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Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Replaces
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	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	01-07-101 (Eff. Date 1-1-2020 / ED # 19-72)

**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 individuals committed to the Department of Correction.

**II. POLICY:**

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

The Department recognizes the need for a Case Management approach to help prepare the incarcerated individual 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 incarcerated individual. Case Management targets a reduction in recidivism through the formulation and implementation of an individualized Case Plan driven by each incarcerated individual's criminogenic needs. Case Management in a correctional environment is utilized for the following purposes:

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- To provide effective evidence-based programs, courses, activities, and services to address the criminogenic needs of each incarcerated individual;
- To increase the incarcerated individual’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 incarcerated individual 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 individuals incarcerated will be released into the community. These individuals 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 individuals be provided certain programming and information. To do this, the Department shall develop and operate pre-release programming for all incarcerated adults who shall be released into the community. This programming is intended to provide them 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. **AUDIT:** The on-site verification activity such as an inspection or examination of a process or quality system, to ensure compliance to requirements.
- C. **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.
- D. **CASE MANAGEMENT:** The process of identifying and assessing the incarcerated individual's risk and needs, developing a Case Plan, linking the incarcerated individual to appropriate services, monitoring progress, advocating for and holding the incarcerated individual 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.
- E. **CASEWORK MANAGER (CWM3):** A member of Unit Team that acts as the initial point of contact for day-to-day incarcerated individual issues in the unit, coordinates Case Management matters and facilitates incarcerated individual access to programs and services, works with incarcerated individuals to create Case Plans, and assists in preparing the incarcerated individual for release. The CWM3 may be responsible for the supervision of Correctional Caseworkers, maintain an incarcerated individual caseload, and conduct Continuous Quality Improvement (CQI) assessments as determined by the facility.
- F. **CASE PLAN:** A formal document that integrates information from multiple sources including the Indiana Risk Assessment System (IRAS) to strategically address incarcerated individual needs by identifying goals and assigning SMART, personalized interventions.
- G. **CASE PLAN CREDIT TIME (CPCT) ABBREVIATED REVIEW:** If all three of the incarcerated individual's reviews fall within 90 days. All paperwork would be

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valid for 90 days thus review paperwork from the first full review would serve as documentation for the subsequent reviews, unless staff or the incarcerated individual reported significant change.

- H. CASE PLAN CREDIT TIME ANALYST: Reviews all CPCT packets submitted from assigned facilities, ensures that all reviews are conducted with an unbiased opinion for either approval or denial based on the case plan documents and IDOC Policy and Procedures, and forwards completed CPCT packets to Classification Department for completion.
- I. CASE PLAN CREDIT TIME (CPCT). An earned credit time cut structure that is driven by compliance with interventions, programming, activities, services and/or referrals based on the needs which are indicated in the IRAS and addressed through the individualized case plans to provide each individual opportunity to make progress and earn credit time, as allowed by law.
- J. CASE PLAN CREDIT TIME (CPCT) Packet: A series of forms required to submit an incarcerated individual 's review for credit time. Forms to be uploaded in the following order: Scoring Tool, Case Plan, Conduct (if applicable), Incarcerated individual Performance Evaluation SF3380 (utilized for work, education, and/or programming if applicable), Idle SF57130
- K. CLASSIFICATION: The process used by the Department to divide incarcerated individuals into subgroups with the goal of placing each incarcerated individual in an environment that meet his/her appropriate security level and is consistent with the risk and needs of the incarcerated individual.
- L. 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)
- M. COMMUNITY TRANSITION PROGRAM (CTP): A court supervised program that an incarcerated individual, at the discretion of the sentencing court, may participate in prior to the incarcerated individual's earliest possible release date.
- O. CONTINUOUS QUALITY IMPROVEMENT (CQI): A "best practice" management philosophy that is ongoing in nature and examines processes to identify, analyze, and improving outcomes for service recipients as well as organizational performance. It involves a structured approach to problem-solving, data collection, and analysis to implement changes and enhance the quality of

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work and promote better outcomes It looks at effectiveness and efficiency at all levels as well as responsivity, flexibility, and timeliness. CQI provides a framework for organizations to aim for and a way to quantify and document qualitative work in the social services field. It encourages collaboration among team members and focuses on improvements in the processes involved and skills of practitioners using both assessments and coaching.

- P. CORRECTIONAL CASEWORKER (CCW4): A member of Unit Team that acts as the initial point of contact for day to day incarcerated individual issues in the unit, coordinates Case Management matters, facilitates incarcerated individual access to programs and services, works with incarcerated individual to create Case Plans, and assists in preparing the incarcerated individual for release and the Re-Entry process.
- Q. 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.
- R. 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.
- S. 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.
- T. DELTA: The single source system of record for incarcerated individuals’ data.
- U. DEPUTY WARDEN OF RE-ENTRY (DWR): The Deputy Warden of a facility who supervises and manages the Unit Team Managers, programs, and services.
- V. DIRECTOR OF CASE MANAGEMENT: The position responsible for planning and directing the areas of Case Management, Programming, and the Department’s Pre-Release Course.
- W. DISCHARGE: The final unconditional release of an incarcerated individual from the jurisdiction of the Department.
- X. DRIVER’S LICENSE TEST: Test administered by the Indiana Bureau of Motor Vehicles which is required to obtain a driver’s license.

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- Y. DOC ASSIST: The assistance provided by Parole staff in securing a home placement for sex incarcerated individuals that is secured by financial assistance provided by the Department.
- Z. EARLIEST POSSIBLE RELEASE DATE (EPRD): The date on which an incarcerated individual 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 incarcerated individual must serve; (3) credit time which the incarcerated individual has earned prior to sentencing; and, (4) the maximum amount of credit time which the incarcerated individual would earn if the incarcerated individual remained in the current credit class during the period of confinement.
- AA. 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 incarcerated individual outcomes.
- BB. EXECUTIVE DIRECTOR OF PROGRAMS AND RE-ENTRY READINESS: The position responsible for direction and oversight of the Department's Programming, and Hoosier Initiative for Re-Entry (HIRE).
- CC. 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.
- DD. IDOC RECORDS MANAGEMENT SYSTEM (IRIS): The electronic storage system used by the Department for the storing and maintenance of incarcerated individual records.
- EE. 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.
- FF. INTERVENTION. Any action taken by staff in creating/updating/editing the case plan designed or intended to intervene or interrupt in the actions, lives, events of an incarcerated individual; introduce the possibility of change; in some way attempt to help or improve a situation or problem that the incarcerated individual is or will experience; modify the incarcerated individual life, options,

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or outcomes; or assist the incarcerated individual in some other manner. This may include but is not limited to referrals, programming, courses, activities, Carey Bits and/or Guides, journaling, planning exercises, transitional behaviors, precontemplation exercises, and/or removing barriers or increasing access to services or opportunities. Because interventions are individualized and responsive to personalized circumstances something that meets the criteria of an intervention for one incarcerated individual may not be an intervention for another incarcerated individual.

- GG. INDIANA COURT INFORMATION TECHNOLOGY EXTRANET (INcite): A web-based application used to score and store the Indiana Risk Assessment System. INcite is managed by the Judicial Technology and Automation Committee (JTAC).
- HH. 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 incarcerated individual’s criminogenic needs and risk to reoffend.
- II. INDIANA RISK ASSESSMENT SYSTEM PRISON INTAKE TOOL (IRAS-PIT): An assessment tool to be used during an incarcerated individual’s entry into the Department.
- JJ. INDIANA RISK ASSESSMENT SYSTEM PRISON SUPPLEMENTAL RE-ENTRY TOOL (IRAS-SRT): An assessment tool designed to reassess an incarcerated individual’s risk to reincarcerated individual prior to his/her release from the Department.
- KK. INDIANA RISK ASSESSMENT SYSTEM PRISON STATIC TOOL (IRAS-ST): An assessment instrument designed to be used for incarcerated individuals who refuse to participate in the assessment process, or those who are incapable due to severe mental illness.
- LL. INTAKE UNIT: A unit designated by the Commissioner to receive incarcerated individuals from a court for diagnostic and classification purposes.
- MM. NEEDS: Those static (cannot be changed) and dynamic (can be changed) risk factors closely associated with an individual’s criminal behavior.

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- NN. PAROLE: The administrative conditional release of an incarcerated individual from a facility prior to the expiration of his/her sentence.
- OO. PAROLE ASSIST: The assistance provided by Parole staff in securing a shelter or other placement for incarcerated individuals with no placement options.
- PP. PAROLE SERVICES: The division of the Department that supervises incarcerated individuals released from a facility to Parole supervision.
- QQ. PAROLE VIOLATOR: An incarcerated individual who has been found by the Indiana Parole Board to have violated one (1) or more conditions of Parole.
- RR. PROBATION: A conditional release ordered by a court allowing an incarcerated individual to serve a portion of his/her sentence under the supervision of a probation officer in lieu of incarceration.
- SS. 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.
- TT. PROGRESS REPORT: The document prepared by Unit Team for distribution upon request to government agencies and other organizations providing a lawful service to incarcerated individuals during the period of incarceration or upon release to the community.
- UU. QUALITY ASSURANCE: The maintenance of a desired level of quality in the Case Management services or processes, especially by means of attention to every stage of delivery or production. This will encompass a CQI process and Audit portion for each Case Management employee.
- VV. 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..
- WW. 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, and programs throughout the Department.



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- XX. RE-ENTRY PORTFOLIO: A folder of information and documents compiled by staff for each incarcerated individual 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 incarcerated individual upon release.
- YY. SAFEKEEPER: An incarcerated individual whom a court has determined cannot be managed in a local facility and has ordered the incarcerated individual to the Department prior to sentencing.
- ZZ. SENTENCE COMPUTATION AND RELEASE SECTION: A section within the Division of Classification in Central Office that assures accurate and timely computation of incarcerated individual sentences and provides for the on-time release of incarcerated individuals to the appropriate community supervision.
- AAA. SMART GOALS. Goals used with Incarcerated Individuals on Case Plans, in Re-entry Class and during other aspects of the Case Management Process that are specific, measurable, attainable, relevant, and time based.
- BBB. 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.
- CCC. SPECIAL NEEDS INCARCERATED INDIVIDUAL: An incarcerated individual who has been diagnosed with mental health or physical health issues that significantly impact the incarcerated individual's ability to perform normal activities of daily living.
- DDD. STATE IDENTIFICATION CARD: A secure form of identification which would include a name, date of birth, address, and a state identification number.
- EEE. SUCCESSFUL TRANSITION AND RE-ENTRY TRAINING (START): A set of Core workshops making up the Pre-Release Course which adheres to Indiana Code 11-13-8-3 and educates all adult incarcerated individuals with the necessary information, skills, and resources for the purposes of Re-Entry.
- FFF. SUPERVISOR OF CLASSIFICATION: The facility staff person who works with Unit Team to render the final decision on all incarcerated individual Classification activities within a facility.

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- GGG. TRANSITIONAL HEALTHCARE DEPARTMENT (THD): A section within the Health Services Division of the Indiana Department of Correction that specializes in coordination and continuum of health care when an incarcerated individual enters and is released from the Department.
- HHH. TRANSITIONAL INFORMATION PACKET SERVICES (TIPS): A modified version of workshops used in the Pre-Release Course that provides incarcerated individuals not eligible for START with information and resources necessary for Re-Entry.
- III. UNIT TEAM (UT): A grouping of Re-Entry staff members designated by the Warden, responsible for overseeing an incarcerated individual's Re-Entry process.
- JJJ. UNIT TEAM MANAGER (UTM): The administrator and supervisor of a unit who is responsible for the Casework Manager and Correctional Caseworker.
- KKK. 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.
- LLL. VITAL RECORDS: Documents of life events maintained under governmental authority such as birth certificates, Social Security documents, State identification, etc.
- MMM. WALK-THROUGH: A term used to denote placement investigations requests for incarcerated individuals with forty-five (45) days or less to EPRD.
- NNN. WORKSHOP: A brief, intensive educational course for a relatively small group (up to 25 individuals) of incarcerated individuals focusing on a specific topic.

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IV. UNIT TEAM EXPECTATIONS AND RESPONSIBILITIES:

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 incarcerated individuals.

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;
  - c. New Staff and Assignments, including review of OJT packet
2. Programming/Case Management
  - a. New programs, courses or activities initiated;
  - b. Review any changes to Re-Entry policy, procedure, and/or directives.
3. Training Needs
  - a. Communication of upcoming Re-Entry training;
  - 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.
5. Continuous Quality Improvement (CQI)-Performance Measures Covered

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

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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 incarcerated individuals 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 incarcerated individuals;
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 incarcerated individuals assigned to the unit;
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;

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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 incarcerated individual;
13. Review the quality of reports and documents sent to courts, Parole, probation, etc. for quality assurance;
14. Ensure implementation of the incarcerated individual 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;
16. Review the quality of reports and documents sent to COA CPCT Analyst(s) for quality assurance;
17. 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 using routine CQI assessments and coaching;
4. Assess each assigned incarcerated individual's risk and needs using the IRAS;
5. Unit Team staff shall solicit information from other staff involved in various areas that may impact the incarcerated individual's Case Plan including, but not limited to Custody, Classification, Education, Health Service, Recreation, Food Services, Addiction Recovery, and Program staff;
6. Develop, implement, and review each assigned incarcerated individual's Case Plan;
7. Compile and complete CPCT packet and submit to UTM;
8. Refer incarcerated individuals to Programs, Courses and work assignments;
9. Coordinate with all appropriate facility staff to address Re-Entry and release issues;
10. Act as Unit Team Manager when designated;
11. Provide group and individual programming as required;
12. Prepare Progress Reports as required;

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13. Coordinate with Classification staff to make appropriate Classification recommendations;
14. Conduct unit orientation for newly received incarcerated individuals;
15. Provide day-to-day assistance for assigned incarcerated individuals;
16. Prepare reports as required or requested by a supervisor;
17. Maintain high security standards in the unit and facility; and,
18. Other duties as assigned.

**D. Correctional Caseworker Responsibilities:**

1. Assess each assigned incarcerated individual'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 incarcerated individual's Case Plan;
4. Compile and complete CPCT packet and submit to UTM,
5. Unit Team staff shall solicit information from other staff involved in various areas that may impact the incarcerated individual's Case Plan including, but not limited to Custody, Classification, Education, Health Service, Recreation, Food Services, Addiction Recovery, and Program staff;
6. Refer incarcerated individuals to Programs, Courses, and work assignments;
7. Coordinate with all appropriate facility staff to address Re-Entry and release issues;
8. Provide group and individual programming as required;
9. Prepare Progress Reports as required;
10. Act as Casework Manager when designated;
11. Coordinate with Classification staff to make appropriate Classification recommendations;
12. Conduct unit orientation for newly received incarcerated individuals;
13. Provide day-to-day assistance for assigned incarcerated individuals;
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.

**E. Re-Entry Coordinator Responsibilities:**

1. Assist the Warden with the development of Pre-Release;
2. Ensure incarcerated individuals are appropriately assigned and provide Pre-Release resources;
3. Coordinate delivery of Pre-Release Courses;-START and/or TIPS,

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4. Establish and maintain partnerships with community resources;
5. Assist in the annual quality assurance of Pre-Release; and,
6. Coordinate with the BMV on annual Mobile BMV Site Visits.
7. Apply for and receive Vital Documents/records/credentials as needed, and
8. Other duties as assigned

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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 and Youth Services;
6. If approved by the Deputy Commissioner of Re-Entry and Youth Services, 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 10<sup>th</sup> of each year.



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

The following procedures apply to incarcerated individuals 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, Behavioral Health resource, etc. Except in unusual circumstances, reception and orientation for incarcerated individuals transferred from another Department facility shall be completed within seven (7) calendar days after arrival.

All incarcerated individuals admitted to the Department after January 1, 2022 with at least six months to their EPRD from arrival at initial housing unit and who have an EPRD (not an indeterminate sentence) will automatically be entered into the Case Plan Credit Time structure.

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. BMV ID, Birth Certificate, Social Security card, etc.) 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 incarcerated individual does not have a birth certificate available to them, staff at the Intake facility **(RDC/RTC-if this is conducted at the Intake facility, the current facility shall address immediately upon discovery of the need)** shall work with the incarcerated individual to apply for the document. If the incarcerated individual does not have a Social Security card, staff shall apply for the document as soon as the incarcerated individual is in within 180 days of release. Attachment 5 outlines the procedure for requesting duplicate Social Security cards. If an incarcerated individual does not have a State ID, operator's license, or learner's permit, and meets eligibility requirements, they should utilize the BMV site visit prior to release. Whenever possible all documents needed for a "secure" ID should be obtained and BMV will issue the secure ID. If an incarcerated individual refuses any of these vital record and credentials / documents, the employee will have the incarcerated individual sign a refusal

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form. The incarcerated individual will be asked again at least 24 hours later but not more than 72 hours. If they continue to refuse, another refusal form will be signed and a Case Note will be completed. If an incarcerated individual signs the refusal, they may change their mind and request the vital record and credentials s and credentials / documents at any time. In future meetings with the incarcerated individual, obtaining these documents / records should be encouraged if there is not proof that the incarcerated individual already has them.

**B. Indiana Risk Assessment System (IRAS):**

The following staff, 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 or next available date 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.

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, incarcerated individual self-report, and hard copy score sheet do not need to be saved in the incarcerated individual’s institutional packet. Risk level overrides should go no higher than one risk level and any override shall require documentation in INcite and in a Case Note. A Case 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 Case Note entry by the supervisor documenting review of the override.

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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 incarcerated individual 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 incarcerated individual. The assessment shall be completed for all incarcerated adults at the facility level. The IRAS-PIT shall be completed for all incarcerated adults at the facility level and the results entered into the INcite system within thirty (30) calendar days of their arrival at the intake facility. Once DELTA identifies that an incarcerated individual needs an IRAS-PIT completed the staff member will have ten (10) calendar days to complete. The IRAS-PIT can be completed prior to showing due in DELTA. The data from the IRAS-PIT shall be used by Unit Team staff as the foundation for Case Planning and referrals. Incarcerated individuals shall not be given copies of their assessment.

a. IRAS-PIT: Refusal to participate:

If an incarcerated individual refuses the IRAS-PIT assessment, no Program referrals shall be made; however, a “refusal” Case Plan shall be generated and a Case Note entered documenting the incarcerated individual’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 incarcerated individuals who refuse to participate in the assessment process or those who are incapable due to severe mental illness. Incarcerated individuals 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 incarcerated individual continues to refuse to participate in the IRAS-PIT assessment, no referrals for programming shall be made. With the exception that treatment referrals to Mental Health and Addiction Recovery must be permitted with a refusal to participate in the IRAS-PIT. Direct coordination with Mental Health and/or Addiction Recovery must

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occur in these cases since the system will not allow referrals on a refusal Case Plan. Incarcerated individuals who refuse to participate in the IRAS-PIT assessment may not be eligible to earn additional credit time including under the CPCT system. If the incarcerated individual agrees to participate in the IRAS-PIT assessment, the assessment shall be completed within thirty (30) days by Unit Team staff. If an incarcerated individual initially refuses an IRAS-PIT and decides after that they want to participate in the IRAS process, the incarcerated individual will then be offered the IRAS-SRT. When this is completed, a Case Note will be added documenting the incarcerated individual's decision to participate.

b. IRAS-PIT: Mental Health incarcerated individuals

If an incarcerated individual is unable to participate in the IRAS-PIT due to serious mental illness, a Case Note shall be entered documenting their inability to participate. 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 incarcerated individuals 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. Incarcerated individuals with serious mental illness shall be eligible for educational credit time if medical and/or behavioral goals and interventions are met/or the incarcerated individual is in compliance with treatment in these areas.

If an incarcerated individual requiring an IRAS-PIT is received from a prior facility without the assessment on file, Unit Team staff at the receiving facility shall complete the assessment either an IRAS-PIT or IRAS-SRT whichever is appropriate based on the length of time the incarcerated individual has already been incarcerated.

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

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

If an IRAS-SRT is completed and entered the INCite system sixty (60) days prior to an incarcerated individual's CTP commencement date, another IRAS-SRT will not be required at release.

If the IRAS-SRT cannot be completed due to the incarcerated individual's unwillingness or inability, a supervisor shall validate the circumstances and enter a Case 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 incarcerated individual is released from court. In these cases, a Case Note shall be entered documenting the reason that the IRAS-SRT was not completed.

If an incarcerated individual loses earned credit time or they have a sentence change after the IRAS-SRT has been completed, and 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 DELTA. Any caseload transfer shall be completed in DELTA within seven (7) days.

