7.1 – CASE PLANS

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7.1. Case Plans

7.1.1. Responsibility

- Reception Committee
- Case Management Team
- Manager, Offender Services & Programs (Employment)
- Manager / Deputy Manager, Classification & Placement
- Classification and Case Management Review Coordinator
- Correctional Manager, Case Management, Classification and Placement (GEO)
- Case Management Supervisor (GEO)
- Assistant Superintendent / SCO
- Case Plan Coordinator
- Case Officer
- Manager Offender Programs Unit
- Corrective Services Industries (CSI) staff
- Probation & Parole
- Statewide Disability Services staff
- Aboriginal Client Service Officer
- Aboriginal Strategy and Policy Unit
- Regional Aboriginal Project Officer
- Aboriginal Assessment & Support Officer

7.1.2. Legislation / Policy

- ACO 97/60
- Crimes (Administration of Sentences) Regulation 2014
  - Chapter 6 – Reception
  - Chapter 4 – Release of Inmate Details
  - Chapter 20 – External Leave Programs
  - Chapter 22 – Corrective Services Industries
- Offender Classification and Case Management Policy and Procedures Manual
- Custodial Corrections Operations Procedures Manual (CCOPM) - Section 18

7.1.3. General instructions – all case plans

- An initial case plan is required for every convicted inmate with 6 months or more remaining until EPRD.

- An initial case plan is not required for a convicted inmate if there is less than 6 months remaining from the time of sentence until the inmates earliest possible release date. Throughout the reception, screening and induction phase, as well as during the classification process, officers and staff are required to identify any immediate risks and needs and refer inmates to services as required, in line with CSNSW's duty of care.
• The initial case plan must, as far as practicable, be developed and approved within 28 days of the inmate becoming a sentenced inmate.

• The initial case plan provides a ‘road map’ for both the inmate and the department which will lead to a reduced risk of re-offending. When an inmate is transferred from a reception centre to a gaol of classification this plan is to be reviewed and if necessary varied at the gaol of classification so that the inmate’s assessed needs can be matched against the resources available in the centre.

• Case plans are to be completed in OIMS when a Case Management Team (CMT) meeting is convened to either establish or review an inmate’s case plan as part of the classification process.

• All CMT’s are to be chaired by a custodial officer at the rank of Senior Correctional Officer or above or equivalent at a private centre. It is the responsibility of the CMT Chairperson to ensure that all requirements in relation to classification, placement and case planning are completed in a timely manner.

• While it is expected that the CMT Chairperson will complete the classification and case plan screens in OIMS in order to ensure accuracy and consistency of information in relation to the security and classification of the inmate, there may be instances where a member of the CMT other than the chairperson will be required to enter the data. A collaborative approach should be adopted to cater for local factors and in order to provide the most efficient and effective outcomes.

• In all but exceptional circumstances, the inmate is to be present at the CMT to enable input into the case plan and to acknowledge the classification and placement recommendations.

• All data entry relating to the CMT process must be entered at the time of the CMT occurring.

• If an LSI-R has been completed within the last 12 months either in the community or in custody and there have been no significant events which would change the risk group, that assessment should be used to create the initial case plan.

• An LSI-R is to be administered (if required) by the time of the twelve week classification, placement and case plan review.

• Initial case plans developed after sentencing are to be considered a whole-of-sentence case plan, and where relevant cover strategies for both custody and the community.

• An inmate’s case plan must be reviewed and if required updated at each subsequent CMT review. A case plan can also be reviewed when an inmate is being considered for a change of placement, regression, upon completion of programs or when other significant events occur.

• Initial case plans must be relevant to the individual’s criminogenic needs and must reflect the risk, need and responsivity issues of the inmate.

• Initial case plans must be specific and understood by the inmate and other stakeholders. CMT’s must ensure that case plans are realistic and achievable by the inmate within CSNSW resources.

