

PROBATION DEPARTMENT ADULT MANUAL

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Notes and References

CASE PLANNING

I. General Policy

A. Supervision of offenders in the community is designed to assist them in making positive changes in their lives, and reduce their rate of recidivism. Part of that process involves the use of evidence-based practices and structured tools designed to direct an offender toward a targeted outcome. Case plans are used to accomplish this by developing specific activities and strategies for the offender, in order to meet key objectives. Case plan objectives are implemented in a manner that allows offenders take ownership of their lives as they work toward completion of the case plan. Effective case plans adhere to the basic precepts of the risk/needs response model, which includes:

1. Matching the level of the intervention to the offender's level of risk.
2. Assessing the criminogenic needs of the offender, in order to target these needs in case plan goals (i.e. treatment, etc.).
3. Adjusting interventions based on the offender's learning style, motivation to change, abilities, and strengths.

B. Officers supervising high-risk offenders develop case plans to address the offender's criminogenic needs. The case plan is designed to be a road map to assist in case management. The case plan will focus on delivering appropriate intervention and treatment to each offender. The case plan should address areas in which the offender needs improvement or assistance, and goals should be achievable. Case plans and their associated documents should be considered dynamic, and will be updated and/or modified as the needs of the offender change.

II. Case Planning Process

A. The case plan process is initiated at the first appointment with the supervision officer. Through discussion and dialogue with the offender a living document is created; one that will be utilized throughout the period of supervision.

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- B. Case plans shall be based primarily on information gleaned from completion of the Northpointe Correctional Offender Management and Profiling Alternative Sanctions (COMPAS), Risk of Violence and Recidivism (ROVAR), and Inventory of Needs (ION). Officers will provide feedback to their offenders regarding assessment results. This feedback will enable the offender to better understand areas of concern. This will allow for the case plan to focus on the offender's greatest needs.
- C. Officers must engage the offender in the case plan process by the following.
 - 1. Utilization of Motivational Interviewing skills in developing objectives and goals.
 - 2. Analyzing the offender's level of motivation to and readiness to change in order to determine appropriate interventions.
- D. The case plan will focus on the offender's criminogenic needs and risk factors.
 - 1. The case plan goals and strategies should be matched to the offender's motivation to change.
 - 2. A combination of short-term goals (attainable within 90 to 180 days) and long-term goals (attainable by termination date) should be developed.
 - 3. Action steps that allow the offender and the officer to track progress from appointment to appointment should be included.
 - 4. Identified roles and responsibilities of those involved in the case plan will be included.
- E. When completing the case plan, officers will also consider characteristics or attributes unique to the offender that may help positively impact risk level, and build upon the offender's strengths.

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III. Case Plan Development

- A. The case plan document can be found in Northpointe COMPAS.
- B. The case plan should be written with clear objectives and goals, and should include dates by which those goals and objectives will be attained.
- C. The case plan will be printed and reviewed with the offender. Any agreed-upon adjustments will be made and a final version will be printed.
- D. The case plan will be signed by both the DPO and the offender.
- E. The case plan will be scanned into IMPACT file.
- F. The offender will be given a copy of the case plan.
- G. The process will be documented in IMPACT utilizing the “case plan” chrono type.

IV. Case Plan Progress

- A. Officers will monitor an offender’s progress regarding completion of case plan goals. Officers should review the offender’s progress with the offender, as necessary, but at a minimum of once every 60 days.
 - 1. Progress toward completion of a case plan goal will be determined through treatment reviews, program compliance reports, and supervision interaction between the offender and the assigned officer.
 - a. If there is positive movement by the offender toward meeting case plan goals, the officer should reflect that in case supervision reviews, which may or may not change overall supervision risk level.

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- i. If a lower risk level is indicated and/or warranted, the case can be transitioned to a less intense supervision level. When there is a change in supervision level, the case plan should be updated if necessary to reflect any changes in goals or objectives.
- b. If positive change is not being realized, an increase in supervision level may be considered and should be discussed.

V. Case Plan Updates

- A. Case plans are living documents that change as the progress and behavior of the offender changes.
- B. Case plan goals, objectives and progress should be reviewed at each office appointment. In the instance where more field visits occur than office appointments, the information can be reviewed with the offender during a field visit.
- C. Progress toward completion of goals shall be noted on the case plan document. Once goals have been accomplished, they should be closed. If appropriate, new goals and objectives should be formulated, and added to the case plan. Any changes shall be reviewed with the offender.
- D. Any updates to the case plan should be noted on the document. The updated version will be printed and signed by both the officer and the offender. At a minimum, case plans should be reviewed and updated every nine months to coincide with case supervision reviews.
- E. The updated case plan will be scanned into the IMPACT file, and documented with a “case plan” chrono type.
- F. Should a goal be accomplished, an incentive should be considered.

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VI. Incentives

A. Incentive items are available for high risk offenders to support and acknowledge their efforts in achieving goals outlined in their case plans. Research indicates that the use of tangible incentives may be particularly impactful for high-risk antisocial offenders who would ordinarily have the poorest outcomes in community correctional environments (Marlow et al., 1997, 2008; Messina, Farabee, & Rawson, 2003). Because these individuals have habituated to punishment and are not accustomed to receiving positive reinforcement, tangible rewards can exert substantially greater control over their behavior than threats of punishment. Incentives covered under this directive are not available to offenders participating in collaborative courts, as resources are typically available through those programs. Exceptions can be authorized upon manager approval. Through the use of the Incentive Matrix, a Deputy Probation Officer (DPO) can reward a low level positive behavior and completion of a case plan goal with a “treasure chest” selection. This use of an incentive is then recorded in the IMPACT Incentive Database. For behaviors identified in the Matrix as moderate or high level milestones, “Points” will be provided to offenders.

1. The following protocol has been developed to guide the use of incentives:
 - a. The DPO verifies a case plan goal and positive behavior has been completed.
 - b. Through the use of the Incentive database, the DPO identifies the positive behavior and selects either “Points” or “Treasure Chest”.
 - c. If treasure chest is selected, the DPO facilitates the offender selecting one item out of the treasure chest and provides the offender with the item indicated in their selection.
 - d. For Moderate and High Level Incentives, points will be provided, in either 5 or 10 point increments. Those points can either be accumulated by offender choice, or “cashed” out in exchange for an incentive designated for that category of points.

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- e. An “Incentive Disbursement Form” contained in the Incentive database in IMPACT is to be completed, by the DPO identifying the incentive each time an offender redeems points. The form is to be signed by the offender, the DPO and the Supervising Probation Officer. The form is to be kept in the offender’s file.
- f. The DPO will complete a Chrono indicating the incentive was provided and for which behavior.
- g. A location will be designated in each area office to store incentives, along with a log at each location. The unit supervisor or his/her designee will be responsible for maintaining the incentive merchandise at each location and for notifying the Manager when product is becoming depleted. The AB109/SB678 Purchase Request Form (pro 38-B) will be utilized to request inventory, when needed.