The Case Plan shall be developed from the IRAS-PIT assessment. If an incarcerated individual 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. An SRT can be completed anytime during incarceration to determine a change in the incarcerated individual's risks or needs. The Case Plan shall be

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developed, reviewed, and signed by the incarcerated individual within thirty (30) calendar days of arrival at the housing facility. The Case Plan shall be updated as necessary.

In order for a Case Plan to be considered active, the incarcerated individual must have at least one current/active intervention or referral. All incarcerated individuals who arrive at the initial housing facility with 180 days or more to serve and an EPRD are required to have an active Case Plan.

1. Risk Level Referral Requirements:

Program referrals shall be associated with an IRAS domain. Incarcerated individuals whose assessment indicates risk levels of moderate or above shall be referred to appropriate programming. Those incarcerated individuals 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 incarcerated individual with a low-risk score, a Case Note must be entered justifying the need for 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 incarcerated individual who does not meet the required educational standard for all other program enrollment. Incarcerated individuals who refuse the educational referral are ineligible to be referred to any other programming. The exception to this being incarcerated individuals may be referred to Addiction Recovery services for clinical assessment and if deemed clinically appropriate may participate in Addiction Recovery services. There is no minimum education requirement for an individual to participate in Addiction Recovery Services.

Case Plan Credit Time structure allows incarcerated individuals who refuse educational services to pursue other Case Plan goals/interventions. However, these other goals interventions must be part of the Case Plan as determined necessary and appropriate by the correctional case worker or case work manager.

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Incarcerated individuals 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 referrals can be made at any time for clinical assessment, and shall be based on administrative indicators, behavioral indicators or at the request of the incarcerated individual.

- 1) Administrative indicators include: a qualifying screening score at the incarcerated individual's Intake facility, a moderate or high IRAS-PIT Substance Abuse domain score, or the incarcerated individual having been designated for Purposeful Incarceration.
- 2) Behavioral indicators include: incarcerated individual receives a conduct report related to substance use/possession, incarcerated individual tests positive for illegal substances on a urine drug screen, or incarcerated individual is seen by Health Services for a suspected or actual acute intoxication.
- 3) Priority regarding Addiction Recovery referrals will be determined by the Addiction Recovery Services staff after completion of the Comprehensive Substance Use Assessment (CSUA). Clinical need of the incarcerated individual will determine priority of Addiction Recovery with other referrals, and whether that incarcerated individual may participate in programs while in Addiction Recovery Services. Clinical recommendation for treatment level and the ability to participate in programs shall be communicated to the caseworker by entering an enrollment Case Note that directs whether they may participate in another time-cut eligible program or employment.

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- 4) Incarcerated Individuals have the right to refuse to participate in Addiction Recovery services.

D. Program and Course Referrals

1. Referral Process:

All Program and Course referrals shall be completed by assigned Case Management staff. All referrals will be associated with an IRAS domain and supporting rationale should be documented concerning why the referral was made. If an incarcerated individual does not have an IRAS-PIT on file due to how long they have 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 program data. All program 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 incarcerated individual 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. The incarcerated individual must not have refused any program (as defined in this policy and administrative procedure, not a course or activity) referred to and offered, quit the program, or have been terminated from the program for behavior or conduct during the review period to receive the Case Plan point.

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

If an incarcerated individual who is enrolled in a program quits, is terminated, or unsuccessfully completes the Program (if program referral is closed for reasons a-c) they are ineligible to enroll in any other Program for a period of 180 days from the date that the incarcerated individual is officially removed. In addition, the facility may determine that the incarcerated individual is course and/or job ineligible and assign the incarcerated individual to idle status for a fixed period of time, not to exceed 180 days. Second Chance courses are the approved exceptions to



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this rule. Incarcerated individuals participating in CPCT structure should continue to pursue medical, behavioral, and other goals/interventions outlined in their individualized Case Plan. However, if the program referral is closed for reasons a-c during the CPCT review period, the incarcerated individual cannot receive the Case Plan point for that review period.

2. SMART Personalized Interventions and Referrals:

All SMART Personalized Interventions and Referrals shall be completed. Any activity that an incarcerated individual participates in shall be documented as a SMART Personalized Intervention. The use of Cognitive Behavior Tools (e.g. Brief Intervention Tools (BITS) and Guides) should also be entered as a SMART personalized intervention.

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

3. Case Plan Reviews:

A formal Case Plan update and review can take place at any time but is required annually at a minimum. Therefore, if an incarcerated individual has not had a Case Plan update within the previous 10 months prior to their annual review, a Case Plan review will be required in conjunction with the incarcerated individual's annual Classification review. The incarcerated individual shall sign the updated Case Plan at the annual review. A Case Note shall be entered detailing the annual review, the updates/reviews made to the Case Plan.

For incarcerated individuals who participate in the Case Plan Credit Time (CPCT) structure for educational credit time, Case Plan assessments are reviewed and assessed for compliance and progress in programming and personalized interventions by the assigned caseworker/casework manager.

For incarcerated individuals with less than six (6) years, the CW/CM shall make every effort to complete the incarcerated individual's CPCT review within 30 days of the review period end date. For incarcerated

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individuals with more than six (6) years, the CPCT review should be completed in conjunction with the annual review.

Upon review of the incarcerated individuals' Case Plan, the assigned caseworker/casework manager shall compile forms, supplemental documentation, and the up-to-date Case Plan to document the incarcerated individual's progress since the last review for educational credit time. Both the incarcerated individual and caseworker/casework manager are required to sign. The packet will then be submitted to the designated facility Unit Team Manager for review. Upon approval and signature from the designated Unit Team Manager, the designee will then submit the CPCT packet for review to Central Office CPCT Analyst. A review of the packet will be made by the CPCT Analyst and forwarded on to the Sentence Computation Specialist at Central Office for final review and approval.

4. Face-to-Face Contacts

Staff shall meet face-to-face with each incarcerated individual assigned to their caseload, based on each incarcerated individual's documented overall IRAS risk level. These contacts shall be documented in Case Notes. Incarcerated individuals who score an overall Low must have documented face-to-face contact at least once every one hundred and eighty (180) days. Incarcerated individuals who score an overall Moderate must have documented face-to-face contact at least once every one hundred and twenty (120) days. Incarcerated individuals 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, CPCT reviews, the discussion of behavioral issues, release needs, programming issues, possible reclassifications, and work release eligibility. For incarcerated individuals participating in the CPCT structure, all educational credit time reviews must be done as a face-to-face contact.

The risk level does not apply if an incarcerated individual has an EPRD of twenty years or more to their EPRD. An incarcerated individual with twenty years of more will require a face to face meeting at their scheduled annual review and 183 days after their annual review. Regular face-to-face

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meetings should resume when the incarcerated individual has less than twenty years to their EPRD.

When an incarcerated individual is identified through DELTA as due for a face-to-face meeting, staff will have ten (10) calendar days to complete and document this meeting.

E. Re-Entry Portfolio

The Re-Entry Portfolio for each incarcerated individual includes originals or copies of certificates, resumes, birth certificates, Social Security cards, Bureau of Motor Vehicles (BMV)-issued identification cards/operator’s license, and other materials to be used in the community and provided to the incarcerated individual upon release. If a Re-Entry Portfolio has not been created at the time of the incarcerated individual’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 the Re-Entry Coordinator and Release staff to assist the incarcerated individuals in obtaining any necessary documentation for the Re-Entry Portfolio.

F. CTP

Sixty (60) days prior to the incarcerated individual’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 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

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, at a minimum, the incarcerated individual’s packet,

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visitation list, telephone list, money donors, prior placements, and placement Case 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 Case Notes.

Unit Team staff should notify the REMs and Director of Case Management as soon as they identify that an incarcerated individual may be a difficult placement.

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 incarcerated individual, 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 incarcerated individual. Staff is not to ask specific parole or sex incarcerated individual-related questions when contacting the sponsor.
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. first. If the incarcerated individual is being released to parole, the Unit Team staff are to contact the Parole Agent (check with the parole district to determine correct Parole Agent if needed) to determine the best placement option, shelter, halfway house, mission, or program housing to use and correct procedures. If the incarcerated individual is not a parole release, [findhelp.org](http://findhelp.org) may be used to find current housing options.
5. This placement option determined in conjunction between the Parole Agent and Unit Team may be the only placement entered. This is an exception to the two (2) placement option requirement. For non-parole releases only one shelter, halfway house, or mission must be entered.

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6. Staff may not use abbreviations for city names when entering placement. Staff are to use proper capitalization for sponsors, cities, and street names.
7. All previous steps in the above process shall be thoroughly documented in the Case Notes.

Placements entered while the incarcerated individual 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. When a placement is identified as due by DELTA, staff will have ten (10) calendar days to complete the task(s). Staff may enter a placement prior to being identified as due by DELTA.

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 DELTA one hundred and eighty (180) days prior to the incarcerated individual's release or sixty (60) days prior to the incarcerated individual's CTP commencement date, whichever occurs first. When DELTA identifies a placement is due the staff member will have ten (10) calendar days to complete this task. Placement can be entered prior to being identified as due by DELTA. At this time, staff should verify that the incarcerated individual'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.

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 incarcerated individual will be released on dual supervision, only a primary and alternative parole placement entry is required.

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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 DELTA. Interstate Compact placements shall be entered at 180 days to EPRD and ICOTS action shall be initiated at 120 days prior to EPRD. An ICOTs application must, at a minimum, be initiated by the facility in the system as long as the incarcerated individual requests it at least one business day prior to their release and is likely to be a viable placement option or is likely to be beneficial in the incarcerated individual's Re-Entry.

6. DOC Assist:

The process for finding placement options for sex offenders shall begin at least 180 days prior to EPRD. If no viable placement option can be found for a sex offender, a DOC Assist may be requested. DOC ASSIST should not be requested until all options are exhausted and the incarcerated individual is at 90 days prior to EPRD. Case 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 incarcerated individual and the Unit Team shall discuss all possible placements where the incarcerated individual may reside and the Unit Team shall exhaust all possible placements and document in notes before determining that the incarcerated individual shall need a DOC Assist placement.
- b. In exhausting all possible placements, staff and the incarcerated individual shall consider contacting those on the incarcerated individual's visitation list, phone list, other family members and any other persons listed in the Pre-Sentence Investigation report

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(PSI) who may be able to provide the incarcerated individual with a residence.

- c. Unit Team shall complete a records check for wanting authorities, incarcerated individual flags, placement history, and Trust Fund balance. Incarcerated individuals 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 incarcerated individual 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 incarcerated individual.
- e. Once all placement options have been exhausted and documented in notes, the incarcerated individual shall be required to sign the DOC Assist Agreement prior to release (Attachment 3) and abide by its conditions. The incarcerated individual shall be notified that failure to abide by the conditions may result in disciplinary action being taken against the incarcerated individual.
- f. Unit Team staff shall forward the DOC Assist agreement via email to the SOMM Program Director, the Re-Entry Monitors, the Director of Case Management, the Parole District Supervisor, the Parole Agent if known, and the Unit Team Manager.
- g. Throughout the process, the incarcerated individual, the Parole Agent and Unit Team staff shall collaborate to obtain and verify a suitable non-DOC Assist placement for the incarcerated individual. If such a placement is found, the incarcerated individual shall be denied the “DOC Assist” placement.

7. Parole Assist:

The process for exploring all viable placement options for an incarcerated individual shall begin at least 180 days prior to EPRD. If no placement options can be found a parole assist may be requested. Parole ASSIST should not be requested until all options are exhausted and the offender is

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at 90 days prior to EPRD. Case Notes documenting all Parole 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 incarcerated individual and the Unit Team shall discuss all possible placements where the incarcerated individual may reside and the Unit Team shall exhaust all possible placements and document in notes before determining that the incarcerated individual shall need a Parole Assist placement.
- b. In exhausting all possible placements, staff and the incarcerated individual shall consider contacting those on the incarcerated individual'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 incarcerated individual with a residence.
- c. Unit Team shall contact the supervising Parole District Supervisor to inform of the placement concerns and the possible need for a Parole Assist placement for the incarcerated individual.

H. Progress Reports

Progress Reports shall be completed by Unit Team staff sixty (60) days prior to the incarcerated individual's Community Transition Program Commencement Date (CTPCD), or at one hundred eighty (180) days prior to the incarcerated individual's EPRD, whichever occurs first. Progress Reports shall be completed and approved 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 incarcerated individual. 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 incarcerated



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individual 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) business days of receipt of the request. If the request cannot be honored within five (5) business days, the 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.

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 to secure a placement in the Case Plan comments section of the report. When a Progress Report is identified as due by DELTA, staff will have ten (10) calendar days to complete this report. The Progress Report can be completed prior to being identified by DELTA.

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 incarcerated population for release.

1. 180 Days Prior to Release:

- a. Ensure that placement has been verified and entered;

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- b. Complete the comprehensive 180 Day Release Review Template The 180 Day Release Review Template is attached to this policy and administrative procedure (Attachment 4).
- c. The IRAS-SRT is completed, including identifying other areas of concern or barriers.
- d. Incarcerated individuals are to be referred to the Pre-Release Course by their assigned Caseworker/Casework Manager at least 180 days prior to the incarcerated individual's release from the Department or at the time of a CTP progress report, whichever comes first.
- e. Ensure a progress report is complete and still valid.

2. 60 Days Prior to Release:

- a. Ensure placement is entered and approved;
- b. A review of the 180 Day Release Review Template has been conducted to address outstanding concerns or barriers that were identified.

3. 30 Days Prior to Release:

- a. Review incomplete processes from 60-day Release Review;
- b. Placement approval;
- c. Discuss upcoming release questions/needs;
- d. Discuss Pre-Release steps: Did the incarcerated individual complete START or receive a TIPS Packet, Participation in HIRE Academy?

J. Vital Documents and Credentials:

- 1. Birth Certificates: Should be applied for at any time during the incarcerated individual's incarceration. They should not be applied for under 60 days from EPRD.

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2. DD214 Report of Separation: May be applied for at any time during the incarcerated individual’s incarceration. It should not be applied for under 60 days from EPRD.
3. Social Security Cards: May be applied for at 180 days from EPRD. It should not be applied for earlier than 180 days or under 60 days from EPRD.
4. State Identification Cards: Incarcerated individuals should be referred to see the mobile BMV during scheduled site visits when they are 365 days from EPRD.

Any incarcerated individual 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 incarcerated individual in obtaining this document prior to release. Any incarcerated individual who is required by law to register as a sex incarcerated individual and refuses a state identification card can receive a written conduct at the discretion of the facility. Incarcerated individual’s refusals to be referred to see the mobile BMV in order to obtain an identification card should be documented in a Case Note. A refusal form must be completed.

5. State Operator’s License and Learner’s permits testing: Incarcerated individuals should be referred to see the mobile BMV during scheduled site visits when they are 150 days from EPRD. Two weeks prior to the BMV site visit, the Re-Entry Coordinator will generate a list of incarcerated individuals with their date of birth and Social Security number. This list must be submitted to the BMV to be reviewed. An approved list will be returned to the Re-Entry Coordinator before the site visit.

If an incarcerated individual is transferred to another facility, vital documents shall be sent in the incarcerated individual’s facility packet to the receiving facility. If the document(s) were not sent when the incarcerated individual is transferred, it is the responsibility of the transferring facility to make sure the receiving facility receives the document(s), if the incarcerated individual is released from the Department without possession of vital documents:

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For BMV ID/Operator’s Licenses, DD214 and Birth Certificates – the releasing facility will forward the document to the incarcerated individual’s releasing address or their supervising agency (Parole/Probation/Community Corrections).

For Social Security Cards – the releasing facility will forward the document to the supervising authority (Parole/Probation/Community Corrections). If the incarcerated individual is no longer on supervision, the document should be mailed to Central Office Re-Entry Services at 302 W. Washington RM 334 Indianapolis, IN 46204.

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

**K. Special Needs Incarcerated Individual Releases**

The Division of Data Analytics shall provide the Transitional Healthcare Department a monthly database of incarcerated individuals releasing within 180 days. This database will include incarcerated individual’s name, DOC number, received date, facility, and classification designation.

The Transitional Healthcare Department shall review the database to triage incarcerated individuals by most severe medical and mental health codes/needs. Incarcerated individuals classified with a medical code of B shall be triaged as potential long- term care or skilled nursing placement.

At time of CTP eligibility, the CTP Coordinator shall contact the Transitional Healthcare Department regarding any incarcerated individual classified as a B,C,F, I medical code, B, C, D disability code, or an E or F mental health code, to determine capability of participating in CTP. Determination of capability shall be made within five (5) business days of notification.

Case Management staff will make every attempt to assist in notifying Transitional Healthcare when an incarcerated individual on their caseload shows signs of deteriorating mental health. They will communicate this by sending notification to facility Behavioral Health staff as well as inform Transitional Health with an email to:

[SpecialNeedsReleases@idoc.in.gov](mailto:SpecialNeedsReleases@idoc.in.gov)

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In the event of an immediate release Case Management staff and Health Services shall determine if incarcerated individual requires special needs release planning. This may include, but is not limited to skilled nursing care, durable medical equipment, or infectious disease coordination. If special needs planning is requested by Health Services staff, the assigned Case Management staff shall forward an email to [SpecialNeedsReleases@idoc.in.gov](mailto:SpecialNeedsReleases@idoc.in.gov) within one (1) day of notification providing information regarding level of care, placement information, and transition planning concerns.

If any incarcerated individual who is identified as special needs has any placement concerns the REMs and Director of Case Management should be notified immediately.

L. Military Veteran Incarcerated Individual Releases

1. Unit Team staff shall identify incarcerated individuals who have served in the US Military. If missed at Intake, military involvement can be identified and flagged when completing the 180 Day Release Review Template through a facility packet review, review of incarcerated individual Flags, or incarcerated individual self-report.
2. Unit Team staff shall assist incarcerated individuals identified as veterans in obtaining a copy of their DD-214s in cases where copies are not located in the incarcerated individual's Release Packet. This shall be completed as a step of the 180 Day Release Review Template.
3. Unit Team shall notify the Parole District Supervisor of the incarcerated veteran's district of release. The Parole District Supervisor or designee shall follow up with the incarcerated veteran after they have been released to ensure they are 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 incarcerated individuals 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, Behavioral Health resource etc. Except in unusual circumstances, reception and orientation for incarcerated individuals transferred from another Department facility shall be completed within seven (7) calendar days after arrival.

Incarcerated individuals who arrive at their initial housing unit with 6 months or less to their release are not eligible for CPCT.

All facility admissions and orientation programs shall ensure that information for the purpose and benefit of re-entry services and obtaining release documentation (i.e., BMV ID, Birth Certificate, Social Security card, etc.) 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. If an incarcerated individual does not have a birth certificate available to them, staff at the Intake facility (if this is not done at the Intake facility, the current facility shall address it immediately upon discovery of the need) shall work with the incarcerated individual to apply for the document. If the incarcerated individual does not have a Social Security card, staff shall apply for the document as soon as possible. If an incarcerated individual does not have a State ID, operator's license, or learner's permit, and meets eligibility criteria, they should utilize the BMV site visit prior to release. Whenever possible all documents needed for a "secure" ID should be obtained and BMV will issue the secure ID. If an incarcerated individual refuses any of these vital records/documents and credentials, the staff member will have the incarcerated individual sign a refusal form and case note. If an incarcerated individual signs the refusal, they may change their mind and request the vital records/documents and credentials at any time. In future meetings with the incarcerated individual,

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obtaining these documents/records should be encouraged if there is not proof that the incarcerated individual already has them.

**B. Indiana Risk Assessment System (IRAS)**

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 or the next available date 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 them of this situation to discuss next steps.

Within seven (7) calendar days of receipt of notification of certification, the employee 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).

An employee 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 employee’s current agency in the INcite system.

Scoring documents from the IRAS assessment including the interview guide, incarcerated individual self-report, and hard copy score sheet do not need to be saved in the incarcerated individual’s institutional packet. Risk level overrides should go no higher than one risk level and any override shall require documentation in INcite and a case note. A case 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 case 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

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conducting a face-to-face interview with the incarcerated individual and ensuring the information in the PIT interview guide is discussed. The IRAS-PIT shall be completed for all incarcerated adults at the facility level and the results entered into the INcite system within thirty (30) calendar days of their arrival from the Intake facility. Once DELTA identifies that an incarcerated individual needs an IRAS-PIT completed, the employee will have ten (10) calendar days to complete. The IRAS-PIT can be completed prior to showing due in DELTA. The data from the IRAS-PIT shall be used by Unit Team staff as the foundation for referrals and needed resources/services. Incarcerated individuals shall not be given copies of their assessment.

a. IRAS-PIT: Refusal to participate:

If an incarcerated individual refuses the IRAS-PIT assessment, no Program referrals shall be made; a case plan is not required but a “refusal” Case Plan may be generated if determined beneficial by Unit Team staff and a case note entered documenting the incarcerated individual’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 incarcerated individuals who refuse to participate in the assessment process or those who are incapable due to severe mental illness. Incarcerated individuals 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 incarcerated individual continues to refuse to participate in the IRAS-PIT assessment, no referrals for programming shall be made. With the exception that treatment referrals to Mental Health and Addiction Recovery must be permitted with a refusal to participate in the IRAS-PIT. Direct coordination with Mental Health and/or Addiction Recovery must occur in these cases. Incarcerated individuals have the right to refuse to participate in Addiction Recovery services. If the incarcerated individual agrees to participate in the IRAS-PIT assessment, the assessment shall be completed within thirty (30) days by Unit Team staff.



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b. IRAS-PIT: Mental Health incarcerated individuals

If an incarcerated individual is unable to participate in the IRAS-PIT due to serious mental illness, a case 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 incarcerated individuals who refuse to participate in the assessment process or those who are incapable due to severe mental illness.

If an incarcerated individual requiring an IRAS-PIT is received from a prior facility without the assessment on file, Unit Team staff at the receiving facility shall complete the assessment either an IRAS-PIT or IRAS-SRT whichever is appropriate based on the length of time the incarcerated individual has already been incarcerated.

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

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

C. Release Review

Unit Team staff shall complete the 180 Day Release Review Template with each incarcerated individual within thirty (30) calendar days of the incarcerated individual's arrival to the facility. Once DELTA identifies that an incarcerated individual needs any part of the 180 Day Release Review Procedures completed, the employee will have ten (10) calendar days to complete. These procedures can be completed prior to showing due in DELTA. This interview shall be conducted in a manner to answer relevant questions regarding release planning.

Prior to the interview, Unit Team staff shall review any flags, relevant Classification information including type of release supervision and CTP eligibility, and any visitation restrictions. A comprehensive 180 Day Release Template is attached to this policy and administrative procedure (Attachment 4).

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

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D. Case Planning

A Case Plan is not required for incarcerated individuals arriving at their initial housing facility with less than 180 days to EPRD. Therefore, all incarcerated individuals admitted to the Department with less than 180 days do not qualify for the Case Plan Credit Time structure. While a Case Plan is not required, it may still be created but the incarcerated individual will still **NOT** be eligible for CPCT.

E. Program and Course Referrals

1. DELTA Referral Process:

All Program and Course referrals shall be completed in DELTA by assigned Case Management staff. All referrals will be associated with an IRAS domain and documented in a case note why the referral was made. An incarcerated individual may be enrolled in more than one educational credit time-eligible program at a time. Education is the primary referral for all incarcerated individuals. If an incarcerated individual is Purposefully Incarcerated (PI) or there is a significant reason for Substance Abuse Intervention, a referral may be entered for Assessment.

Facilities shall designate staff responsible for the timely entry of program data. All program 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 incarcerated individual 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. The incarcerated individual must not have refused any program (as defined in this policy and administrative procedure, not a course or activity) referred to and offered, quit the program, or have been terminated from the program for behavior or conduct during the review period to receive the Case Plan point.

A review of the referral along with a case note shall be required detailing the circumstances in which an incarcerated individual quits, their participation is terminated, or they refuse a program referral.

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If an incarcerated individual 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) they are ineligible to enroll in any other Program for a period of 180 days from the date that the incarcerated individual is officially removed. In addition, the facility may determine that the incarcerated individual is course and/or job ineligible and assign the incarcerated individual 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. Service Referrals

All 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, a case note shall be entered detailing each Service Referral action.

G. Face-to-Face Contacts

Staff shall meet face-to-face with each incarcerated individual assigned to their caseload, based on each incarcerated individual's documented overall IRAS risk level. These contacts shall be documented in case notes. Incarcerated individuals who score an overall Low must have documented face-to-face contact at least once every one hundred and eighty (180) days. Incarcerated individuals who score an overall Moderate must have documented face-to-face contact at least once every one hundred and twenty (120) days. Incarcerated individuals 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, the discussion of behavioral issues, release needs, programming issues, possible reclassifications, and work release eligibility. When an incarcerated individual is identified through DELTA as due for a face to face meeting, staff will have ten (10) calendar days to complete and document this meeting.

H. Re-Entry Portfolio

The Re-Entry Portfolio for each incarcerated individual 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 incarcerated individual upon release.

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

Any incarcerated individual 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 incarcerated individual in obtaining this document prior to release. Any incarcerated individual 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. The incarcerated individual’s refusal’s to be referred to see the mobile BMV in order to obtain an identification card should be documented in a case note.

I. CTP

Sixty (60) days prior to the incarcerated individual’s CTP commencement date, Unit Team staff shall 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. If DELTA identifies a CPCT progress report as being due, staff will have ten (10) calendar days to complete this report and the IRAS-SRT. Unit Team staff shall notify their supervisor that the Progress Report has been completed. The supervisor shall review and lock the Progress Report. 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 Services if necessary.

J. Placement

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, at a minimum the incarcerated individual’s packet, visitation list, telephone list, money donors, prior placements, and placement case 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 case notes.

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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 incarcerated individual. Staff is not to ask specific parole or sex offender-related questions when contacting the sponsor,
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. first. Then, if the incarcerated individual is being released to Parole, the Unit Team staff are to contact the Parole Agent (check with the Parole District to determine correct Parole Agent if needed) to determine the best placement option, shelter, halfway house, mission, or program housing to use and correct procedures. If the incarcerated individual is not a parole release, [findhelp.org](http://findhelp.org) may be used to find current housing options.
5. This placement option determined in conjunction between the Parole Agent and Unit Team may be the only placement entered. This is an exception to the two (2) placement option requirement. For non-parole releases only one shelter, halfway house, or mission must be entered.
6. Staff may not use abbreviations for city names when entering placement. Staff are to use proper capitalization for sponsors, cities, and street names.
7. All previous steps in the above process shall be thoroughly documented in the case notes.

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Placements entered while the incarcerated individual 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. When a placement is identified as due by DELTA, staff will have ten (10) calendar days to complete the task(s). Staff may enter a placement prior to being identified as due by DELTA.

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 DELTA one hundred and eighty (180) days prior to the incarcerated individual's release or sixty (60) days prior to the incarcerated individual's CTP commencement date, whichever occurs first. When DELTA identifies a placement is due, the employee will have ten (10) calendar days to complete this task. Placement can be entered prior to being identified as due by DELTA. At this time, staff should verify that the incarcerated individual'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.

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 incarcerated individual 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:

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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 DELTA. Interstate Compact placements shall be entered at 180 days to EPRD and ICOTS action shall be initiated at 120 days prior to EPRD. An ICOTs application must, at a minimum, be initiated by the facility in the system as long as the incarcerated individual requests it at least one business day prior to their release and is likely to be a viable placement option or is likely to be beneficial in the incarcerated individual's Re-Entry.

6. DOC Assist:

The process for finding placement options for sex offenders shall begin at least 180 days prior to EPRD. If no viable placement option can be found for a sex offender, a DOC Assist may be requested. DOC ASSIST should not be requested until all options are exhausted and the incarcerated individual is at 90 days prior to EPRD. Case 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 incarcerated individual and the Unit Team shall discuss all possible placements where the incarcerated individual may reside and the Unit Team shall exhaust all possible placements and document in notes before determining that the incarcerated individual needs a DOC Assist placement.
- b. In exhausting all possible placements, staff and the incarcerated individual shall consider contacting those on the incarcerated individual'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 incarcerated individual with a residence.
- c. Unit Team shall complete a records check for wanting authorities, flags, placement history, and Trust Fund balance. Incarcerated individuals with Trust Fund balances equal to or greater than two hundred dollars (\$200.00) shall be considered self-pay. In these

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cases, Unit Team staff shall coordinate with Parole staff to determine available community resources for incarcerated individual 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 incarcerated individual.
- e. Once all placement options have been exhausted and documented in notes, the incarcerated individual shall be required to sign the DOC Assist Agreement prior to release (Attachment 3) and abide by its conditions. The incarcerated individual shall be notified that failure to abide by the conditions may result in disciplinary action being taken against the incarcerated individual.
- f. Unit Team staff shall forward the DOC Assist agreement via email to the SOMM Program Director, the Re-Entry Monitors, the Director of Case Management, the Parole District Supervisor, the Parole Agent, if known, and the Unit Team Manager.
- g. Throughout the process, the incarcerated individual, the Parole Agent and Unit Team staff shall collaborate to obtain and verify a suitable non-DOC Assist placement for the incarcerated individual. If such a placement is found, the incarcerated individual shall be denied the “DOC Assist” placement.

7. Parole Assist:

The process for exploring all viable placement options for an incarcerated individual shall begin at least 180 days prior to EPRD. If no placement options can be found a Parole Assist may be requested. Parole Assist should not be requested until all options are exhausted and the individual is at 90 days prior to EPRD. Case notes documenting all Parole 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 incarcerated individual and the Unit Team shall discuss all possible placements where the incarcerated individual may reside



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and the Unit Team shall exhaust all possible placements and document in notes before determining that the incarcerated individual shall need a Parole Assist placement.

- b. In exhausting all possible placements, staff and the incarcerated individual shall consider contacting those on the individual'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 incarcerated individual with a residence.
- c. Unit Team shall contact the supervising Parole District Supervisor to inform of the placement concerns and the possible need for a Parole Assist placement for the incarcerated individual.

K. Progress Reports

Incarcerated individuals 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. When a Progress Report is identified as due by DELTA staff will have ten (10) calendar days to complete this report. The Progress Report can be completed prior to being identified by DELTA. Requests for Progress Reports cannot be made via telephone, they must be in written format.

Progress Reports are considered **RESTRICTED** information. Department policy authorizes that **RESTRICTED** information may be released to governmental agencies providing a lawful service to an incarcerated individual. 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 employee 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 incarcerated individual is allowed a duplicate copy of the progress report if requested. The duplicate must have the word "COPY" on the report.

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Reponses 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 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.

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 to secure a placement in the Case Plan comments section of the report. When a Progress Report is identified as due by DELTA, staff will have ten (10) calendar days to complete this report. The Progress Report can be completed prior to being identified by DELTA.

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 incarcerated individual population for release.

L. Release

Unit Team staff shall collaborate with multiple divisions, specifically Classification and Pre-Release to prepare the incarcerated individual population for release. Within thirty (30) days of arrival at the facility, Unit Team staff shall ensure placement is entered. When a placement is identified as due by DELTA, staff will have ten (10) calendar days to complete the task(s). Staff may enter a

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placement prior to being identified as due by DELTA. Unit team will notify the REMs and Director of Case Management as soon as possible if the incarcerated individual is anticipated to be a difficult release.

1. 60 Days Prior to Release:
  - a. When any of the 60 day procedures are identified as due by DELTA, staff will have ten (10) calendar days to complete the task(s). In some cases some or all of these task(s) may be completed prior to identification in DELTA
  - b. Ensure placement is entered and approved;
  - c. Document in DELTA notes the status of any outstanding issue(s) with placement or the release process.
  
2. 30 Days Prior to Release:
  - a. When any of the 30 day procedures are identified as due by DELTA, staff will have ten (10) calendar days to complete the task(s). In some cases some or all of these task(s) may be completed prior to identification in DELTA
  - b. Review incomplete processes from 60-day review;
  - c. Placement approval;
  - d. Discuss upcoming release questions/needs;
  - e. Discuss Pre-Release steps: Did the incarcerated individual complete START or receive a TIPS Packet, Participation in HIRE Academy?
  
- M. Vital Documents and Credentials:
  1. Birth Certificates: If this document was not applied for upon Intake, it can be applied for as soon as the need is identified during the individual's incarceration. It should not be applied for under 60 days from EPRD.
  2. DD214 Report of Separation: Can be applied for at any time during the incarcerated individual's incarceration. It should not be applied for under 60 days from EPRD.

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3. Social Security Card: Can be applied for at 180 days from EPRD. It should not be applied for earlier than 180 days or under 60 days from EPRD.
4. Any incarcerated individual 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 incarcerated individual in obtaining this document prior to release. Any incarcerated individual 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. An incarcerated individual's refusals to be referred to see the mobile BMV in order to obtain an identification card should be documented in a case note. A refusal form must be completed.
5. State Operators License and Learners permits testing: Incarcerated individuals should be referred to see the mobile BMV during scheduled site visits when they are 150 days from EPRD. Two weeks prior to the BMV site visit, the Re-Entry Coordinator will generate a list of incarcerated individuals with their date of birth and Social Security number. This list must be submitted to the BMV to be reviewed. An approved list will be returned to the Re-Entry Coordinator before the site visit.

For BMV ID/Operator's Licenses, DD214 and Birth Certificates – the releasing facility will forward the document to the incarcerated individual's releasing address or their supervising agency (Parole/Probation/Community Corrections).

For Social Security Cards – the releasing facility will forward the document to the supervising authority (Parole/Probation/Community Corrections). If the incarcerated individual is no longer on supervision, the document should be mailed to Central Office Re-Entry Services at 302 W. Washington RM 334 Indianapolis, IN 46204.

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

- N. Incarcerated Individuals with Special Needs Releases

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The Division of Data Analytics shall provide the Transitional Healthcare Department a monthly database of incarcerated individuals releasing within 180 days. This database will include name, DOC number, received date, facility, and classification designation.

The Transitional Healthcare Department shall review the database to triage incarcerated individuals by most severe medical and behavioral health codes. Incarcerated individuals classified with a medical code of B shall be triaged as potential long- term care or skilled nursing placement.

At time of CTP eligibility, the CTP Coordinator shall contact the Transitional Healthcare Department regarding any incarcerated individual classified as a B,C,F, I medical code, B, C, D disability code, or an E or F behavioral health code, to determine capability of participating in CTP. Determination of capability shall be made within five (5) business days of notification.

Case Management staff will make every attempt to assist in notifying Transitional Healthcare when an incarcerated individual on their caseload shows signs of deteriorating mental health. They will communicate this by sending notification to facility Mental Health staff as well as inform Transitional Health with an email to:

[SpecialNeedsReleases@idoc.in.gov](mailto:SpecialNeedsReleases@idoc.in.gov)

In the event of an immediate release, Case Management staff and Health Services shall determine if incarcerated individual requires special needs release planning. This may include, but is not limited to skilled nursing care, durable medical equipment, or infectious disease coordination. If special needs planning is requested by Health Services staff, the assigned Case Management staff shall forward an email to:

[SpecialNeedsReleases@idoc.in.gov](mailto:SpecialNeedsReleases@idoc.in.gov)

within one (1) day of notification providing information regarding level of care, placement information, and transition planning concerns.

If any incarcerated individual identified as special needs has any placement concerns, the REMs and Director of Case Management should be notified immediately.

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O. Military Veteran Releases

1. Unit Team staff shall identify incarcerated individuals who have served in the US Military. If missed at Intake, military involvement can be identified and flagged when completing the 180 Day Release Review Template through a facility packet review, review of Incarcerated individual Flags, or incarcerated individual self-report.
2. Unit Team staff shall assist incarcerated individuals identified as veterans in obtaining a copy of their DD-214s in cases where copies are not located in the incarcerated individual's Release Packet. This shall be completed as a step of the 180 Day Release Review Template.
3. Unit Team shall notify the Parole District Supervisor of the incarcerated individual veteran's district of release. The Parole District Supervisor or designee shall follow up with the incarcerated individual veteran after the incarcerated individual veteran has been released to ensure the incarcerated individual 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 individual’s day-to-day needs are met. All significant interactions with the parole violator shall be documented in DELTA Case Notes.

If the individual 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 DELTA Case 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, “Workforce Engagement.” Additional related training shall be provided as necessary.

B. Case Load Assessments

Quality assurance encompasses Continuous Quality Improvement (CQI) and an audit portion for each staff member.

C. CQI is a “best practice” management philosophy that is ongoing in nature and examines processes to identify, analyze, and improving outcomes for service recipients as well as organizational performance. It involves a structured approach to problem-solving, data collection, and analysis to implement changes and enhance the quality of work and promote better outcomes. It looks at effectiveness and efficiency at all levels as well as responsiveness, flexibility, and timeliness. CQI provides a framework for organizations to aim for and a way to quantify and document qualitative work in the social services field. It encourages collaboration among team members and focuses on improvements in the processes involved and skills of practitioners using both assessments and coaching.

The CQI portion will be conducted monthly for all Unit Team staff at the Unit Team meeting and will be documented in the meeting minutes that are submitted to the Re-Entry Monitor. The CQI portion can be one of the audit topics or any topic that Unit Team supervision recognize as needing additional coaching or training. CQI feedback can also be given specifically to an employee in regard to skill set, mastery of skills, and succession planning then documented in the individual’s fact file.

An audit is the on-site verification activity such as an inspection or examination of a process or quality system, to ensure compliance to requirements.

For the audit portion, supervisors will review five (5) case files for the Intake process, five (5) case files for the ongoing Case Management process, and ten



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(10) case files for the release audit process. The audit portion is to be accomplished by breaking the Case Worker/Casework Manager’s individual audit into 3 of 4 annual quarters. The breakdown by quarter are as follows:

- First quarter (January – March)
  - One (1) Intake process
  - One (1) On going Case Management process
  - Two (2) Release audit process
  
- Second Quarter (April – June)
  - Two (2) intake process
  - Two (2) On-going Case Management process
  - Four (4) Release audit process
  
- Third Quarter (July – September)
  - Two (2) Intake process
  - Two (2) On going Case Management process
  - Four (4) Release audit process

All Quality Assurance documentation is due by the tenth (10<sup>th</sup>) of the month following the end of the assessment period. The documentation is to be forward to the facility’s assigned Re-Entry Monitor.

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.

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.

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X. PRE-RELEASE AND RE-ENTRY PROGRAMMING (See Facility Directive):

A. Establishment of Pre-Release Course:

The Commissioner shall establish a Pre-Release Course for all incarcerated individuals 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 needs that include, but are not limited to:

1. Substance Use;
2. Living skills, Health and Wellness;
3. Family dynamics;
4. Educational advancement;
5. Community resources identification; and,
6. Workforce Readiness

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

The Re-Entry Coordinator shall have oversight of the Pre-Release Course to ensure that curriculum/workshops are delivered to all releasing incarcerated individuals. Refusal of an incarcerated individual to participate in the Pre-Release Course may result in disciplinary action, which does not preclude the individual 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 incarcerated 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 incarcerated individuals through referring and assigning them 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 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 incarcerated individuals to ensure they are assigned appropriately per policy expectations;
4. Coordinate, organize, and oversee the delivery and presentation of the Pre-Release Course;
5. Establish and maintain partnerships with community resources for the purpose of using subject matter experts as guest speakers;
6. Plan and prepare, at minimum, two Re-Entry Simulations per year;
7. Coordinate/update/organize a facility resource center for incarcerated individuals.
8. Complete a monthly report on Pre-Release Courses as directed in Section VIII, "Monthly Reports;"
9. Assist in the annual quality assurance activities of the Pre-Release Course;
10. Participate in the Workforce Development Specialist certification training within twelve (12) months of assuming responsibilities as the Re-Entry Coordinator, or the next available class, whichever occurs first;

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11. Ensure each incarcerated individual has the opportunity to apply and receive vital records and credentials for which they are eligible; and,
12. 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 incarcerated individuals may have. Workshops serve several inter-related 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 incarcerated individuals' ability to integrate back into society.
- To ensure appropriate referrals can be made to probation, parole, or other community providers.
- To provide incarcerated individuals with reference material upon release.
- To make every effort in assisting with/providing workshops for those individuals that have been consecutively incarcerated for more than ten (10) years.

1. Core Modules

Core modules are mandatory for all eligible incarcerated individuals. These modules 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 caseworker will refer the incarcerated individual to the Pre-Release course in DELTA. The referral should be included in the individual's 180-day release template note in DELTA.

- a. Orientation (1.5 hours)
- b. Education and Workforce Readiness (8 hours)

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- c. Living Skills (3 hours)
- d. Family Dynamics (1 hour)
- e. Substance Use Education (1.5 hours)
- f. Community Resources (2 hours)

D. Transitional Information Packet Services (TIPS):

TIPS is a self-study Pre-Release Course that consists only of the six (6) modules covered in the Core Workshops.

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

Incarcerated individuals 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.

An incarcerated individual with active warrants or detainers is eligible for participation in the Pre-Release Course. An incarcerated individual 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 their incarceration period prior to violation. Should they desire to complete the Pre-Release Course again, the Re-Entry Coordinator shall enroll them appropriately.

Incarcerated individuals 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. Individuals 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 incarcerated individual is evaluated and assigned to the appropriate Pre-Release Course:

1. Incarcerated individuals eligible for TIPS must meet the following criteria:
  - a. Does not meet the minimum time requirement required to participate in START;

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- b. The incarcerated individual 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 incarcerated individual will be extradited to serve federal or state time in a state other than Indiana following their release from Department custody; and/or,
- d. The incarcerated individual has been identified by ICE (Immigration and Customs Enforcement) for transport following their release from Department custody.

2. Incarcerated Individuals Eligible for START:

START incarcerated individuals 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

Individuals who refuse Pre-Release can receive disciplinary action, Offense A116, "Refusing A Mandatory Program," as a result of their refusal. For those facilities who elect to impose disciplinary action, this does not preclude the individual from participation in START. When applicable, the individual's participation may be waived by the Warden due to safety/security concerns.

4. Incarcerated Individuals Assigned to TIPS

The Re-Entry Coordinator shall enroll eligible incarcerated individuals into DELTA. Incarcerated individuals must be provided with the required self-study materials. Prior to release and, if time permits, incarcerated individuals shall have the opportunity to request additional meetings with the Re-Entry Coordinator to discuss information related to TIPS. Once an incarcerated individual has completed TIPS, the Re-Entry Coordinator shall close out the Pre-Release referral in PMRS.

A case note shall be entered in DELTA indicating the incarcerated individual received the TIPS packet and a detailed justification for it.

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5. Incarcerated Individuals Assigned to START:

The Re-Entry Coordinator shall enroll eligible incarcerated individuals into DELTA. The Pre-Release Course is mandatory for every incarcerated individual participating in START. Every effort will be made to retain incarcerated individuals in START until completion.

Where, when, how often, and length of assignment (i.e., full or half day) the Pre-Release Course is at the discretion of the Re-Entry Coordinator as long as the Course encompasses the minimum number of hours required for START (Pre-Release) Course completion.

The Re-Entry Coordinator will ensure the incarcerated individual initials and dates the completion of each module on the Pre-Release Completion Form. Upon completion of the Pre-Release Course, both the incarcerated individual and staff will sign and date the form.

Incarcerated individuals that are not available or eligible to complete the Pre-Release Course, will be provided the TIPS packet and sign the Pre-Release Completion Form.

Once incarcerated individuals have completed the Pre-Release Course or received the TIPS packet, the Re-Entry Coordinator shall close out the Pre-Release referral in DELTA. A case note shall be made in DELTA indicating the individual completed the Pre-Release Course (START) or received the TIPS packet.

F. Wages:

Incarcerated individuals assigned to the Pre-Release Course shall be paid at the rate indicated in Policy and Administrative Procedure 02-01-106, "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.

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Guest speakers may facilitate modules but must be established as “subject matter experts” and approved by the Director of Case Management or designee in order to ensure incarcerated individuals are receiving credible instruction. Where guest speakers are approved for modules, 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 individuals. Guest speakers may facilitate either part of or the entirety of the modules, 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 limited to, Addiction Recovery, HIRE, and Parole and BMV. 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, “Community Engagement.”

H. Vital Records and Credentials

Each incarcerated individual will be provided the opportunity to obtain a birth certificate, replacement Social Security Card, and State-issued identification or operator’s license/permit. It is the responsibility of the Re-Entry Coordinator (or designee) to provide the incarcerated individual with the appropriate applications and/or materials to facilitate the incarcerated individual receiving a record and/or credential

Prior to applying for a record/credential, the Re-Entry Coordinator (or designee) must verify if the incarcerated individual already has the record/credential in their Pre-Release portfolio.

There are time restrictions per the Memorandum of Understanding (MOU) with each agency for the application of vital records/credentials. Applications may be denied if they are not submitted according to the MOU. All vital records/credentials are provided at no cost to the incarcerated individual in accordance with Section XI, “Vital Records and Credentials,” of this policy and administrative procedure.



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I. 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 (10<sup>th</sup>) day of the following month. The Re-Entry Coordinator must maintain a copy of each monthly report for up to 24 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 individuals participating in Pre-Release Courses, exit surveys, as well as any other information deemed necessary. The Director of Case Management and/or designee shall compile 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 individuals participating in Pre-Release Courses, the types of modules in which they 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 and Youth Services 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 (1<sup>st</sup>) 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

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required documentation are maintained for at least one (1) calendar year. This can be maintained through paper copy or electronically. Course observations shall be conducted on a random basis and to ensure adherence to Pre-Release 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. VITAL RECORDS AND CREDENTIALS:

A. Unit Team staff shall collaborate with multiple divisions, specifically Classification and Pre-Release staff to apply for the following vital records/credentials for an incarcerated individual in preparation for release:

1. Birth Certificates: Can be applied for at any time during the individual's incarceration and should not be applied for under 60 days from EPRD.
2. Social Security Cards: May be applied for at 180 days from EPRD and should not be applied for under 60 days from EPRD.
3. State Identification Cards: Incarcerated individuals should be referred to visit the mobile BMV during scheduled site visits when they are 365 days from EPRD.
4. Operator's License or Learner's Permit: Incarcerated individuals should be referred to see the mobile BMV during scheduled site visits when they are 150 days from EPRD.
5. DD214 Report of Separation: May be applied for at any time during the individual's incarceration. Should not be applied for under 60 days from EPRD.

B. Refusal

1. If an incarcerated individual refuses to apply and received Vital Records / credentials, an initial refusal form must be completed and signed by the incarcerated individual and documented in DELTA.
2. After 24 hours, but not to exceed 72 hours, the incarcerated individual will be offered the opportunity to apply for Vital records/credentials. If the incarcerated individual refuses, a second refusal form must be completed and documented in DELTA.

C. Application and Receipt of Vital Records

1. Birth Certificate:

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- a. The birth certificate shall be applied for during initial Intake. If it was not completed at initial Intake, upon arrival to the incarcerated individual's assigned facility an incarcerated individual will be offered the opportunity (by their caseworker) to fill out an application for a birth certificate. The caseworker will notify enter the Re-Entry coordinator to begin the process.
- b. If an incarcerated individual refuses to apply for and receive a birth certificate, an initial refusal form must be completed and signed by the incarcerated individual, two staff members, and documented in DELTA.
- c. After 24 hours, but not to exceed 72 hours, the incarcerated individual will be offered another opportunity to apply for a birth certificate. If the incarcerated individual refuses, a second refusal form must be completed and documented in DELTA.
- d. The Re-Entry Coordinator (or designee) will review the applications for accuracy and will submit the applications using the IDOH portal electronic submission process. A confirmation number will be generated.
- e. Only two staff members per facility can have IDOH portal access to submit birth certificates electronically. If a facility is unable to obtain electronic access, they will follow the current process of submitting the application via mail.
- f. The Re-Entry Coordinator will forward (via email) the applicant list with incarcerated individual's DOC number, and the IDOH confirmation number to the appropriate business office supervisor. The Re-Entry Coordinator will maintain a copy of the lists for quality assurance and accurate tracking.
- g. The Re-Entry Coordinator must document the application submission and receipt in the Service Intervention section of the Case Plan screen and note section in DELTA.
- h. All birth certificates will be forwarded directly to the Re-Entry Coordinator for processing. Once the birth certificate is received at the facility, the Re-Entry Coordinator will notify the business office

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within 5 business office with the status of the order per the confirmation number.

- i. If there are any missing certificates, the Re-Entry Coordinator will notify the business office and Re-Entry Monitor Vital Records Liaison within 5 business days for follow-up.
- j. The Re-Entry Coordinator will ensure the birth certificate is placed in the incarcerated individual's release portfolio and scanned in IRIS and documented in DELTA.
- k. An incarcerated individual must not be given their birth certificate prior to their release.
- l. Birth certificates must be secured at all times and not accessible to any incarcerated individual.

2. Social Security Card

- a. As part of the 180 day face to face release meeting process, the Re-Entry Coordinator will generate the referral report from DELTA, one time a month, to determine the incarcerated individual's need for a replacement Social Security card. If the Re-Entry Coordinator discovers the incarcerated individual is missing a birth certificate, they will offer the incarcerated individual the opportunity to apply for the record as well.
- b. The Re-Entry Coordinator will ensure the eligible incarcerated individual is offered an application for a replacement Social Security card and provide assistance completing the application if necessary.
- c. No copies of the Social Security application will be kept.
- d. If an incarcerated individual refuses to apply for and receive a Social Security card, an initial refusal form must be completed, signed by the incarcerated individual, two staff members, and documented in DELTA.

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- e. After 24 hours, but not to exceed 72 hours, the incarcerated individual will be offered another opportunity to apply for a replacement Social Security card. If the incarcerated individual refuses, a second refusal form must be completed, signed by the incarcerated individual, two staff members, and documented in DELTA.
- f. If the incarcerated individual refuses to sign the refusal, complete the refusal form, but note the incarcerated individual refused to sign.
- g. The Re-Entry Coordinator will review the applications for accuracy and submit to the Servicing Field Social Security Administration office. The servicing office is determined by the zip code of the facility and can be found online at:  
  
<https://secure.ssa.gov/ICON/main.jsp>
- h. Once the Social Security card is received at the facility, the Re-Entry Coordinator will ensure the Social Security card is placed in the incarcerated individual's release portfolio and scanned in IRIS as well as documented in DELTA.
- i. An incarcerated individual's Social Security card is not to be given to the incarcerated individual prior to release.
- j. Social Security cards must be secured at all times and not accessible to any incarcerated individual.

3. Bureau of Motor Vehicles (BMV) Credentials

The BMV mobile unit make site visits, at a minimum, two times each calendar year. The BMV mobile team provides the opportunity for incarcerated individuals to receive a state identification card, Operator's license credential or a learner's permit.

The schedule, forms and preparation instructions can be found on the SharePoint IDOC BMV Resources page:

<https://in.gov.sharepoint.com/sites/BMVDOCResource>

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Any submissions, questions or requests are to be made to:

[BMVmobilebranch@BMV.IN.gov](mailto:BMVmobilebranch@BMV.IN.gov)

The Re-Entry Monitor/BMV Liaison shall be copied in all correspondence to the BMV.

4. State Identification

- a. The Re-Entry Coordinator will receive notification of their facility scheduled BMV Mobile site visits.
- b. Incarcerated individuals with 365 days or less to their EPRD are initially eligible to receive a credential. If they are not in the BMV's system, the Re-Entry Coordinator will need to provide a copy of the incarcerated individual's birth certificate and/or Social Security card.
- c. The Re-Entry Coordinator will generate a list of incarcerated individuals and provide them to the BMV no later than 2 weeks prior to the site visit date. If the BMV does not receive the list within this time frame, the visit may be cancelled and will need to be rescheduled (if dates are available).
- d. The BMV will screen the list and notify the Re-Entry Coordinator who is eligible to receive a state identification credential.
- e. The Re-Entry Coordinator will ensure that the Affiant Letter and State Form 50879, "Indiana Residency Affidavit," are completed and signed. If there is verified placement address (shelters, transitional housing are not verified placement), specifically a residence, the address portion of SF 50879 can be filled in with the incarcerated individual's placement address. The credential will still be mailed to the facility.
- f. Once the incarcerated individual's State identification (ID) credential is received at the facility, the Re-Entry Coordinator must complete the service intervention section and enter a case note in DELTA reflecting the credential was received and placed in their release portfolio.





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h. Credentials must be secured at all times and not accessible to any incarcerated individual.

D. Release:

Upon release, the incarcerated individual will be provided any original vital records/credentials that are in their release portfolio.

E. Sex Offenders

a. Any incarcerated individual required to register as a sex offender after release is mandated to obtain a state identification card. Unit Team and Re-Entry staff shall make every effort to assist the incarcerated individual in obtaining this record prior to release.

b. Any incarcerated individual 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.

c. If an incarcerated individual refuses to receive any vital record or credential, Unit Team and Re-Entry staff will have the incarcerated individual sign a refusal form and it should also be documented in a case note.

F. If an incarcerated individual is transferred to another facility, vital records/credentials must be forwarded in the incarcerated individual packet to the receiving facility.

G. If the records/credentials were not forwarded when the incarcerated individual is transferred, it is the responsibility of the transferring facility to make sure the receiving facility receives the record/credential(s).

H. Below is the proper disposition of any record/credential after an incarcerated individual is released from a Department facility.

1. Social Security Cards

a. If the incarcerated individual has been released to Parole, Community Transition Program, or Probation without their Social Security card, the incarcerated individual's placement will be confirmed.

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- b. Once confirmed, the Re-entry Coordinator will forward the Social Security card to the specific Parole District, Probation, or the Community Corrections Agency in which the incarcerated individual is serving CTP.
  - c. A Social Security card shall not be forwarded to a shelter, motel/hotel, transitional housing, local jail, or residence. These Social Security cards will be forwarded to Central Office / Re-entry Division.
  - d. In the event of an incarcerated individual death, vital records/credentials must be received at the Central Office location within ten (10) business days of date of death.
2. Birth Certificates, State Identification or Operator’s License
- a. If the incarcerated individual has been released to Parole, Community Transition Program, Probation, or Transitional Housing without their birth certificate and/or state identification, the incarcerated individual’s placement shall be confirmed.
  - b. Once confirmed, forward the birth certificate and/or State identification to the specific Parole District, Probation, Transitional Housing, or the Community Corrections Agency in which the incarcerated individual is serving CTP.
  - c. If the incarcerated individual is released to the community, mail the birth certificate/State identification to the incarcerated individual’s confirmed release address.
  - d. A birth certificate/State identification shall not be forwarded to an emergency shelter, motel/hotel, or local jail. These shall be forwarded to Central Office / Re-Entry Division.
  - e. In the event of an incarcerated individual death, vital records/credentials must be received at Central Office location within ten (10) business days of date of death.

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- I. If it is determined that an incarcerated individual's records and/or credentials should be forwarded to Central office, the record/credential shall be forwarded to:

Indiana Department of Correction  
Attention Re-Entry Services  
302 W. Washington Street, Room 334,  
Indianapolis, IN 46204.

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**XII. CASE PLAN CREDIT TIME:**

All incarcerated individuals admitted to the Department after January 1, 2022, and who upon their arrival at their initial housing facility have greater than 180 days to their EPRD, will automatically be entered into the Case Plan Credit Time (CPCT) structure. Those with less than 180 days between arrival at their initial housing facility and their release are not eligible for CPCT due to the Case Plan not being required. CPCT is designed so that an incarcerated individual receives additional educational credit time of no more than one (1) day for every three (3) days spent under the Case Plan.

Incarcerated individuals who were admitted to the Department before January 1, 2022 were given the option to opt into CPCT or stay with the traditional educational credit time structure.

Any incarcerated individual that was initially incarcerated before January 1, 2022 but released on Parole prior to being offered the option to opt in or out of CPCT and returns as a Parole Violator (technical only) without new charges, will be offered the option to opt in within 30 days following their initial Parole hearing.

**A. Case Plan Credit Time Structure**

For all incarcerated individuals who participate in the CPCT structure for educational credit time, Case Plan assessments are reviewed and assessed for compliance and progress in programming and personalized interventions by the assigned caseworker/casework manager. Compliance with/progress with minimally 50% of the incarcerated individual's Case Plan is mandatory to receive any additional educational credit time under this structure. Additionally, the incarcerated individual must not have refused any program (as defined in this policy and administrative procedure as a program, not a course or activity) referred to and offered, quit the program, or have been terminated from the program for behavior or conduct during the review period to receive the Case Plan point.

Incarcerated individuals with an EPRD of at least 180 days but not more than two (2) years from January 1, 2022 or arrival at initial housing facility, will receive one (1) review during their current episode. The timing of the review must strive towards proportionality of work completed during the current incarceration episode and the amount of credit time for which they are eligible. If the review is successfully passed, all eligible additional educational credit time (ECT) will be awarded.

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Incarcerated individuals with an EPRD greater than (2) years but not more than four (4) years from January 1, 2022 or arrival at initial housing facility, will receive two (2) reviews. The timing of the reviews must strive towards proportionality of work completed during the incarceration episode and the amount of credit time for which they are eligible. If the review is successfully passed, all eligible additional educational credit time (ECT) will be awarded.

Incarcerated individuals with an EPRD of four (4) to six (6) years from January 1, 2022 or arrival at initial housing facility will receive three (3) reviews. The timing of the reviews must strive towards proportionality of work completed during incarceration episode and the amount of credit time for which they are eligible. If the review is successfully passed, all eligible additional educational credit time (ECT) will be awarded.

Incarcerated individuals with an EPRD greater than six (6) years from January 1, 2022 or arrival at initial housing facility, will be reviewed annually for the duration of their incarceration.

Review dates will be determined by calculations in DELTA and displayed on the DELTA dashboard. For incarcerated individuals participating in CPCT, these reviews will be used to determine whether the incarcerated individual is eligible for educational credit time in accordance with Section VII, "Credit Time," of Policy and Administrative Procedure 01-04-101, "Adult Classification."

Upon review of the incarcerated individual's Case Plan, the assigned caseworker/casework manager shall compile required review forms, supplemental documentation, and the up-to-date Case Plan to document the incarcerated individual's progress since the last review for additional credit time. Both the incarcerated individual and caseworker/casework manager are required to sign all review forms in the packet. For incarcerated individuals participating in the CPCT structure, all educational credit time reviews must be done as a face-to-face contact. The CPCT packet will be submitted to the designated facility Unit Team Manager for review within twenty (20) calendar days of the review period end date generated on the DELTA dashboard. Upon approval and signature from the designated Unit Team Manager, the designee will submit the CPCT review packet for earned credit time to Central Office by uploading the forms to DELTA within ten (10) calendar days of the CPCT packet being forwarded from the caseworker/casework manager (but not to exceed 30 calendar days of the review period end date). The review packet will be examined by the Central Office CPCT Analyst. If any errors are found, the review will be returned to the facility UTM for correction. The UTM

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will resubmit the corrected packet within five (5) calendar days of receipt. Once it is determined to be complete, the CPCT Analyst will forward the recommendation of facility staff to the Sentence Computation Specialist to complete the approval or denial of the time cut per statute.

B. Case Plan Credit Time Review Packet

The CPCT review packet should contain the following information in the following order: CPCT Scoring Tool, Case Plan, and **either** State Form 3380, “Work Evaluation or Idle Review.”

Packet Review considerations include:

1. **Case Plan:** Compliance with this portion of the review is mandatory to pass the review. Unit team staff shall ensure that each incarcerated individual has at minimum one active intervention for each review.
2. **Prison Intake Tool (PIT) Refusal:** Incarcerated individuals who refuse to participate in the IRAS-PIT assessment will not be eligible to earn educational credit time or any additional credit time through the CPCT process.
3. **Refusing Education:** CPCT structure allows incarcerated individuals who refuse educational services to pursue other Case Plan goals/interventions **only** if the case worker does not believe that the educational programming is in the incarcerated individual's best interest. In this case, a referral should not be made, but if one had been made previously, the referral should be closed as either “client not appropriate for services” or “re-refer at a later date”.
4. **Mental Illness:** Incarcerated individuals with serious mental illness shall be eligible for educational credit time if medical and/or behavioral goals and interventions are met, based on a review from Health Services staff.
5. **Medical Interventions:** Incarcerated individuals participating in CPCT structure should continue to pursue medical, behavioral, and other goals/interventions outlined in their individualized Case Plan.

C. Parole Violators (See Attachment)

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1. **Parole Violators / PV-T/ PPH-T** (Technical Violations only) with more than 180 days of incarceration from the date of their Parole Board Hearing are eligible for CPCT, unless they opted out during their prior episode.
2. **Parole Violators / PV-NC** (New Charges) with more than 180 days of incarceration from the date of arrival at the initial housing facility are eligible for CPCT. For these individuals, it does not matter which HEA 1120 option they have chosen previously, they are currently opted into CPCT.
3. **Parole Violators / PPH-NC** (Pending Charges) will not be eligible for CPCT due to non-appearance at the Indiana Parole Board. No Case Planning will be completed for them per this policy and administrative procedure until their pending case is disposed, or they have a hearing with the Indiana Parole Board.
4. **CTP Violators/ CTP-TV** Individuals returned from CTP remain on executed Department time. If they are returned, they will continue with the same CPCT Option they were with during their current episode (if they have more 180 days of incarceration after their return).
5. **Community Supervision Violators – CSVT-NODOC, CSVN-NODOC, CCVT-NODOC, CCVN-NODOC, CSVT-RTDOC, CSVN-RTDOC, CCVT-RTDOC, CCVN-RTDOC** Majority of these violations will be returning with new charges or commitments. Due to this fact, these individuals are now opted in to CPCT, assuming they have more than 180 days of incarceration on the current episode.

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XIII. APPLICABILITY:

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

signature on file  
 Christina Reagle  
 Commissioner

\_\_\_\_\_ Date