• If an LSI-R has already been administered prior to the initial case plan and scores 6 or higher in the Employment/Education section the CMT will refer the inmate for education and/or employment programs.

• The identification of inmates who need to participate in specific therapeutic programs should occur as soon as possible within the case planning process so that assessments, referrals and participation occur before the inmate’s earliest possible release date.

• The level of complexity in case plans will reflect the level of risk of re-offending. For example, low risk inmates will have basic case plans while plans for high-risk inmates will be more comprehensive and include more interventions.

### 7.1.4. Case Plan Factors

Case plans are to be based on factors including, but not limited to:
- Risk of re-offending
- Assessed criminogenic needs of the inmate
- Offence related factors
- Assessed, non-criminogenic needs of the inmate (e.g. immediate needs identified at screening)
- Responsivity factors (e.g. literacy levels, disability, social needs, psychological state, mental health issues, culture, ethnicity).

Regard should be given in case plans to:

- Available information related to the offender
- The sentencing court’s comments in relation to the inmate and his/her offence(s)
- All assessments conducted thus far
- Whether or not the inmate is likely to be deported from Australia
- The inmate’s criminal history and correctional centre history
- The likelihood that the inmate may try to escape from custody
- The need to protect the community
- The resources available to the department
- Whether the inmate has a disability and the effect that this will have on placement and access to required programs and supports.

Where applicable, each intervention strategy should endeavour to adhere to the SMART principle

- **S**pecific - specific factors, goals and casework steps must be identified
- **M**easurable - the goals and casework steps must have a measurable outcome
- **A**chievable - the goals and casework steps must be able to be achieved having regard to all relevant circumstances of the inmate
- **R**elevant - the goals and casework steps must address the inmate’s criminogenic needs
- **T**ime based – where relevant, the goals and casework steps must be time framed.

### 7.1.5. Additional Considerations

#### Child Protection

For any child related offences or other child protection concerns refer to Chapter 25.

**Serious Offenders Review Council (SORC)**

Initial case plans are to be completed for offenders subject to review by the Serious Offenders Review Council (SORC) and the High Security Inmate Management Committee (HSIMC) as part of the classification and case planning process.

For further information regarding SORC offenders refer to Chapter 18.

**Earliest Possible Release Date (EPRD) and Transitional Support**

Case plan reviews must take place at least once within each twelve month period

As part of the case plan review process, the CMT should identify the time frame until the inmate’s earliest
possible release date. During the final review prior to the inmates release from custody, the case plan should focus on transitional support informed by the Planning for Release: NSW Exit Checklist (see Transitional Support Framework following). The exit planning checklist must be given to the inmate at this review and referrals made to relevant staff.

Provisions for Transition to the Community

Where an inmate is serving less than six months or is of low risk of re-offending, the primary goal becomes successful transition to the community based on the Transitional Support Framework. This is also true of inmates serving longer sentences but who have less than six months to serve before their earliest possible release date (ERPD).

Progression through the Classification Categories

Every case plan should, as far as possible, allow for progression towards the lowest security rating (C3/Cat1) and access to pre-release leave programs before the inmate’s EPRD.

Programs, Traineeships and Services Available at Gaol of Classification

In the placement of an inmate into a correctional centre, regard must be given to the availability of appropriate programs/courses at that centre.

Needs Specific to Individual Inmates and Restraints Imposed by Resources, Policies and Procedures

Regard must be given in an inmate’s placement that his/her specific needs can be met at the gaol of classification; (e.g. special management, methadone treatment, adult education, health concerns, disabilities). Bed availability will at times determine the placement of inmates into particular locations even though appropriate program resources for the inmate are limited in that centre.

7.1.6. Case Plan Interventions

Intervention strategies may include, but are not limited to:

- Further assessments to be completed
- Referrals to programs to be completed
- Services to attend
- Case management supervision to be provided

Intervention strategies may also include the provision of health services, the management by a Risk Intervention Team and strategies to minimise any disadvantage suffered by a disabled inmate. The Personality and Behavioural Disorders Unit (PBDU) is able to provide specialist assessment, consultation and support to correctional centres managing inmates with severe personality and/or behavioural disorders.

