sometimes

Comments:

Drug and Alcohol Testing

Testing level is appropriate based on offenders SA history and usage? Yes, No, Sometimes

Comments:

Behavior Management

If specific safety risks exist, they were noted and adequately addressed: Yes, No, Sometimes, N/A

Prosocial behaviors are encouraged, noted and reinforced. Yes, No, Sometimes

Are EPICS and Cognitive Behavioral tools used consistently? Yes, No, Sometimes, N/A

Comments:

Violations & Responses

Responses to violations follow a graduated approach and are appropriate to the violation? Yes, No, Sometimes, N/A

Violations are documented adequately and in a timely manner? Yes, No, Sometimes, N/A

Violations are documented, and timely to allow for accurate GT awards? Yes, No, Sometimes, N/A

If revocation occurred, were required procedures completed accurately and within the established time frames? Yes, No, Sometimes, N/A

Violations comments:

Notifications & Documentation

Victim Issues

Does case management adequately consider victim related issues? Yes, No, Sometimes, N/A

Comments:

Third Party Notification

Does case mgmt. indicate that third party notifications are identified and made as needed? Yes, No, Sometimes, N/A

If notification was needed, was it completed?

Comments:

Employment/Employer Notification

Does case mgmt. adequately address offender's employment/employment related needs? Yes, No, Sometimes, N/A

Has employment status and information been kept up to date in Athena? Yes, No, Sometimes

Was Employer Notification completed as required? Yes, No, Sometimes, N/A

Comments:

Fees & Restitution

Restitution, Child Support and supervision related fees were discussed within 45 days? Yes, No

A payment plan has been identified for restitution and child support, if owed? Yes, No, N/A

Indigency or supervision fee billing status is kept accurate in Athena? Yes, No, Sometimes

Supervision and Drug Testing fee's owed are discussed and addressed in a timely manner? Yes, No, Sometimes, N/A

NCIC Supervised Offender

Have NCIC supervised offender notifications been made as required? Yes, No, Sometimes

Comments:

Registration Verification

Required? Yes, No

Completed? Yes, No

Registration Comments:

Data Entry

Are the offenders address and phone information current in Athena? Yes, No, Sometimes

Data entry comments: