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Legal References (includes but is not limited to) IC 11-8-2-5(a)(8) IC 11-10-1-2,3,6 IC 11-13-3-6 IC 11-13-8-3 IC 11-10-4-9 HEA 1269	Related Policies/Procedures (includes but is not limited to) 00-03-201, 01-01-101, 01-03-103, 01-04-101, 01-04-104, 01-04-105, 01-06-101, 02-01-101, 02-01-102, 02-02-101, 03-03-101, 04-01-104, 01-04-105	Other References (includes but is not limited to) ACA Standards: 4-4287, 4-4288, 4-4290, 4-4347, 4-4430, 4-4431
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I. PURPOSE:

The purpose of this policy and administrative procedure is to establish the development and delivery of Programs, Pre-Release, and Case Management services for offenders committed to the Department of Correction.

II. POLICY:

The Re-Entry process prepares an offender for life after incarceration. This process combines assessment with a multi-disciplinary approach to reduce criminal thinking and behaviors while providing offenders with the necessary skills to succeed in the community.

The Department recognizes the need for a Case Management approach to help prepare the offender for Re-Entry into the community. Case Management coordinates the delivery of treatment services, including the management of evidence-based programs, courses, and activities, which provides for a continuum of supervision and care for agencies serving the offender. Case Management targets a reduction in recidivism through the formulation and

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implementation of an individualized Case Plan driven by each offender's criminogenic needs. Case Management in a correctional environment is utilized for the following purposes:

- To provide effective evidence-based programs, courses, activities, and services to address the criminogenic needs of each offender;
- To increase the offender's potential for successful reintegration into society; and,
- To provide for the safety and security of the community.

In order to implement a Case Management process, the Department shall utilize the Unit Team concept. Assessment and classification of offenders facilitates short-term and long-range planning and program development in the correctional system as a whole and at each facility, parole district, or program location.

The Department's efforts toward reducing recidivism are formulated through Evidence-Based Practices (EBP), and those efforts are set forth in this policy and administrative procedure. Nationally, EBP methods are showing success in Re-Entry through all aspects of the Criminal Justice System, not only in correctional facilities.

The Department also recognizes that the majority of offenders incarcerated will be released into the community. These offenders will be released either on parole, probation or by discharge. In order to increase the potential for successful reintegration into the community, it is necessary that these offenders be provided certain programming and information. To do this, the Department shall develop and operate pre-release programming for all adult offenders who shall be released into the community. This programming is intended to provide the offenders with an opportunity to have their release needs identified and considered. To accomplish this task, staff will be expected to utilize all available resources.

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III. DEFINITIONS:

For the purpose of this policy and administrative procedure, the following definitions are provided:

- A. **ACTIVITY:** Facility specific activities that are approved by the Warden, which do not meet the criteria of a program or course.
- B. **BIRTH CERTIFICATE:** An official document issued to record a person's birth, including such identifying data as name, gender, date of birth, place of birth, and parentage.
- C. **CASE MANAGEMENT:** The process of identifying and assessing the offender's risk and needs, developing a Case Plan, linking the offender to appropriate services, monitoring progress, advocating for and holding the offender accountable as needed. Case Management occurs from Intake through release and ensures placement is secured, medical/mental health needs are met, links to appropriate services upon release are provided, and this information is provided to the post-release supervising agency.
- D. **CASEWORK MANAGER (CWM3):** A member of Unit Team that acts as the initial point of contact for day-to-day offender issues in the unit, coordinates Case Management matters and facilitates offender access to programs and services, works with offenders to create Case Plans, and assists in preparing the offender for release. The CWM3 may be responsible for the supervision of Correctional Caseworkers, maintain an offender caseload, and conduct Continuous Quality Improvement (CQI) assessments as determined by the facility.
- E. **CASE PLAN:** A formal document that integrates information from multiple sources including the Indiana Risk Assessment System (IRAS) to strategically address offender needs by identifying goals and assigning interventions.
- F. **CLASSIFICATION:** The process used by the Department to divide offenders into subgroups with the goal of placing each offender in an environment that meet his/her appropriate security level and is consistent with the risk and needs of the offender.
- G. **COGNITIVE BEHAVIORAL TOOLS:** A tool focusing on identifying and changing destructive or disturbing thought patterns that have negative impact on behavior and emotions. (e.g. BITS and Guides)

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- H. COMMUNITY TRANSITION PROGRAM (CTP): A court supervised program that an offender, at the discretion of the sentencing court, may participate in prior to the offender's earliest possible release date.
- I. CONTINUOUS QUALITY IMPROVEMENT (CQI): A 'best practice' for quality management that encourages collaboration among team members and continuously asks what can be done better. The focus on improvement is placed on both the people and processes involved, and includes both assessments and coaching.
- J. CORRECTIONAL CASEWORKER (CCW4): A member of Unit Team that acts as the initial point of contact for day to day offender issues in the unit, coordinates Case Management matters, facilitates offender access to programs and services, works with offender to create Case Plans, and assists in preparing the offender for release and the Re-Entry process.
- K. COURSE: Group or self-study approved by the Commissioner or designee with standardized curriculum that does not qualify for a time cut/earned credit time.
- L. CRIMINOGENIC NEEDS: Characteristics, traits, problems, or issues of an individual that directly relate to the individual's likelihood to re-offend and commit another crime. Criminogenic needs are broken down into two (2) categories; static and dynamic.
- M. DD 214: Certificate of Release or Discharge from Active Duty is a document of the US Department of Defense, issued upon a military service member's retirement, separation, or discharge from active duty in the US Armed Forces.
- N. DEPUTY WARDEN OF RE-ENTRY (DWR): The Deputy Warden of a facility who supervises and manages the Unit Team Managers, programs, and services.
- O. DIRECTOR OF CASE MANAGEMENT: The position responsible for planning and directing the areas of Case Management, Programming, and the Department's Pre-Release Course.
- P. DISCHARGE: The final unconditional release of an offender from the jurisdiction of the Department.

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- Q. DOC ASSIST: The assistance provided by Parole staff in securing a home placement for sex offenders that is secured by financial assistance provided by the Department.
- R. EARLIEST POSSIBLE RELEASE DATE (EPRD): The date on which an offender would be entitled to discharge or release, taking into consideration: (1) The term of the sentence; (2) the term of any other concurrent or consecutive sentence which the offender must serve; (3) credit time which the offender has earned prior to sentencing; and, (4) the maximum amount of credit time which the offender would earn if the offender remained in the current credit class during the period of confinement.
- S. ELECTIVE WORKSHOPS: A set of Pre-Release workshops that provide additional education not covered in the Core workshops, based on the risk and need of participating offenders, as well as their interests.
- T. EVIDENCE-BASED PRACTICES (EBP): The use of systematic decision-making processes or provision of services which have demonstrated, through available scientific evidence, to consistently improve measurable offender outcomes.
- U. EXECUTIVE DIRECTOR OF PROGRAMS AND RE-ENTRY READINESS: The position responsible for direction and oversight of the Department's Programming, Apprenticeships, and Hoosier Initiative for Re-Entry (HIRE).
- V. FIELD TRAINING OFFICER (FTO): A staff member with specific knowledge, skills, and training who is responsible for the administration of the On-The-Job Training (OJT) program to trainees.
- W. IDOC RECORDS MANAGEMENT SYSTEM (IRIS): The electronic storage system used by the Department for the storing and maintenance of offender records.
- X. INTERSTATE COMPACT OFFENDER TRACKING SYSTEM (ICOTS): A web-based system that facilitates the transfer of supervision of probationers and parolees from one (1) state to another.
- Y. INDIANA COURT INFORMATION TECHNOLOGY EXTRANET (INcite): A web-based application used to score and store the Indiana Risk Assessment

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System. INcite is managed by the Judicial Technology and Automation Committee (JTAC).

- Z. INDIANA RISK ASSESSMENT SYSTEM (IRAS): A system consisting of six (6) separate instruments to be used during specific points in the criminal justice process to identify an offender's criminogenic needs and risk to reoffend.
- AA. INDIANA RISK ASSESSMENT SYSTEM PRISON INTAKE TOOL (IRAS-PIT): An assessment tool to be used during an offender's entry into the Department.
- BB. INDIANA RISK ASSESSMENT SYSTEM PRISON SUPPLEMENTAL RE-ENTRY TOOL (IRAS-SRT): An assessment tool designed to reassess an offender's risk to reoffender prior to his/her release from the Department.
- CC. INDIANA RISK ASSESSMENT SYSTEM PRISON STATIC TOOL (IRAS-ST): An assessment instrument designed to be used for offenders who refuse to participate in the assessment process, or those who are incapable due to severe mental illness.
- DD. INTAKE UNIT: A unit designated by the Commissioner to receive offenders from a court for diagnostic and classification purposes.
- EE. NEEDS: Those static (cannot be changed) and dynamic (can be changed) risk factors closely associated with an individual's criminal behavior.
- FF. OFFENDER CASE MANAGEMENT SYSTEM (OCMS): The electronic database used by Unit Team to record, store, and review offender data, including Case Plans and Progress Reports.
- GG. OFFENDER WORKFORCE DEVELOPMENT SPECIALIST (OWDS): A specialist credentialed by the National Institute of Corrections through the completion of twelve (12) competencies, one hundred eighty (180) hour, college-accredited training program in offender workforce development.
- HH. PAROLE: The administrative conditional release of an offender from a facility prior to the expiration of his/her sentence.
- II. PAROLE ASSIST: The assistance provided by Parole staff in securing a shelter or other placement for offenders with no placement options.

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- JJ. PAROLE SERVICES: The division of the Department that supervises offenders released from a facility to Parole supervision.
- KK. PAROLE VIOLATOR: An offender who has been found by the Indiana Parole Board to have violated one (1) or more conditions of Parole.
- LL. PROBATION: A conditional release ordered by a court allowing an offender to serve a portion of his/her sentence under the supervision of a probation officer in lieu of incarceration.
- MM. PROGRAM: An earned credit time/time cut program of study, approved by the Commissioner or designee, which included any of the following criteria: Standardized Curriculum, Validated Evidence-Based Practices, and/or Established Performance Measure.
- NN. PROGRAM MANAGEMENT AND REFERRAL SYSTEM (PRMS): The electronic referral system housed within OCMS that tracks offender Program/Course participation.
- OO. PROGRESS REPORT: The document prepared by Unit Team for distribution upon request to government agencies and other organizations providing a lawful service to offenders during the period of incarceration or upon release to the community.
- PP. RE-ENTRY COORDINATOR: The staff person who is designated by the Warden and credentialed as an OWDS to coordinate the development, operation, supervision, and administration of the Pre-Release Course at the facility.
- QQ. RE-ENTRY COORDINATOR TRAINER (RCT): A staff member who possesses FTO and OWDS credentials and is designated by the Director of Case Management to assume responsibility to train, mentor, and share information with recently hired staff within their designated region.
- RR. RE-ENTRY MONITOR: The staff person serving as a resource and trainer for facility staff, contractual staff, and community criminal justice partners regarding Case Management policy expectations, technology issues for OCMS/ PMRS, and programs through the Department.

