
Policy Number: 1

Title: Case Planning Policy

Effective Date: TBD

PURPOSE: The purpose of this policy is to establish standardized guidelines for assessment-driven, collaborative case planning across all community supervision delivery systems in Minnesota. The goal is to ensure fair, equitable, effective, and consistent supervision practices that focus on identified criminogenic and behavioral health needs for moderate- and high-risk individuals, promoting behavior change, reducing recidivism, and enhancing public safety.

APPLICABILITY: Community Corrections Act (CCA) agencies, County Probation Officer (CPO) agencies, and the Minnesota Department of Corrections (DOC) This policy applies to all community supervision agencies and probation/supervision staff.

DEFINITIONS:

Case Plan – A case plan guides the corrections practitioner and the client toward the accomplishment of specific requirements and goals. The plan targets criminogenic needs and should be written, time and goal driven, and dynamic in nature.

Case Planning – Case planning is different than monitoring the client's conditions. The purpose of case planning is to reduce a client's risk of re-offense by building skills using cognitive behavioral interventions targeting a client's criminogenic needs. If a client has more than one criminogenic need, the initial case planning process will help align with an initial area of focus.

Cognitive Behavioral Interventions (CBIs) – individual or group interventions designed to help clients on supervision recognize and change harmful thinking patterns, beliefs, and behaviors that lead to criminal activity. These interventions focus on cognitive restructuring (teaching clients to identify and challenge distorted or risky thoughts), skill building (developing problem-solving, decision-making, and coping skills), and behavioral change (encouraging prosocial behavior and replacing harmful habits with constructive actions).

Criminogenic Need: Circumstances and behaviors that increase the risk of recidivism and indicate targets for intervention (Examples include antisocial attitudes, antisocial companions, substance abuse problems, education/employment deficits, family/marital issues, and lack of prosocial leisure activities).

Evidence-Based Practices (EBP): Strategies and techniques proven through rigorous empirical research to reduce recidivism, such as motivational interviewing, case planning, targeting more interventions to higher-risk individuals and less intervention to lower risk individuals, targeting an individual's thinking and behaviors through skill building, personalizing the approach for the best outcomes, and engaging community support.

Level of Service/Case Management Inventory (LS/CMI): A validated assessment tool used to determine an individual's risk of recidivating, identify circumstances and behaviors that increase or mitigate risk (needs

and strengths) indicating targets for intervention, and to identify specific responsivity factors for an individual.

Risk-Need-Responsivity (RNR) Model: A framework supported by extensive research, comprised of principles guiding effective client rehabilitation. Key principles include directing more intervention to higher-risk individuals and less intervention for lower risk individuals (Risk Principle); targeting criminogenic needs through case planning and intervention (Need Principle); and tailoring interventions to an individual's learning style, motivation, and abilities (Responsivity Principle).

Responsivity Factors: Individual characteristics that can affect an individual's response to interventions, such as motivation, cognitive abilities, mental health, and learning style.

- a. General Responsivity – Justice involved individuals are more successful when they have a professional alliance with their agent and more success when the agent uses cognitive behavioral interventions to building skills targeting the individual's criminogenic needs.
- b. Specific Responsivity - The individual's specific situation and characteristics must be considered with client interventions. Some of many such considerations are a client's learning style, motivation, abilities, and cultural context.

POLICY: All applicable clients shall receive a case plan that is assessment-driven, targets criminogenic needs, and is responsive to individual strengths and barriers. The process will align with the RNR model and utilize the CSTS platform for documentation and ongoing updates. The plan must be a joint effort between the probation officer and the individual to maximize the likelihood of success.

Key Components

A. Mandatory Case Planning

1. Agents shall case plan with all high and very high-risk clients under supervision. As capacity allows, agents shall case plan with medium risk clients.
2. The case planning process shall be utilized and documented at each planned client visit, when applicable.