- **Disability** – This includes sensory/physical and/or intellectual disability and may influence case plan content. Statewide Disability Services Unit is to be contacted for advice on the inmate’s management.

- **Aboriginal Cultural Assessment** – Aboriginal inmates may participate in a cultural assessment undertaken by an Aboriginal Assessment and Support Officer. The cultural assessment may contribute to the case planning for the inmates. Refer Manager, Classification and Placement, Indigenous Inmates, Deputy Manager, Classification and Placement, Aboriginal Inmates and Chapter 23.1 and 26.12.

- All convicted inmates must be interviewed at least once a month for case management purposes and the outcome of this interview must be recorded in OIMS.

- Programs outlined in case plans must be limited to available ‘accredited’ or ‘approved’ programs, regardless of the location of these programs.

- Initial case plans should consider interventions to be achieved throughout the whole of the sentence including interventions available in both custody and the community.
It is essential that the case plan be created with the inmate in order for them to have ownership of the plan and to increase the likelihood of compliance.

If interventions are inconsistent with the sentencing court’s comments in relation to the case plan, the case planner must draw attention to and give reasons for the inconsistency.

Intensive program input is to be targeted at inmates with assessed medium to high risk of re-offending while those with low risk and low need should receive little or even no program intervention beyond the implementation of Transitional Support. However, normal inmate services will continue to be delivered regardless of reoffending risk. The level of intervention through program participation requirements must be clearly outlined in the inmate’s case plan.

Note: An inmate unable to participate in program(s) nominated in his/her case plan due to unavailability of such program(s) at the time may progress to C2/Cat2 (C1/Cat3 SORC inmate) when to progress would not be considered to pose a security risk in the Centre and when the inmates behaviour, cooperation, and general centre participation have been of a high standard.

Probation and parole staff should be involved with correctional centre staff in the development and monitoring of case plans for inmates who will come under parole supervision. Where a pre-sentence report has been completed by a probation and parole officer, the information contained in this report should be used in building an inmate’s profile and in the development of the case plan.

Effective case management must be supplemented by a knowledge and understanding of the characteristics and needs of ethnic minority groups. Case plans should resource services sensitive to the particular cultural background of the inmate and those which would be most appropriate in responding to his/her particular needs.

7.1.7 General Procedures

- Initial case plans created at Remand Centres are to be reviewed and where necessary varied at the gaol of classification or transit centre within 12 weeks of the date of sentencing.
- Inmates must be administered the LSI-R prior to the 12 week case plan review unless a valid LSI-R is already entered and approved on the OIMS.
- Some further assessments are pre-requisites for particular programs. Should the inmate be eligible for sex offender or violent offender programs the case plan should include as intervention strategies both the program and the assessments required.

Once the case plan is created and discussed with the inmate, the Classification and Case Management Review Coordinator (Correctional Manager, Case Management, Classification and Placement – GEO/Case Management Supervisor – GEO) must ensure the case plan is submitted to the Manager/Deputy Manager Classification and Placement within 21 days of creation.

Information previously collected on an inmate is to be sourced and reviewed. These include, but are not limited to: Pre-sentence reports, discharge summaries, Judge’s Sentencing Remarks, police custody management record, inmate identification and observation forms, intake screening forms, Justice Health information (Health Problem Notification Form, Medical Alerts, AOD summary), Alerts, community case plans and community case notes.

7.1.8 Objectives

Identify and develop objectives for each factor listed. These include skill attainment, harm minimisation, abstinence, and behaviour modification. Completion of an intervention program is one of several strategies to attain an objective; it is not the objective itself.