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- SS. RE-ENTRY PORTFOLIO: A folder of information and documents compiled by staff for each offender with an EPRD that includes originals or copies of certificates, resumes, birth certificates, Social Security cards, Bureau of Motor Vehicles (BMV)-issued identification cards, and other materials to be used in the community and provided to the offender upon release.
- TT. SAFEKEEPER: An offender whom a court has determined cannot be managed in a local facility, and has ordered the offender to the Department prior to sentencing.
- UU. SENTENCE COMPUTATION AND RELEASE SECTION: A section within the Division of Classification in Central Office that assures accurate and timely computation of offender sentences and provides for the on-time release of offenders to the appropriate community supervision.
- VV. SERVICE REFERRAL: A request for service or documents provided by an agency other than the Department (e.g., birth certificates, Social Security cards).
- WW. SOCIAL SECURITY CARD: An official government document containing a unique nine (9)-digit number assigned by the Social Security Administration and provided to every US citizen, permanent resident, or temporary working resident.
- XX. SPECIAL NEEDS OFFENDER: An offender who has been diagnosed with mental health or physical health issues that significantly impact the offender's ability to perform normal activities of daily living.
- YY. STATE IDENTIFICATION CARD: A secure form of identification which would include a name, date of birth, address, and a state identification number.
- ZZ. SUCCESSFUL TRANSITION AND RE-ENTRY TRAINING (START): A set of Core and Elective workshops making up the Pre-Release Course which adheres to Indiana Code 11-13-8-3 and educates all adult offenders with the necessary information, skills, and resources for the purposes of Re-Entry.
- AAA. SUPERVISOR OF CLASSIFICATION: The facility staff person who works with Unit Team to render the final decision on all offender Classification activities within a facility.

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- BBB. TRANSITIONAL INFORMATION PACKET SERVICES (TIPS): A modified version of workshops used in the Pre-Release Course that provides offenders not eligible for START with information and resources necessary for Re-Entry.
- CCC. UNIT TEAM (UT): A grouping of Re-Entry staff members designated by the Warden, responsible for overseeing an offender’s Re-Entry process.
- DDD. UNIT TEAM MANAGER (UTM): The administrator and supervisor of a unit who is responsible for the Casework Manager and Correctional Caseworker.
- EEE. VETERAN: An incarcerated individual with a history of having served in a branch of the US Armed Forces. Veteran status must be confirmed through the receipt of a DD-214 confirming military service.
- FFF. VITAL RECORDS: Documents of life events maintained under governmental authority such as birth certificates, Social Security documents, State identification, etc.
- GGG. WALK-THROUGH: A term used to denote placement investigations requests for offenders with forty-five (45) days or less to EPRD.
- HHH. WORKSHOP: A brief, intensive educational course for a relatively small group (up to 25 individuals) of offenders focusing on a specific topic.

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IV. UNIT TEAM EXPECTATIONS AND RESPONSIBILITIES:

The staff member with primary responsibility for the implementation and review of the offender's Case Plan is the Correctional Caseworker (CCW4) or Casework Manager (CWM3).

Unit Team staff shall solicit information from other staff involved in various areas that may impact the offender's Case Plan including, but not limited to, Custody, Classification, Education, Health Services, Recreation, Food Services, Addictions Recovery, and Program staff.

The Warden or designee shall establish the working hours and schedule for the Unit Team Staff. Unit Team Managers, Casework Managers, and Correctional Caseworkers shall be scheduled to ensure their availability to offenders.

Unit Team staff meetings shall be held monthly. A summary of each staff meeting shall be made and maintained by the Unit Team Manager. A copy of this summary shall be forwarded to the Deputy Warden of Re-Entry, the Director of Case Management, and the facility's assigned Re-Entry Monitor and shall be made available to all unit staff.

Topics required at each monthly meeting include, but are not limited to:

1. Staffing
 - a. Vacancies;
 - b. Staff Resignations; and,
 - c. New Staff and Assignments, including review of OJT packet
2. Programming/Case Management
 - a. New programs, courses or activities initiated; and,
 - b. Review any changes to Re-Entry policy, procedure, and/or directives.
3. Training Needs
 - a. Communication of upcoming Re-Entry training; and,
 - b. Discussion of areas within Re-Entry where staff need additional training.
4. Cognitive Behavioral Tools (BITS and Guides)

Number of BITS and Guides completed by each caseworker/casework manager

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If any position designated in this policy and administrative procedure does not exist at a facility, the Warden shall designate a staff position to carry out these duties.

Where the Unit Team Manager and/or Casework Manager is a staffing table position and the position requires direct supervision of other Unit Team staff (i.e. Caseworker, Casework Manager) or will require staff to complete CQI assessments, the Director of Case Management, or designee, shall serve as a member of the interview and selection panel.

A. Deputy Warden of Re-Entry Responsibilities:

1. Supervise the Unit Team Managers;
2. Coordinate inter-unit activities and relationships between various units and other facility service providers;
3. Monitor unit activities to ensure compliance with the policies and administrative procedures of the Department;
4. Direct appropriate staff in the delivery of services and programs;
5. Notify the Director of Case Management when a Casework Manager or Unit Team Manager leaves his/her position; and,
6. Other duties as assigned.

B. Unit Team Manager Responsibilities:

1. Supervise, train, and review the performance of Casework Managers assigned to the Unit Team, assessing individual strengths and weaknesses, using regular evaluations and frequent informal reviews of staff performance in accordance with the standards, guidelines, and policies of the Department and the State Personnel Department;
2. Ensure new Unit Team staff successfully complete IRAS training, Case Management 101 training, and when necessary, Continuous Quality Improvement Training.
3. Address the changing needs of the offenders assigned to the unit by continually assessing the relevance of unit programming and re-structure as needed with the approval of the Deputy Warden of Re-Entry;
4. Foster positive channels of communication between Unit Team and other departments at the facility and between Unit Team staff and offenders;
5. Schedule and conduct monthly Unit Team staff meetings;
6. Maintain appropriate records of Unit Team activities;
7. Monitor Unit Team staff for adherence to policy and procedure through the use of routine CQI assessments and coaching;
8. Review and approve Progress Reports for offenders assigned to the unit;

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9. Coordinate with Custody staff to ensure unit safety and sanitation needs are met;
10. Coordinate with the Physical Plant Director, Safety Hazard Manager, and/or Fire Chief on Unit safety issues;
11. Act as Deputy Warden of Re-Entry when designated;
12. Coordinate with Classification staff and the Sentence Computation and Release section to assist in preparation for the release of each offender;
13. Review the quality of reports and documents sent to courts, Parole, probation, etc. for quality assurance;
14. Ensure implementation of the offender grievance process through the Unit Team;
15. Ensure that information and staff from other areas are included in the decision making process when recommendations for assignments to a specialized area (e.g., Education, Mental Health Services, etc.) are made; and,
16. Other duties as assigned.

C. Casework Manager Responsibilities:

1. Supervise, train, and review the performance of Correctional Caseworkers assigned to the Unit Team, assessing individual strengths and weaknesses, using regular evaluations and frequent informal reviews of staff performance in accordance with the standards, guidelines and policies of the Department and the State Personnel Department;
2. Successfully complete IRAS Training, Case Management 101 training, and Continuous Quality Improvement Training.
3. Monitor Correctional Caseworkers for adherence to policy and procedure through the use of routine CQI assessments and coaching;
4. Assess each assigned offender's risk and needs using the IRAS ;
5. Develop, implement, and review each assigned offender's Case Plan;
6. Refer offenders to Programs, Courses and work assignments;
7. Coordinate with all appropriate facility staff to address Re-Entry and release issues;
8. Act as Unit Team Manager when designated;
9. Provide group and individual programming as required;
10. Prepare Progress Reports as required;
11. Coordinate with Classification staff to make appropriate Classification recommendations;
12. Conduct unit orientation for newly received offenders;
13. Provide day-to-day assistance for assigned offenders;
14. Prepare reports as required or requested by a supervisor;
15. Maintain high security standards in the unit and facility; and,
16. Other duties as assigned.

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D. Correctional Caseworker Responsibilities:

1. Assess each assigned offender's risk and needs utilizing the IRAS;
2. Successfully complete IRAS Training, Case Management 101 training, and Continuous Quality Improvement Training;
3. Develop, implement, and review each assigned offender's Case Plan;
4. Refer offenders to Programs, Courses, and work assignments;
5. Coordinate with all appropriate facility staff to address Re-Entry and release issues;
6. Provide group and individual programming as required;
7. Prepare Progress Reports as required;
8. Act as Casework Manager when designated;
9. Coordinate with Classification staff to make appropriate Classification recommendations;
10. Conduct unit orientation for newly received offenders;
11. Provide day-to-day assistance for assigned offenders;
12. Prepare reports as required or requested by a supervisor;
13. Maintain high security standards in the unit and facility; and,
14. Other duties as assigned.

E. Re-Entry Coordinator Responsibilities:

1. Assist the Warden with the development of Pre-Release;
2. Ensure offenders are appropriately assigned;
3. Coordinate delivery of Core and Elective Workshops;
4. Establish and maintain partnerships with community resources;
5. Determine which Elective workshops offenders may receive based on risk assessment;
6. Assist in the annual quality assurance of Pre-Release; and,
7. Become a certified OWDS within twelve (12) months of assuming the responsibility of the position.

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V. DEVELOPMENT AND IMPLEMENTATION OF PROGRAMS, COURSES, AND ACTIVITIES:

In order to comply with the required process, facilities interested in adding new programming shall follow the process below:

1. Complete State Form 56011, “Application for New Program/Course;”
2. The completed State Form 56011 shall be submitted to the Warden for review and approval;
3. If approved by the Warden, the completed State Form 56011 and required materials shall be submitted with the Warden’s recommendation to the Executive Director of Programs and Re-Entry Readiness with a copy to the appropriate Regional Director;
4. The Executive Director of Programs and Re-Entry Readiness shall review the submitted State Form 56011 and consult with other staff, as necessary, to review the proposed programming;
5. After review and recommendation, the Executive Director of Programs and Re-Entry Readiness shall submit the completed State Form 56011 and recommendation to the Deputy Commissioner of Re-Entry;
6. If approved by the Deputy Commissioner of Re-Entry, the completed State Form 56011 shall be submitted to the Commissioner for final approval/denial.
7. The Executive Director of Programs and Re-Entry Readiness shall ensure the final decision by the Commissioner and the completed State Form 56011 are returned to the submitting Warden, including any instructions regarding the Program/Course; and,
8. If approved, the Executive Director of Programs and Re-Entry Readiness shall ensure the approved Program/Course is added to PMRS and the Department’s Program and Course Catalog.

Wardens have the responsibility of regulating activities offered at the facility. Each facility shall maintain a “Catalog of Activities” offered and shall ensure it is updated annually and submitted to the Executive Director of Programs and Re-Entry Readiness and the Director of Case Management by January 10th of each year.

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VI. RE-ENTRY PROCESS-EPRD 180 DAYS OR MORE:

The following procedures apply to offenders who have 180 days or more to EPRD upon arrival at their initial housing facility.

A. Orientation

The facility orientation shall include information on Case Management and Unit Management processes at the facility. Facility Orientation shall include but not limited to Sexual Violence Assessment Tool (SVAT), Prison Rape Elimination Act (PREA) Education, Case Management/Unit Team overview, Law Library information, Health Services procedures, etc. Except in unusual circumstances, reception and orientation for offenders transferred from another Department facility shall be completed within seven (7) calendar days after arrival.

All facility Admissions and Orientation programs shall ensure that information on the purpose and benefits of Re-Entry services and obtaining release documentation (i.e. birth certificate, Social Security card) prior to release are included as part of the intake process. Institutional packets should be reviewed upon arrival to determine what release documents will be needed prior to release. If an offender does not have a birth certificate available to him/her, staff shall work with the offender to apply for the document. If the offender does not have a Social Security card, staff shall apply for the document as soon as the offender is in within 120 days of release. Attachment 5 outlines the procedure for requesting duplicate Social Security cards. If an offender does not have a State ID, and meets eligibility requirements, he/she should utilize the BMV site visit prior to release.

B. Indiana Risk Assessment System (IRAS):

All staff in the Unit Team Manager, Casework Manager, Correctional Caseworker, and/or Intake Unit Classification Specialist designation shall become a certified user of IRAS. They shall complete any necessary training to obtain the certification within ninety (90) days of accepting their position and shall maintain the certification as required by Indiana Judicial Center statewide policy. In the event case management staff attempts and fails IRAS certification four (4) times, the facility's Deputy Warden of Re-Entry shall consult with the Director of Case Management, notifying him/her of this situation to discuss next steps.

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Within seven (7) calendar days of receipt of notification of certification, the staff member shall take the necessary steps to become an authorized user of the INcite System by completing and submitting the signed INcite User Agreement (Attachment 1).

A staff member transferring from an agency that uses the IRAS Community Supervision Tool (IRAS-CST), including Parole Services Division, is not required to recertify on the PIT and SRT unless recommended by supervisory staff at the facility. A new INcite User Agreement must be completed to reflect IDOC as the staff person’s current agency in the INcite system.

Scoring documents from the IRAS assessment including the interview guide, offender self-report, and hard copy score sheet do not need to be saved in the offender’s institutional packet. Risk level overrides should go no higher than one risk level and any override shall require documentation in INcite and OCMS. An OCMS note shall be entered listing the reason for and level of override. When appropriate, risk level overrides of more than one risk level shall require supervisor approval and an additional OCMS note entry by the supervisor documenting review of the override.

1. IRAS Prison Intake Tool (IRAS-PIT)

The IRAS-PIT shall be completed per the expectations set forth by the University of Cincinnati and the Indiana Office of Court Services by conducting a face-to-face interview with the offender and ensuring the information in the PIT interview guide is discussed. The recommended time allotted for an IRAS-PIT is a minimum of 30 minutes per offender. The assessment shall be completed for all adult offenders at the facility level. The IRAS-PIT shall be completed for all adult offenders at the facility level and the results entered into the INcite system within thirty (30) calendar days of his/her arrival at the facility. The data from the IRAS-PIT shall be used by Unit Team staff as the foundation for Case Planning and referrals. Offenders shall not be given copies of their assessment.

a. IRAS-PIT: Refusal to participate:

If an offender refuses the IRAS-PIT assessment, no Program referrals shall be made; however, a “refusal” Case Plan shall be

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generated and an OCMS note entered documenting the offender’s refusal to participate in the Re-Entry process. At this time, the IRAS-Static Tool shall be completed in place of the IRAS-PIT by Unit Team staff for the purposes of creating a “refusal” Case Plan. The IRAS-Static Tool is only intended for those offenders who refuse to participate in the assessment process or those who are incapable due to severe mental illness. Offenders who are unwilling to participate in the IRAS-PIT assessment process, shall be offered the opportunity to rescind the refusal at each subsequent mandatory minimum contact. If an offender continues to refuse to participate in the IRAS-PIT assessment, no referrals for programming shall be made. If the offender agrees to participate in the IRAS-PIT assessment, the assessment shall be completed within thirty (30) days by Unit Team staff.

b. IRAS-PIT: Mental Health offenders

If an offender is unable to participate in the IRAS-PIT due to serious mental illness, an OCMS note shall be entered documenting his/her refusal. At this time the IRAS-Static Tool shall be completed in place of the IRAS-PIT by Unit Team staff. The IRAS-Static Tool is only intended for those offenders who refuse to participate in the assessment process or those who are incapable due to severe mental illness. In this instance, a Case Plan shall be generated using the incapable Case Plan type and appropriate referrals and interventions shall be made.

If an offender requiring an IRAS-PIT is received from a prior facility without the assessment on file, Unit Team staff shall complete the assessment.

2. IRAS Supplemental Re-Entry Tool (IRAS-SRT)

The IRAS-SRT shall be completed and the results entered into the INcite system for all offenders sixty (60) days prior to the offender’s CTP commencement date or one hundred and eighty (180) days prior to the offender’s release to probation, community corrections, Parole, or discharge, whichever comes first.

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If an IRAS-SRT is completed and entered into the INcite system sixty (60) days prior to an offender’s CTP commencement date, another IRAS-SRT will not be required at release.

If the IRAS-SRT cannot be completed due to the offender’s unwillingness or inability, a supervisor shall validate the circumstances and enter an OCMS note documenting the reason for the incomplete assessment. At this time the IRAS-Static Tool shall be completed in place of the IRAS-SRT by Unit Team staff.

An IRAS-SRT is not required when an offender is released from court. In these cases, an OCMS note shall be entered documenting the reason that the IRAS-SRT was not completed.

If an offender losses earned credit time ~~and~~ or he/she has a sentence change after the IRAS-SRT has been completed, Unit Team staff shall use the most recent IRAS-SRT to determine if the sixty (60) day process, including the IRAS-SRT, needs to be completed again. If the IRAS-SRT is less than one (1) year old, the sixty (60) day process will not need to be completed again. In the event the IRAS-SRT is more than one (1) year old, the sixty (60) day process will need to be repeated, including completion of a new IRAS-SRT.

C. Case Planning

Unit Team staff members shall maintain their caseloads in OCMS. Any caseload transfer shall be entered in OCMS within seven (7) days.

The Case Plan shall be developed from the IRAS-PIT assessment. If an offender does not have an IRAS-PIT on file due to how long he or she has been incarcerated, an IRAS-SRT shall be completed during the annual review period. That IRAS-SRT will be used to establish risk and need for case planning. The Case Plan shall be developed, reviewed, and signed by the offender within thirty (30) calendar days of arrival at the housing facility. The Case Plan shall be updated as necessary.

1. Risk Level Referral Requirements:

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Program referrals shall be associated with an IRAS domain. Offenders whose assessment indicates risk levels of moderate or above shall be referred to appropriate programming. Those offenders with low risk levels should be considered for courses and activities within the facility. Should there be supporting evidence of a high need for an offender with a low risk score, a note must be entered into OCMS justifying the need this referral. Deputy Wardens of Re-Entry are encouraged to implement a process that allows for these types of referrals to be reviewed by appropriate staff prior to referral.

a. Educational Referral Priority:

Education shall be the primary program referral for any offender who does not meet the required educational standard for all other program enrollment. Offenders who refuse the educational referral are ineligible to be referred to any other programming.

Offenders designated for Purposeful Incarceration (PI) are exempt from the educational/literacy priority referral requirement, and shall be referred for substance abuse assessment before any other programming.

b. Addiction Recovery Priority:

Addiction recovery services shall be the secondary program referral for any offender identified as needing further clinical assessment for the presence of a substance use disorder. The need for further clinical assessment may be determined by both administrative and behavioral indicators.

i. Administrative indicators include: a qualifying screening score at the offender's intake facility, a moderate or high IRAS-PIT Substance Abuse domain score, or the offender having been designated for Purposeful Incarceration.

ii. Behavioral indicators include: offender receives a conduct report related to substance use/possession, offender tests positive for illegal substances on a urine drug screen, or

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offender is seen by Healthcare Services for a suspected or actual acute intoxication.

If there is evidence that an offender is actively abusing substances, has recently received conduct violation(s) related to abuse, or has been seen by medical for intoxication or withdrawal symptoms, Addiction Recovery Services will become the priority program referral over all other programming, including Education.

D. Program and Course Referrals

1. PMRS Referral Process:

All Program and Course referrals shall be completed in PMRS by assigned Case Management staff. All referrals shall be associated with an IRAS domain and a documented need. If an offender does not have an IRAS-PIT on file due to how long he or she has been incarcerated, Case Management staff shall use the IRAS-SRT to identify areas of risk and need.

Facilities shall designate staff responsible for the timely entry of PMRS data. All PMRS actions including referral, wait list, start date, end date, and completion type shall be completed within five (5) business days of the action's occurrence.

If an offender quits or is terminated from a Program, or refuses a referral to a Program, Unit Team shall complete the referral as enrolled and completed on the same date and enter one of the following completion types:

- a. Client Quit Program;
- b. Client's participation was terminated;
- c. Client Refused the Program;
- d. Changed Programs;
- e. Client Inappropriate for Services; or,
- f. Re-refer at a Later Date

A review in the Case Plan along with an OCMS note shall be required detailing the circumstances when an offender quits, is terminated, or refuses a Program/Program referral.

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If an offender who is enrolled in a program quits, is terminated (for any reason), or unsuccessfully completes the Program (e.g. does not meet all requirements to successfully complete the program) they are ineligible to enroll in any other Program for a period of 180 days from the date that the offender is officially removed. In addition, the facility may determine that the offender is course and/or job ineligible and assign the offender to idle status for a fixed period of time, not to exceed 180 days. Second Chance courses are the approved exceptions to this rule.

2. Personalized Interventions and Service Referrals:

All Personalized Interventions and Service Referrals shall be completed in OCMS. Any Activity that an offender participates in shall be documented as a Personalized Intervention. The use of Cognitive Behavior Tools (e.g. Brief Intervention Tools (BITS) and Guides should also be entered as personalized interventions.

All OCMS Service Referral actions including start date, end date, and completion type shall be entered within five (5) business days of the Action's occurrence. Additionally, an OCMS note shall be entered detailing each Service Referral action.

3. Case Plan Reviews:

A formal Case Plan update and review shall take place annually in conjunction with the offender's annual Classification review. The offender shall sign the updated Case Plan at the annual review. An OCMS note shall be entered noting the details of the annual review, the updates/reviews made to the Case Plan, and that the required documents were completed as well.

4. Face-to-Face Contacts

Staff shall meet face-to-face with each offender assigned to their caseload, based on each offender's documented overall IRAS risk level. These contacts shall be documented in OCMS notes. Offenders who score an overall Low must have documented face-to-face contact at least once every one hundred and eighty (180) days. Offenders who score an overall

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Moderate must have documented face-to-face contact at least once every one hundred and twenty (120) days. Offenders who score an overall High or Very High must have documented face-to-face contact at least once every ninety (90) days. These meetings may include but are not limited to Case Plan reviews, the discussion of behavioral issues, release needs, programming issues, possible reclassifications, and work release eligibility.

E. Re-Entry Portfolio

The Re-Entry Portfolio for each offender includes originals or copies of certificates, resumes, birth certificates, Social Security cards, Bureau of Motor Vehicles (BMV)-issued identification cards, and other materials to be used in the community and provided to the offender upon release. If a Re-Entry Portfolio has not been created at the time of the offender's arrival at the facility, designated staff shall create a portfolio using the Re-Entry Portfolio Face Sheet form (Attachment 2).

Unit Team staff shall collaborate as necessary with Re-Entry and Release staff to assist the offender in obtaining any necessary documentation for the Re-Entry Portfolio.

F. CTP

Sixty (60) days prior to the offender's CTP Commencement Date, Unit Team staff shall ensure a Progress Report is approved for the court and complete the IRAS-SRT. When a request for the CTP Progress report is sent by the facility's Re-Entry Monitor, the Progress Report shall be completed within five (5) business days of the request. Unit Team staff shall notify their supervisor that the Progress Report and IRAS-SRT have been completed. The supervisor shall review and lock the Progress Report in OCMS and ensure the IRAS-SRT has been completed in INCite. Unit Team staff shall verify that placement has been entered. If not yet entered, staff shall enter the placement and submit the placement investigation request to parole if necessary.

G. Placement

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When entering placements, a primary and an alternate address is required regardless of the type of release supervision. If only one address is available, Unit Team staff shall review the offender's packet, visitation list, telephone list, money donors, prior placements, and OCMS placement notes to ensure all efforts have been exhausted. All efforts to locate an alternate placement and the reason for not entering an alternate placement shall be documented in OCMS.

Prior to entering placements and submitting placement investigation requests (i.e. Parole), Unit Team staff shall:

1. Research prior placement denials to determine suitability for current placement.
2. Verify placement as an actual residence by researching the address through a mapping program, such as Google Earth. The mapping program will provide verification that the location is a valid housing location, and in the case of a sex offender, provide a visual of the area to determine whether schools or parks are nearby.
3. Call to confirm the placement with the sponsor; making sure to confirm the address and ensure the sponsor is willing to house the offender. Staff is not to ask specific parole or sex offender-related questions when contacting the sponsor, other than to verify there are no firearms in the residence. Exception, staff shall not contact a shelter for the purpose of verifying placement.
4. If placement is a shelter, a halfway house, a mission, or Parole Assist, Unit Team staff shall ensure all placement options are exhausted and documented prior to those placements being entered.
5. If a shelter is the only viable placement option, only one shelter shall be entered in OCMS. This is an exception to the two (2) placement option requirement.
6. Staff may not use abbreviations for city names when entering placement.
7. All previous steps in the above process shall be thoroughly documented in the OCMS notes.

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Placements entered while the offender is housed at an intake facility should still follow the process above for verification of geographic location and sponsor approval to reside at that residence.

1. Parole Release:

If a Parole release, both addresses shall require a request for investigation. Placements and requests for Parole Placement Investigations shall be submitted in OCMS one hundred and eighty (180) days prior to the offender's release or sixty (60) days prior to the offender's CTP commencement date, whichever occurs first. At this time, staff should verify that the offender's parole packet information is in IRIS. If the information has been uploaded, the placement may be submitted for investigation. If the information has not been uploaded, the parole packet shall be sent to the parole district office prior to requesting the placement investigation in OCMS.

2. Probation Release:

If a Probation release, the placement screen's sponsor field shall identify which placement is the primary and which placement is the alternate address.

3. Dual Supervision:

If an offender will be released on dual supervision, only a primary and alternative parole placement entry is required.

4. Discharge:

A primary and an alternate address is required.

5. Interstate Compact Placement:

When entering an Interstate Compact placement, the out-of-state placement is always entered as the alternate placement. An accompanying primary placement in Indiana must also be entered in OCMS. Interstate Compact placements shall be entered in OCMS at 180

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days to EPRD and ICOTS action shall be initiated at 120 days prior to EPRD.

6. DOC Assist:

The process for DOC Assist for sex offenders shall begin at least 180 days prior to EPRD. OCMS notes documenting all DOC Assist actions shall be entered within two (2) business days of occurrence and shall include details of each interaction. At a minimum, the following steps shall be followed:

- a. The offender and the Unit Team shall discuss all possible placements where the offender may reside and the Unit Team shall exhaust all possible placements and document in notes before determining that the offender shall need a DOC Assist placement.
- b. In exhausting all possible placements, staff and the offender shall consider contacting those on the offender's visitation list, phone list, other family members and any other persons listed in the Pre-Sentence Investigation report (PSI) who may be able to provide the offender with a residence.
- c. Unit Team shall complete a records check for wanting authorities, offender flags, placement history, and Trust Fund balance. Offenders with Trust Fund balances equal to or greater than two hundred dollars (\$200.00) shall be considered self-pay. In these cases, Unit Team staff shall coordinate with Parole staff to determine available community resources for offender self-pay.
- d. Unit Team shall contact the supervising Parole District Supervisor to inform of the placement concerns and the possible need for a DOC Assist placement for the offender.
- e. Once all placement options have been exhausted and documented in notes, the offender shall be required to sign the DOC Assist Agreement (Attachment 3) and abide by its conditions. The offender shall be notified that failure to abide by the conditions may result in disciplinary action being taken against the offender.

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- f. Unit Team staff shall ensure that the offender’s Trust Fund account is frozen once the DOC Assist Agreement has been signed by the offender or once it has been determined that the offender will be self-pay.
- g. Unit Team staff shall forward the DOC Assist agreement via email to the SOMM Program Director, the Re-Entry Monitors, the Executive Director of Re-Entry and Medicaid, the Parole District Supervisor, the Parole Agent if known, and the Unit Team Manager.
- h. Throughout the process, the offender, the Parole Agent and Unit Team staff shall collaborate to obtain and verify a suitable non-DOC Assist placement for the offender. If such a placement is found, the offender shall be denied the “DOC Assist” placement.

H. Progress Reports

Progress Reports shall be completed by Unit Team staff sixty (60) days prior to the offender’s Community Transition Program Commencement Date (CTPCD), or at one hundred eighty (180) days prior to the offender’s EPRD, whichever occurs first. Progress Reports shall be completed and approved in OCMS with hard copies to Probation/Community Supervision only.

Progress Reports are considered restricted information. Department policy authorizes that restricted information may be released to governmental agencies providing a lawful service to an offender. It is not necessary for these agencies to produce a court order to obtain restricted information, but the request must be a written request.

When a request for a Progress Report is received by telephone, the staff person receiving the request shall ask that the person make the request in writing. The written request may be sent via e-mail, mail, or fax to the facility. An offender is allowed a duplicate copy of the progress report if requested. The duplicate must have the word “COPY” on the report.

Responses to requests for Progress Reports shall be completed and the Progress Report submitted to the requesting agency within five (5) working days of receipt of the request. If the request cannot be honored within five (5) working days, the

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Deputy Warden of Re-Entry shall contact the requesting agency and advise of the delay and when the information shall be provided. All progress reports must be sent to the recipient via secure (encrypted) email or fax.

Staff are not permitted to enter medical or mental health diagnosis (including addiction diagnosis) and/or medications (name, dosage, etc.) in the progress report. Staff may only include the medical and mental health codes and the definition of those codes. In the comment sections under the Counseling/Health tab, staff will write, “For additional medical, mental health, and addiction recovery information, please email IDOCmedical@idoc.in.gov.”

Progress Reports are valid for ninety (90) days from the date the report was reviewed and approved. A Progress Report must be reviewed by a supervisor within thirty (30) days of the report being created. If the report is older than thirty (30) days, the report cannot be reviewed and a new report must be completed. Secured placement is not mandatory. If a Progress Report is due and placement has not been secured, the author shall document all efforts that have been made in an attempt to secure a placement in the “Release Residence” section of the report.

Progress Report authors shall conduct a comprehensive record review in order to complete the Progress Report thoroughly.

I. Release:

Unit Team staff shall collaborate with multiple divisions, specifically Classification and Pre-Release to prepare the offender population for release.

1. 180 Day Timeframe:

- a. Ensure that placement has been entered;
- b. Complete the comprehensive Release Review Guide. The Release Review Guide is automated in OCMS notes. The questions will be completed through the questionnaire on the notes screen and will automatically populate into notes. The Release Review Guide is attached to this policy and administrative procedure (Attachment 4).
- c. The IRAS-SRT is completed, including other areas on need;

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Offenders are to be referred to the Pre-Release Course through PMRS by their assigned caseworker/case manager at least 180 days prior to the offender's release from the Department or at the time of a CTP progress report, whichever comes first. The assigned caseworker/case manager will add a general note into OCMS titled, "Pre-Release Referral Note," with the necessary information for the Re-Entry Coordinator to complete the Pre-Release Referral Form.

2. 60 Day Timeframe:
 - a. Ensure placement is entered and approved;
 - b. A review of the Release Review Guide has been conducted to address outstanding issues identified on the Guide; and,
 - c. Document in OCMS notes the status of any outstanding issue(s) on the Release Review Guide.

J. Vital Documents:

1. Birth Certificates: Can be applied for at any time during the offender's incarceration. Should not be applied for under 60 days from EPRD.
2. DD214 Report of Separation: May be applied for at any time during the offender's incarceration. Should not be applied for under 60 days from EPRD.
3. Social Security Cards: May be applied for at 120 days from EPRD. Should not be applied for earlier than 120 days or under 60 days from EPRD.
4. State Identification Cards: Offenders should be referred to see the mobile BMV during scheduled site visits when they are 365 days from EPRD.

Any offender required to register as a sex offender after release is mandated to obtain a state identification card. Unit Team Re-Entry staff shall make every effort to assist the offender in obtaining this document prior to release. Any offender who is required by law to register as a sex offender and refuses a state identification card can receive a written conduct at the discretion of the facility. Offender's refusals to be referred

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to see the mobile BMV in order to obtain an identification card should be documented in an OCMS note.

If an offender is transferred to another facility, vital documents shall be sent in the offender packet to the receiving facility. If the document(s) were not sent when the offender is transferred, it is the responsibility of the transferring facility to make sure the receiving facility receives the document(s). If the offender ~~or~~ is released from the Department without possession of vital documents, such documents shall be mailed to Central Office Re-Entry Services at 302 W. Washington RM 334 Indianapolis, IN 46204.

In the event of an offender death, vital documents must be received at Central Office location within ten (10) business days of date of death.

K. Special Needs Offender Releases

An offender with special needs is considered to be an offender who has been diagnosed with mental or physical health issues that significantly impact the offender's ability to perform normal activities of daily living. These offenders may include offenders with: mental illness, emotional impairments, organic brain syndrome, mental retardation, or physical impairments that seriously impact the offender's mobility. These offenders may have placement-related issues due to their medical/mental health issues.

Additionally, offenders who require injectable medications, durable medical equipment, assisted living, extensive nursing care, extensive mental health services, or civil commitment may be considered a special needs offender.

Unit Team staff shall identify the special needs offender at 180 days to EPRD and notify the following staff via secure (encrypted) email:

1. Director of Case Management;
2. Assigned Re-Entry Monitor;
3. Chief Medical Officer;
4. Executive Director of Behavioral Health Services;
5. Executive Director of Physical Health Services;
6. Executive Director of Addiction Recovery Services (for releases involving offenders with special addiction recovery treatment needs);
7. Director of Transitional Care

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8. Director of Mental Health Services;
9. Quality Assurance Monitor, Addiction Recovery and Behavioral Health
10. Contracted Medical Provider Regional Director of Re-Entry
11. Contracted Medical Provider Regional Mental Health Director
12. Contracted Medical Provider Regional Psychiatric Director
13. Contracted Medical Provider Regional Medical Director
14. Parole District Supervisor (only send notice to the PD supervisor for the PD who will be supervising the offender)
15. SOMM Program Director (for release involving offenders with sex offenses)
16. Assigned Parole Re-Entry Liaison (only send notice to the PRL for the PD who will be supervising the offender)
17. Warden and/or Deputy Warden of Re-Entry; and
18. Other pertinent staff at the facility level who are involved in tracking, preparing for, or who will need information about the offender's release (i.e. Supervisor of Classification, Re-Entry Coordinator, Health Service Administrator, etc).

The email shall include:

1. Offender Name;
2. Offender DOC#;
3. Offender Location;
4. Special needs to address during transition from the Department to the Community. (Including information about the offender's medical diagnoses, mental health diagnoses, current medications, and/or if medical equipment is needed upon release; and,
5. Placement Needs:

This shall be in a paragraph format and shall include:

- a. A brief synopsis about the placement planning to this point in time;
- b. Whether the offender will be:
 - 1) Released to probation;

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- 2) Released to Parole;
- 3) Released to Community Corrections;
- 4) Released to Community Transition Program; or,
- 5) Released due to reaching Maximum Release Date.

- c. Offender's Release Plan Summary, if one exists;
- d. If no Release Plan Summary exists, the options being pursued; and,
- e. The anticipated supportive services the offender will need in the community (mental health appointment, medical appointment, substance abuse treatment, sex offender treatment, etc.).

L. Military Veteran Offender Releases

- 1. Unit Team staff shall identify offenders who have served in the US Military. If missed at Intake, military involvement can be identified and flagged when completing the Release Review Guide through a facility packet review, review of Offender Flags, or offender self-report.
- 2. Unit Team staff shall assist offenders identified as veterans in obtaining a copy of their DD-214s in cases where copies are not located in the offender's Release Packet. This shall be completed as a step of the Release Review Guide.
- 3. Unit Team shall notify the Parole District Supervisor of the offender veteran's district of release. The Parole District Supervisor or designee shall follow up with the offender veteran after the offender veteran has been released to ensure he/she is aware of veteran resources in the community.

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VII. RE-ENTRY PROCESS-EPRD LESS THAN 180 DAYS:

The following procedures apply to offenders who have less than 180 days to EPRD upon arrival at their initial housing facility.

A. Orientation

The facility orientation shall include information on Case Management and Unit Management processes at the facility. Facility Orientation shall include but is not limited to Sexual Violence Assessment Tool (SVAT), Prison Rape Elimination Act (PREA) Education, Case Management/Unit Team overview, Law Library information, Health Services procedures, etc. Except in unusual circumstances, reception and orientation for offenders transferred from another Department facility shall be completed within seven (7) calendar days after arrival.

All facility admissions and orientation programs shall ensure that information for the purpose and benefit of re-entry services and obtaining release documentation (e.g., birth certificate, Social Security card) prior to release are included as part of the Intake process. Institutional packets and IRIS files shall be reviewed upon arrival to determine what release documents will be needed prior to release ~~in~~. If an offender does not have a birth certificate available to him/her, staff shall work with the offender to apply for the document. If the offender does not have a Social Security card, staff shall apply for the document as soon as the offender is in within one hundred twenty (120) days of release. If an offender does not have a State ID, and meets eligibility criteria, he/she should utilize the BMV site visit prior to release.

B. Indiana Risk Assessment System (IRAS)

All staff in the Unit Team Manager, Casework Manager, Correctional Caseworker, and/or Intake Unit Classification Specialist designations shall become a certified user of IRAS. They shall complete any necessary training to obtain the certification within ninety (90) days of accepting their position and shall maintain the certification as required by Indiana Judicial Center's statewide policy. In the event Case Management staff attempts and fails IRAS certification four (4) times, the facility's Deputy Warden of Re-Entry shall reach out to the Director of Case Management notifying him/her of this situation to discuss next steps.

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Within seven (7) calendar days of receipt of notification of certification, the staff member shall take the necessary steps to become an authorized user of the INcite System by completing and submitting the signed INcite User Agreement (Attachment 1).

A staff member transferring from an agency that uses the IRAS Community Supervision Tool (IRAS-CST), including the Parole Services Division, is not required to recertify on the PIT and SRT unless recommended by supervisory staff at the facility. A new INcite User Agreement must be completed to reflect “IDOC” as the staff person’s current agency in the INcite system.

Scoring documents from the IRAS assessment including the interview guide, offender self-report, and hard copy score sheet do not need to be saved in the offender’s institutional packet. Risk level overrides should go no higher than one risk level and any override shall require documentation in INcite and OCMS. An OCMS note shall be entered listing the reason for and level of override. When appropriate, risk level overrides of more than one risk level shall require supervisor approval and an additional OCMS note entry by the supervisor documenting review of the override.

1. IRAS Prison Intake Tool (IRAS-PIT)

The IRAS-PIT shall be completed per the expectations set forth by the University of Cincinnati and the Indiana Office of Court Services by conducting a face-to-face interview with the offender and ensuring the information in the PIT interview guide is discussed. The IRAS-PIT shall be completed for all adult offenders at the facility level and the results entered into the INcite system within thirty (30) calendar days of his/her arrival from the intake facility. The data from the IRAS-PIT shall be used by Unit Team staff as the foundation for Case Planning and referrals. Offenders shall not be given copies of their assessment.

a. IRAS-PIT: Refusal to participate:

If an offender refuses the IRAS-PIT assessment, no Program referrals shall be made; however, a “refusal” Case Plan shall be generated and an OCMS note entered documenting the offender’s refusal to participate in the Re-Entry process. At this time, the IRAS-Static Tool shall be completed in place of the IRAS-PIT by

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Unit Team staff for the purposes of creating a “refusal” Case Plan. The IRAS-Static Tool is only intended for those offenders who refuse to participate in the assessment process or those who are incapable due to severe mental illness. Offenders who are unwilling to participate in the IRAS-PIT assessment process, shall be offered the opportunity to rescind the refusal at each subsequent mandatory minimum contact. If an offender continues to refuse to participate in the IRAS-PIT assessment, no referrals for programming shall be made. If the offender agrees to participate in the IRAS-PIT assessment, the assessment shall be completed within thirty (30) days by Unit Team staff.

b. IRAS-PIT: Mental Health offenders

If an offender is unable to participate in the IRAS-PIT due to serious mental illness, an OCMS note shall be entered documenting his/her refusal. At this time the IRAS-Static Tool shall be completed in place of the IRAS-PIT by Unit Team staff. The IRAS-Static Tool is only intended for those offenders who refuse to participate in the assessment process or those who are incapable due to severe mental illness. In this instance, a Case Plan shall be generated using the incapable Case Plan type and appropriate referrals and interventions shall be made.

If an offender requiring an IRAS-PIT is received from a prior facility without the assessment on file, Unit Team staff shall complete the assessment.

2. IRAS Re-Entry Tool (IRAS-SRT)

An IRAS-SRT is not required for offenders arriving at their initial housing facility with less than 180 days to EPRD.

C. Release Review

Unit Team staff shall complete the Release Review Guide with each offender within thirty (30) calendar days of the offender’s arrival to the facility. This interview shall be conducted in a manner to answer relevant questions regarding release planning.

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Prior to the interview, Unit Team staff shall review any flags in OIS, relevant Classification information including type of release supervision and CTP eligibility, and any visitation restrictions. A comprehensive Release Review Guide is attached to this policy and administrative procedure (Attachment 4). The Release Review Guide is automated in OCMS notes and questions will be completed through the questionnaire on the notes screen and will populate into notes.

Unit Team staff shall maintain their caseload in OCMS. Any caseload transfer shall be entered in OCMS within seven (7) calendar days.

D. Case Planning

A Case Plan is not required for offenders arriving at their initial housing facility with less than 180 days to EPRD.

E. Program and Course Referrals

1. PMRS Referral Process:

All Program and Course referrals shall be completed in the Program Management Referral System (PMRS) by assigned Case Management staff. All referrals shall be associated with an IRAS domain and a documented need.

Facilities shall designate staff responsible for the timely entry of PMRS data. All PMRS actions including referral, wait list, start date, end date, and completion type shall be completed within five (5) business days of the action's occurrence.

If an offender quits or is terminated from a Program, or refuses a referral to a Program, Unit Team shall complete the referral as enrolled and completed on the same date and enter one of the following completion types:

- a. Client Quit Program;
- b. Client's participation was terminated;
- c. Client Refused the Program;

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- d. Changed Programs;
- e. Client Inappropriate for Services; or,
- f. Re-refer at a Later Date

A review in the Case Plan along with an OCMS note shall be required detailing the circumstances in which an offender quits, his/her participation is terminated, or he/she refuses a program referral.

If an offender who is enrolled in a program quits, participation is terminated (for any reason), or unsuccessfully completes the Program (i.e., does not meet all requirements to successfully complete the program) he/she is ineligible to enroll in any other Program for a period of 180 days from the date that the offender is officially removed. In addition, the facility may determine that the offender is course and/or job ineligible and assign the offender to idle status for a fixed period of time, not to exceed 180 days. Second Chance course are an approved exception to this rule.

F. Personalized Interventions and Service Referrals

All Personalized Interventions and Service Referrals shall be completed in OCMS. Any Activity that an offender participates in shall be documented as a Personalized Intervention. The use of Cognitive Behavioral Tools (BITS and Guides) should also be entered as personalized interventions.

All OCMS Service Referral actions including start date, end date, and completion type shall be entered within five (5) business days of the action's occurrence. Additionally, an OCMS note shall be entered detailing each Service Referral action.

G. Face-to-Face Contacts

Staff shall meet face-to-face with each offender assigned to their caseload, based on each offender's documented overall IRAS risk level. These contacts shall be documented in OCMS notes. Offenders who score an overall Low must have documented face-to-face contact at least once every one hundred and eighty (180) days. Offenders who score an overall Moderate must have documented face-to-face contact at least once every one hundred and twenty (120) days. Offenders who score an overall High or Very High must have documented face-to-face

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contact at least once every ninety (90) days. These meetings may include but are not limited to Case Plan reviews, the discussion of behavioral issues, release needs, programming issues, possible reclassifications, and work release eligibility.

H. Re-Entry Portfolio

The Re-Entry Portfolio for each offender includes originals or copies of program certificates, resumes, birth certificates, Social Security cards, BMV issued ID cards, and other materials to be used in the community and provided to the offender upon release.

Unit Team staff shall collaborate as necessary with Re-Entry and release staff to assist the offender in obtaining any necessary documentation for the Re-Entry Portfolio. If a Re-Entry Portfolio has not been created at the time of the offender's arrival at the facility, designated staff shall create a Re-Entry Portfolio using the Re-Entry Portfolio Face Sheet (Attachment 2).

Any offender required to register as a sex offender after release is mandated to obtain a state identification card. Unit Team Re-Entry staff shall make every effort to assist the offender in obtaining this document prior to release. Any offender who is required by law to register as a sex offender and refuses a state identification card can receive a written conduct at the discretion of the facility. Offender's refusal's to be referred to see the mobile BMV in order to obtain an identification card should be documented in an OCMS note.

I. CTP

Sixty (60) days prior to the offender's CTP commencement date, Unit Team staff shall ~~create~~ ensure a Progress Report is approved for the court; an IRAS-SRT is not required. When a request for the CTP Progress report is sent by the facility's Re-Entry Monitor, the Progress Report shall be completed within five (5) business days of the request. Unit Team staff shall notify their supervisor that the Progress Report has been completed. The supervisor shall review and lock the Progress Report in OCMS. Unit Team staff shall verify that placement has been entered. If not yet entered, staff shall enter the placement and submit the placement investigation request to parole if necessary.

J. Placement

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When entering placements, a primary and an alternate address is required regardless of the type of release supervision. If only one (1) address is available, Unit Team staff shall review the offender's packet, visitation list, telephone list, money donors, prior placements, and OCMS placement notes to ensure all efforts have been exhausted. All efforts to locate an alternate placement and the reason for not entering an alternate placement shall be documented in OCMS.

Prior to entering placements and submitting placement investigation requests (i.e. parole), Unit Team staff shall:

1. Research prior placement denials to determine suitability for current placement.
2. Verify placement as an actual residence by researching the address through a mapping program, such as Google Earth. The mapping program will provide verification that the location is a valid housing location, and in the case of a sex offender, provide a visual of the area to determine whether schools or parks are nearby.
3. Call to confirm the placement with the sponsor; making sure to confirm the address and ensure the sponsor is willing to house the offender. Staff is not to ask specific parole or sex offender-related questions when contacting the sponsor, other than to verify there are no firearms in the residence. Exception, staff shall not contact a shelter for the purpose of verifying placement.
4. If placement is a shelter, a halfway house, a mission, or Parole Assist, Unit Team staff shall ensure all placement options are exhausted and documented prior to those placements being entered.
5. If a shelter is the only viable placement option, only one shelter shall be entered in OCMS. This is an exception to the two (2) placement option requirement.
6. Staff may not use abbreviations for city names when entering placement.
7. All previous steps in the above process shall be thoroughly documented in the OCMS notes.

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Placements entered while the offender is housed at an intake facility should still follow the process above for verification of geographic location and sponsor approval to reside at that residence.

1. Parole Release

If a Parole release, both addresses shall require a request for investigation. Placements and requests for Parole Placement Investigations shall be submitted in OCMS one hundred and eighty (180) days prior to the offender's release or sixty (60) days prior to the offender's CTP commencement date, whichever occurs first. At this time, staff should verify that the offender's parole packet information is in IRIS. If the information has been uploaded, the placement may be submitted for investigation. If the information has not been uploaded, the parole packet shall be sent to the parole district office prior to requesting the placement investigation in OCMS.

2. Probation Release

If a Probation release, the placement screen's sponsor field shall identify which placement is the primary and which placement is the alternate address.

3. Dual Supervision

If an offender will be released on dual supervision, only a primary and alternative parole placement entry is required.

4. Discharge

A primary and an alternate address is required.

5. Interstate Compact Placement

When entering an Interstate Compact placement, the out-of-state placement is always entered as the alternate placement. An accompanying primary placement in Indiana must also be entered in OCMS. Interstate Compact placements shall be entered in OCMS at 180 days to EPRD and ICOTS action shall be initiated at 120 days prior to EPRD.

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6. DOC Assist for Sex Offenders:

If the process for DOC Assist for Sex Offenders has not been initiated, Unit Team staff shall initiate the process immediately. OCMS notes documenting all DOC Assist actions shall be entered within (2) two business days of occurrence and shall include details of each interaction.

At a minimum, the following steps shall be followed:

- a. The offender and Unit Team shall discuss all possible placements where the offender may reside and the Unit Team shall exhaust all possible placements and document in notes before determining that the offender shall need a DOC Assist placement;
- b. In exhausting all possible placements, staff and the offender shall consider contacting those on the offender's visitation list, phone list, other family members and any other persons listed in the Pre-Sentence Investigation report (PSI) who may be able to provide the offender with a residence;
- c. Unit Team, or facility assigned designees, shall complete a records check for wanting authorities, offender flags, placement history, and Trust Fund balance. Offender with Trust Fund balances equal to, or greater than, two hundred dollars (\$200) shall be considered self-pay. In these cases, Unit Team staff shall coordinate with Parole staff to determine available community resources for offender self-pay;
- d. Unit Team shall contact the supervising Parole District Supervisor to inform of the placement concerns and the possible need for a DOC Assist placement for the offender;
- e. Once all placement options have been exhausted and documented in notes, the offender shall be required to sign the DOC Assist Agreement (Attachment 3) and abide by its conditions. Offender shall be notified that failure to abide by the conditions may result in disciplinary action being taken against the offender;

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- f. Unit Team staff shall ensure that the offender’s Trust Fund account is frozen once the DOC Assist Agreement has been signed by the offender or once it has been determined that the offender will be self-pay;
- g. Unit Team staff shall forward the DOC Assist Agreement via email to the SOMM Program Director, the Re-Entry Monitors, the Executive Director of Re-Entry and Medicaid, the Parole District Supervisor, the Parole Agent, if known, and the Unit Team Manager; and,
- h. Throughout the process, the offender, the Parole Agent and Unit Team staff shall collaborate to obtain and verify a suitable non-DOC Assist placement for the offender. If such a placement is found, the offender shall be denied the “DOC Assist” placement.

K. Progress Reports

Offenders who arrive at their initial housing facility with less than 180 days to EPRD shall not have a Progress Report prepared unless one is necessary for CTP or one is requested by the court or a criminal justice partner agency. If one is determined necessary, staff shall review the Progress Report section under Section VI. Requests for Progress Reports cannot be made via telephone, they must be in written format.

L. Release

Unit Team staff shall collaborate with multiple divisions, specifically Classification and Pre-Release to prepare the offender population for release. Within thirty (30) days of arrival at the facility, Unit Team staff shall ensure placement is entered. Sixty (60) days prior to the offender’s EPRD, Unit Team staff shall ensure placement is approved and follow up on outstanding issues identified in the Release Review Guide.