B. Agencies and agents will use and document an evidence-based case planning process that incorporates the initial and on-going processes such as:

1. Engagement
2. Assessment
3. Feedback
4. Focus and Alignment
5. Goal Setting
6. On-Going Skill Practice
7. Transition

C. Assessment-Driven Approach

1. Case plans must be based on a current validated risk and needs assessments, such as the Level of Service/Case Management Inventory (LS/CMI), similar tools, and/or for responsive cases/caseloads a trailer tool such as the Dynamic Risk Assessment for sex offense specific individuals.
2. Assessments will guide prioritization of intervention targets and intensity of supervision.

D. Focus on Criminogenic Needs

1. Plans must target the “Central Eight” criminogenic needs. It is encouraged that case planning target anti-social peers, anti-social attitudes, and anti-social behaviors. The eight criminogenic needs are:
 - Antisocial behavior
 - Antisocial personality pattern
 - Antisocial cognition
 - Antisocial associates
 - Family/marital circumstances
 - Education/employment
 - Leisure/recreation
 - Substance abuse
2. Non-criminogenic needs may be addressed as secondary, supportive goals.

E. Alignment with the RNR Model

1. Risk Principle – The level of supervision and interventions must match the client’s risk level.
2. Need Principle – Focus must be on building behavioral skills around a client’s criminogenic needs.
3. Responsivity Principle:
 - c. General Responsivity – Clients are more successful when they have a professional alliance with their agent and more success when the agent uses cognitive behavioral interventions to building skills targeting the individual’s criminogenic needs.
 - d. Specific Responsivity - The individual’s specific situation and characteristics must be considered with client interventions. Some of many such considerations are a client’s learning style, motivation, abilities, and cultural context.

F. Integration with CSTS

1. The case planning process shall be documented and updated within the CSTS system.
2. CSTS will be used to record assessments, interventions, case planning process, goals, action steps, progress notes, and indicators of success or progress.
3. It is highly recommended that staff be trained in CSTS functionality relevant to case planning and documentation.

Roles and Responsibilities

- Probation Officers: Develop, monitor, and update case planning in CSTS in collaboration with clients.
 - Supervisors: Ensure compliance with policy, provide oversight, and review case planning for quality assurance.
 - Administrators: Ensure staff training, system support, develop and follow an evidence-based implementation plan and policy adherence across the department.
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Training

All relevant staff shall receive training on the following:

- 1) Motivational Interviewing I and II
- 2) Core correctional practices
- 3) Validated Assessments
- 4) Cognitive Behavioral Interventions
- 5) Case Planning

Quality Assurance and Review

Supervisors will conduct periodic audits of case planning in CSTS to ensure fidelity to this policy. Agencies shall collect and analyze data on key metrics related to case planning, such as the number of open case plans by risk level, frequency of updates, percentage targeting specific needs (criminogenic vs. non-criminogenic), types of interventions used, and completion of action steps. This data will be used to inform continuous quality improvement efforts.

PROCEDURE:

Individual jurisdictions shall develop local procedures related to case planning.

INTERNAL CONTROLS:

A. [Sample internal control]

B.

REFERENCES:**REPLACES:**

Policy xxx.xxx, "Policy Title," mm/dd/yy. [Last effective date.] [Omit line if new.]

All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS:

[Sample attachment]

APPROVAL:

Commissioner of Corrections

NOTES – Please:

1. Use auto-formatting – be sure bullets, numbering, and outline are all set to “NONE.” There must be one header at a minimum.

2. Do not use hard returns. You should use paragraph spacing instead. Check to see that line spacing is set to 1, and that the alignment is set to be left-justified.
3. Use Times New Roman 12, and leave the styles set at "AaBbCc Normal." Bold and italicize definitions of categories. Do not underline.
4. Use the tab to indent lines and paragraphs, not spacing, and leave the tabs on the ruler bar blank so it just defaults to the invisible standard tab every half inch.
5. Thank you!!

DRAFT