M. Vital Documents:

- 1. Birth Certificates: Can be applied for at any time during the offender’s incarceration. Should not be applied for under 60 days from EPRD.

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2. DD214 Report of Separation: Can be applied for at any time during the offender's incarceration. Should not be applied for under 60 days from EPRD.
3. Social Security Cards: Can be applied for at 120 days from EPRD. Should not be applied for earlier than 120 days or under 60 days from EPRD.
4. State Identification Cards: Offenders should be referred to see the mobile BMV during scheduled site visits when they are 365 days from EPRD.

Any offender required to register as a sex offender after release is mandated to obtain a state identification card. Unit Team Re-Entry staff shall make every effort to assist the offender in obtaining this document prior to release. Any offender who is required by law to register as a sex offender and refuses a state identification card can receive a written conduct at the discretion of the facility. Offender's refusals to be referred to see the mobile BMV in order to obtain an identification card should be documented in an OCMS note.

If an offender is transferred to another facility or is released from the Department without possession of vital documents such documents shall be delivered to Central Office Re-Entry Services at 302 W. Washington RM 334 Indianapolis, IN 46204.

In the event of an offender death, vital documents must be received at Central Office location within ten (10) business days of date of death.

N. Special Needs Offender Releases

An offender with special needs is considered to be an offender who has been diagnosed with mental or physical health issues that significantly impact the offender's ability to perform normal activities of daily living. These offenders may include offenders with: mental illness, emotional impairments, organic brain syndrome, mental retardation, or physical impairments that seriously impact the offender's mobility. These offenders may have placement-related issues due to their medical/mental health issues.

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Additionally, offenders who require injectable medications, durable medical equipment, assisted living, extensive nursing care, extensive mental health services, or civil commitment may be considered a special needs offender.

If staff at the intake unit has not already done so, Unit Team staff shall identify the special needs offender upon arrival at the initial housing facility and notify the following staff of the offender's name, DOC#, and housing location via secure (encrypted) email:

1. Director of Case Management;
2. Assigned Re-Entry Monitor;
3. Chief Medical Officer;
4. Executive Director of Behavioral Health Services;
5. Executive Director of Physical Health Services;
6. Executive Director of Addiction Recovery Services (for releases involving offenders with special addiction recovery treatment needs);
7. Director of Transitional Care
8. Director of Mental Health Services;
9. Quality Assurance Monitor, Addiction Recovery and Behavioral Health
10. Contracted Medical Provider Regional Director of Re-Entry
11. Contracted Medical Provider Regional Mental Health Director
12. Contracted Medical Provider Regional Psychiatric Director
13. Contracted Medical Provider Regional Medical Director
14. Parole District Supervisor (only send notice to the PD supervisor for the PD who will be supervising the offender)
15. SOMM Program Director (for release involving offenders with sex offenses)
16. Assigned Parole Re-Entry Liaison (only send notice to the PRL for the PD who will be supervising the offender)
17. Warden and/or Deputy Warden of Re-Entry; and
18. Other pertinent staff at the facility level who are involved in tracking, preparing for, or who will need information about the offender's release (i.e. Supervisor of Classification, Re-Entry Coordinator, Health Service Administrator, etc).

The email shall include:

1. Offender Name;
2. Offender DOC#;

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3. Offender Location;
4. Special needs to address during transition from the Department to the Community. (Including information about the offender's medical diagnoses, mental health diagnoses, current medications, and/or if medical equipment is needed upon release; and,
5. Placement Needs:

This shall be in a paragraph format and shall include:

- a. A brief synopsis about the placement planning to this point in time;
- b. Whether the offender will be:
 - 1) Released to probation;
 - 2) Released to Parole;
 - 3) Released to Community Corrections;
 - 4) Released to Community Transition Program; or,
 - 5) Released due to reaching Maximum Release Date.
- c. Offender's Release Plan Summary, if one exists;
- d. If no Release Plan Summary exists, the options being pursued; and,
- e. The anticipated supportive services the offender will need in the community (mental health appointment, medical appointment, substance abuse treatment, sex offender treatment, etc.).

O. Military Veteran Offender Releases

1. Unit Team staff shall identify offenders who have served in the US Military. If missed at Intake, military involvement can be identified and flagged when completing the Release Review Guide through a facility packet review, review of Offender Flags, or offender self-report.
2. Unit Team staff shall assist offenders identified as veterans in obtaining a copy of their DD-214s in cases where copies are not located in the

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offender's Release Packet. This shall be completed as a step of the Release Review Guide.

3. Unit Team shall notify the Parole District Supervisor of the offender veteran's district of release. The Parole District Supervisor or designee shall follow up with the offender veteran after the offender veteran has been released to ensure the offender veteran is receiving appropriate care in the community.

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VIII. RE-ENTRY PROCESS FOR PAROLE VIOLATORS AND SAFE KEEPERS:

A. Parole Violators:

Until disposition from the Parole Board is determined, Case Management for parole violators shall be limited to ensuring that the offender’s day-to-day needs are met. All significant interactions with the parole violator shall be documented in OCMS notes.

If the offender is remanded, the Re-Entry process shall be determined by length of time to EPRD.

B. Safekeepers:

Safekeepers shall be managed in the same manner as Parole Violators, with only day-to-day needs being addressed. All significant interactions with safekeepers shall be documented in OCMS notes. Safekeepers are not eligible for Earned Credit Time.

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IX. QUALITY ASSURANCE:

A. Training

Training in this policy and administrative procedure shall be provided to every new Unit Team employee in accordance with Policy and Administrative Procedure 01-05-101, “Staff Development and Training.” Additional related training shall be provided as necessary.

B. Case Load Assessments

Continuous Quality Improvement (CQI) is a philosophical approach that makes certain best practices are being implemented within case management process. CQI is built on a partnership between staff and supervisor. This best practice provides ongoing collaboration and support to holding quality as central quality

CQI encompasses an assessment and an audit portion for each staff member. Supervisors shall conduct one (1) case load assessment on each of their direct reports with documented coaching feedback. This feedback will be specific to the individual in regards to skill set, mastery of skills, and succession planning.

Supervisors shall assess five (5) offenders for the continued quality improvement assessment, five (5) for the intake process, and ten (10) for the release audit process. The use of the same offender twice for any portion of the assessment shall be avoided. For the 5 CQI offenders, the supervisor can choose to assess in different areas based on staff needs.

Staff shall not receive a numeric score on any of the CQI portion of the assessment. Each performance measure is its own entity that shall focus on future improvement, successes, or what/can will be done to continue strengthening skills. The results should provide a goal orientated plan for future success.

Staff shall receive a numeric score on the audit portion of the assessment. Once the audit has been conducted, supervisors shall provide their staff with the findings, including positive reinforcement and recommendations for score improvement as needed.

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The caseload CQI assessment shall not be considered for the purposes of performance appraisals. CQI coaching and mentoring shall be included in the work profile of every Case Manager and Unit Team Manager.

The facility assessment forms shall be provided to the Deputy Warden of Re-Entry by the Director of Case Management. Updates shall be distrusted as necessary.

C. Deadlines:

All assessment paperwork is due by the tenth (10th) of the month following the end of the assessment period (i.e. assessment period ends in September, the paperwork shall be due October 10th).

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X. PRE-RELEASE AND RE-ENTRY PROGRAMMING:

A. Establishment of Pre-Release Course:

The Commissioner shall establish a Pre-Release Course for all offenders who will be released from an adult Department facility. The Pre-Release Course shall be guided by evidence-based correctional practices and designed to address offender needs that include, but are not limited to:

1. Substance abuse education;
2. Living skills;
3. Family dynamics;
4. Educational advancement;
5. Community resources identification; and,
6. Job search training/Workforce Readiness

Wardens shall designate an employee (with notification to the Director of Case Management) to serve as the Re-Entry Coordinator for their respective facility.

The Re-Entry Coordinator shall have oversight of the Pre-Release Course to ensure that curriculum/workshops are delivered to all releasing offenders. Refusal of an offender to participate in the Pre-Release Course may result in disciplinary action, which does not preclude the offender from completing Pre-Release requirements.

The Director of Case Management, and/or designee, shall assist facilities with the Pre-Release Course and shall review the overall operation of the workshops, including monthly reports and annual quality assurance.

A facility directive shall be developed by each facility regarding the Pre-Release Course. The facility directive shall include:

1. Information regarding how and when the Pre-Release Course is offered at the facility;
2. The Core and Elective Pre-Release Workshops delivered to the offender population;
3. The specific housing units eligible for TIPS according to policy; and,
4. Any additional information deemed necessary to present a clear understanding of the Pre-Release Course at the facility.

B. Duties and Responsibilities of the Re-Entry Coordinator:

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The Re-Entry Coordinator shall be responsible for ensuring the Pre-Release Course and its requirements are completed by all releasing offender through referring and assigning offenders to appropriate workshops, coordinating and overseeing the instruction of workshops, recruiting and managing guest speakers, completing required paperwork, working in partnerships with Case Management, and communicating to Director of Case Management Readiness and/or designee any questions or concerns regarding the implementation of Pre-Release at the facility.

The specific duties and responsibilities of the Re-Entry Coordinator include one, but are not limited to:

1. Assist the Warden with the development of Pre-Release;
2. Quarterly attend one Unit Team meeting.
3. Evaluate offenders to ensure they are assigned appropriately per policy expectations;
4. Coordinate the delivery of Core and Elective workshops;
5. Organize and oversee the delivery and presentation of approved curriculum for Core Workshops;
6. Establish and maintain partnerships with community resources for the purpose of using subject matter experts as guest speakers;
7. Determine which Elective Workshops offenders may receive based on their risks/needs as assessed with the IRAS Supplemental Re-Entry Tool (IRAS-SRT), as well as offender interest;
8. Ensure offenders are made aware of workshops to attend in accordance with this policy and administrative procedure;
9. Plan and prepare, at minimum, one Re-entry Simulation per year.
10. Coordinate/update/organize a facility resource center for offenders.
11. Complete a monthly report on Pre-Release Course as dictated in Section VIII, "Monthly Reports;"
12. Assist in the annual quality assurance of the Pre-Release Course;

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13. Apply for the Offender Workforce Development Specialist (OWDS) certification training within twelve (12) months of assuming responsibilities as the Re-Entry Coordinator; and,

14. Other duties as assigned.

C. Successful Transition and Re-Entry training (START):

START is a Pre-Release Course that consists of six (6) Core Workshops that adhere to Indiana Code 11-13-8-3. START further consists of Elective Workshops that are intended to meet additional needs that offenders may have. Workshops serve several interrelated purposes:

- To provide a structure for the effective learning of key concepts/information and development of related skills.
- To address risk factors related to recidivism, as well as responsivity factors related to offenders' ability to integrate back into society.
- To ensure appropriate referrals can be made to probation, parole, or other community providers.
- To provide offenders with reference material upon release.
- To make every effort in assisting with/providing workshops for those offenders that have been consecutively incarcerated for more than ten (10) years.

1. Core Workshops

Core workshops are mandatory for all eligible offenders. These workshops consist of approved curriculum (totaling a minimum of eighteen [18] hours) and must be facilitated by either Department staff or approved guest speakers (subsection G, "Community Resources"). The "Pre-Release Referral" Form must be completed in order to assign offender to Core Workshops (Section VIII, "Assignment to and Completion of Pre-Release Courses").

- a. Orientation (1 hour)
- b. Education and Workforce Readiness (8 hours)

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- c. Living Skills (3 hours)
- d. Family Dynamics (1 hour)
- e. Substance Abuse Education (1 hour)
- f. Community Resources (2 hours)
- g. Electives (2 hours)

2. Elective Workshops

Offenders must complete a minimum of two (2) Elective Workshops based on domain scores and responsivity concerns documented on the IRAS Supplemental Re-Entry Tool (SRT). The “Pre-Release Referral Form” must be completed in order to assign offenders to Elective Workshops (see subsection E, “Assignment, Eligibility, and Completion of Pre-Release Courses”). Offenders shall have the opportunity to choose additional Elective Workshops as they are available. Elective Workshops are developed and facilitated at the discretion of the Re-Entry Coordinator, and may include but are not limited to: Advanced Banking and Budgeting, Anger Management, Domestic Violence, Managing Mental Illness, Navigating Veterans Affairs, Parenting, Re-Entry Simulation (must be followed by a stress management debriefing workshop), and Surviving Trauma.

D. Transitional Information Packet Services (TIPS):

TIPS is a self-study Pre-Release Course that consists only of the six (6) topics covered in the Core Workshops. The “Pre-Release Referral Form” must be completed in order to assign eligible offenders to TIPS (see Section VII, “Assignment, Eligibility, and Completion of Pre-Release Courses”).

E. Assignment, Eligibility, and Completion of the Pre-Release Course:

Offenders shall be referred to Pre-Release by their assigned Caseworker at least one hundred eighty (180) calendar days prior to release from the Department or at the time a Community Transition Program (CTP) progress report is created, whichever occurs first. The assigned Caseworker shall add a general note titled, “Pre-Release Referral Note” into OCMS with the necessary information for the Re-Entry Coordinator to complete the “Pre-Release Referral Form.”

An offender with active warrants or detainers is eligible for participation in the Pre-Release Course. An offender who has returned to the Department as a “Parole Violator” is not required to complete the Pre-Release Course so long as it was completed during his/her incarceration period prior to

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violation. Should he/she desire to complete the Pre-Release Course again, the Re-Entry Coordinator shall enroll him/her appropriately.

Offenders who are unable to read/write for the purposes of participation in the Pre-Release Course, shall be aided by clerks or tutors for the purposes of obtaining the necessary Pre-Release information. Offenders whose primary language is not English and who are assigned to START shall be aided by clerks or tutors who serve as translators. If no translator is available, the Re-Entry Coordinator shall contact the Director of Case Management or designee for assistance.

The Re-Entry Coordinator shall ensure each offender is evaluated and assigned to the appropriate Pre-Release Course:

1. Offenders eligible for TIPS must meet the following criteria:
 - a. Does not meet the minimum time requirement required to participate in START;
 - b. The offender is housed in a specialized housing unit/facility such as an intake facility, administrative restrictive status housing unit, disciplinary restrictive status housing unit, or a special needs unit.
 - c. The offender will be extradited to serve federal or state time in a state other than Indiana following his/her release from Department custody; and/or,
 - d. The offender has been identified by ICE (Immigration and Customs Enforcement) for transport following his/her release from Department custody.

2. Offender Eligible for START:

START offenders include those who meet the minimum time requirement and are not housed in intake facilities, administrative restrictive status housing, disciplinary restrictive status housing, or a special needs unit.

3. START Refusal

Offenders who refuse Pre-Release can receive disciplinary action, A116, "Refusing A Mandatory Program," as a result of their refusal.

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For those facilities who elect to impose disciplinary action, this does not preclude the offender from participation in START. When applicable, the offender’s participation may be waived by the Warden due to safety/security concerns.

4. Offenders Assigned to TIPS

The Re-Entry Coordinator shall enroll eligible offenders into OCMS through PMRS, complete the “Pre-Release Referral Form,” and maintain a copy for quality assurance purposes. These copies may be maintained electronically in a facility shared drive. Offenders must be provided with the required self-study materials. Prior to release, offenders shall have the opportunity to request additional meetings with the Re-Entry Coordinator to discuss information related to TIPS. Once offenders have completed TIPS, the Re-Entry Coordinator shall update the “Pre-Release Referral Form,” close out the Pre-Release referral in PMRS.

5. Offenders Assigned to START:

The Re-Entry Coordinator shall enroll eligible offenders into OCMS through PMRS, complete the Pre-Release Referral Form, and maintain a copy for quality assurance purposes. Core Workshops are mandatory for every offender participating in START. Offenders must also complete a minimum of two (2) Elective Workshops. These two (2) Elective Workshops shall be based on the needs of each offender as documented by domain scores and responsivity concerns on the IRAS-SRT. To make such determinations, the Re-Entry Coordinator must complete the appropriate sections of the Pre-Release Referral Form. In addition, offenders shall have the opportunity to choose additional Elective Workshops as they are available. Every effort shall be made to retain offenders in START until completion.

Where, when, how often, and length of assignment (i.e., full or half day) for Core and Elective Workshops is at the discretion of the Re-Entry Coordinator.

Once offenders have completed the Core and Elective Workshops, the Re-Entry Coordinator shall update the Pre-Release Referral Form, maintain a copy for quality assurance purposes, and close out the Pre-Release referral in PMRS. The copies may be maintained electronically in a facility shared drive.

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F. Offender Wages:

Offenders assigned to the Pre-Release Course shall be paid at the rate indicated in Policy and Administrative Procedure 02-01-106, "Offender Work Assignments and Pay Schedules."

G. Use of Community Resources:

For the facilitation of the Pre-Release Course, the Re-Entry Coordinator shall attempt to maximize the use of community resources. Community resource refers to an organization, individual, educational institution, and/or club that is or will be a source of support for a facility.

Guest speakers may facilitate Core Workshops but must be established as "subject matter experts" and approved by the Director of Case Management or designee in order to ensure offenders are receiving credible instruction. Where guest speakers are approved for Core Workshops, the development and delivery of information is at their professional discretion but must be relevant to the topic, enhance the approved curriculum, and meet the needs of the assigned offenders. Guest speakers may facilitate either part of or the entirety of Core Workshops, depending on their area of expertise and how it fits into the approved curriculum. The Re-Entry Coordinator is ultimately responsible for the oversight of guest speakers and the information, curriculum, and/or other materials that are used.

Indiana Department of Correction speakers include, but are not be limited to, Addiction Recovery, HIRE, and Parole. Speakers shall present only on their area of expertise in each START class.

The use of community resources shall be consistent with the safety and security of the facility. In addition to the approval of guest speakers, the Re-Entry Coordinator shall work with the facility's Community Involvement Coordinator to ensure individuals are processed in accordance with Policy and Administrative Procedure 01-03-103, "The Development and Delivery of Community Involvement Program."

H. Monthly and Annual Reporting:

The Re-Entry Coordinator shall complete the standardized monthly report and include all requested information, including any comments relevant to the Pre-Release Courses. The monthly report shall be forwarded to the Director of Case Management and/or designee by the tenth (10th) day of the

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following month. The Re-Entry Coordinator must maintain a copy of each monthly report for up to twelve (12) months from the last date of the month.

The Director of Case Management shall develop a standardized format for monthly reports, which includes the number of offenders participating in Pre-Release Courses, types of Elective Workshops being delivered, when Core and Elective Workshops are being facilitated, as well as any other information deemed necessary. The Director of Case Management and/or designee shall compile the information provided in the facilities' monthly reports into a Department report.

Prior to January 1st of each year, the Director of Case Management and/or designee shall prepare an annual report indicating the total number of offenders participating in Pre-Release Courses, the types of Core and Elective Workshops in which the offenders participated, any changes in START curriculum, as well as any other information deemed necessary. The Director of Case Management shall submit the report to the Executive Director of Programs and Re-Entry Readiness and the Deputy Commissioner of Re-Entry for review and approval. Once the report has been reviewed and approved, the Commissioner shall prepare a cover memorandum and submit a copy of the report to the General Assembly by January first (1st) of each year.

I. Quality Assurance:

Prior to December each year, annual quality assurance shall be completed by the Director of Case Management and/or designee for the Pre-Release Course at each facility. Quality assurance consists of documentation reviews and workshop observations that reflect the major components of the Pre-Release Course, as well as ensure the facilitation of START and TIPS is guided by evidence-based practices and adheres to this policy and administrative procedure. Quality assurance shall further be used to determine any necessary improvements in the Pre-Release Course.

The Director of Case Management and/or designee shall establish a quality assurance schedule for the review of documentation at each facility. The facilities shall be advised of the schedule at least thirty (30) business days in advance so the necessary information is made available for the reviewers. The Re-Entry Coordinator shall be responsible for ensuring copies of the required documentation are maintained for at least one (1) calendar year. This can be maintained through paper copy or electronically. Workshop observations shall be conducted on a random basis and to ensure adherence

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to Core Workshop curriculum expectations, as well as the policy and administrative procedure governing use of community resources.

The Director of Case Management and/or designee reserves the right to develop and oversee remedial action planning, in conjunction with facility administration, for facilities in need of additional support to meet Pre-Release quality assurance requirements.

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XI. APPLICABILITY:

This policy and administrative procedure is applicable to all Department facilities, including Parole District Offices, housing or supervising adult offenders.

signature on file
Robert E. Carter, Jr.
Commissioner

Date