7.1.9 Specific Procedures

- In general, case plans will not include clinical assessments to be conducted by a psychologist unless required by the sentencing court. These assessments may be conducted, at the psychologist’s discretion, usually as part of a therapeutic intervention or to inform a decision making body such as the SORC, Parole Authority or Court.
• Case plans must include the **Work Readiness** Program for those inmates who meet the criteria (refer Chapter 22).

• For inmates with a sentence length of 12 months or greater, the case plan must reflect the intention of having the inmate participate in external leave program(s) at the appropriate time in his/her sentence.

### 7.1.10. Case Plan Reviews

- The Manager, Offender Services & Programs (Employment) is responsible for ensuring that all reviews required in accordance with the case management process are carried out.

- If, and when an inmate is transferred to another gaol of classification the case plan will be checked by the Reception Committee, who will refer the case plan to the Classification and Case Management Review Coordinator, (Correctional Manager, Case Management, Classification and Placement – GEO/Case Management Supervisor – GEO) if a review is required.

- Case officers are to monitor each inmate’s progress and response to his/her case plan and document comments as case notes. (Refer 3.2.3 (d) Case officers are to meet with inmates at intervals required in the case plan and prior to classification and case plan reviews, to provide advice to the CMT regarding case plan progress.

- At each case plan review, the CMT will take note of whether the inmate is participating in the Work Readiness Program, and if so, take into account the Work Readiness Assessment provided on a six-monthly basis by the workplace supervisor. This assessment should be timed to occur before and in proximity to the date for the CMT Review.

- Case plan reviews are to be conducted not later than 12 months after the previous case plan was adopted and if the sentencing court’s comments in relation to an inmate were unavailable when the initial case plan was prepared these should be taken into account at this time. A new case plan is not to be created, although variations are permitted.

- Probation and Parole staff should be involved with correctional centre CMTs in the review of case plans at the appropriate pre-release stage for inmates who will come under parole supervision in the community. A second case plan should not be created at this time, however, Probation and Parole staff should ensure the original case plan is reviewed to address the factors outlined in the plan. Additional interviews may be required for the pre and post release period and these should be added to the case plan in the pre-release reviews. Community supervision of parolees should be based on the whole-of-sentence case plan and must not invoke the creation of a new plan.

- When considering progression to C3/Cat1 and participation in external leave program(s), Probation and Parole management strategies for the inmate upon gaining parole should be an important part of deliberations by the CMT and Manager/Deputy Manager Classification and Placement. Advice should be sought from Statewide Disability Services Unit (SDS) where the inmate has a disability.

- Any proposed release arrangements for an offender being released to supervision must be fully canvassed with the Probation and Parole Officer during the pre-release phase. To this end, any Offender Services and Programs staff working with inmates on pre-release planning issues should check whether the inmate is subject to supervision by the Probation and Parole Service on release.

- Identified custodial staff are authorised to access Community Offender Services (COS) case notes. The identified staff are Security Manager, Senior Assistant Superintendent and Principal Correctional Officer. Only reception correctional centres will have this access.

- An inmate’s case plan must be reviewed when he/she is placed on, released from segregation. When an inmate is diagnosed with or is suspected of suffering from a mental illness, Justice Health advice from psychiatry services is to be carefully considered. The CMT must consider the circumstances resulting in a segregation direction, the inmate’s performance while on segregation and any issues requiring follow-up. The case plan review must occur at the first opportunity after the inmate is placed on segregation but within 72 hours, and at the first scheduled CMT meeting occurring after the inmate’s removal from segregation. Documentation regarding the inmate’s performance while on segregation must be attached to the case plan review form and placed on
the inmate’s case file.

- An inmate’s case plan must be reviewed when he/she is placed on, and released from SMAP/PRLA/PRNA. The CMT must consider the circumstances resulting in a SMAP/PRLA/PRNA direction, the inmate’s performance while on SMAP/PRLA/PRNA and any issues requiring follow-up. The case plan review must occur at the first opportunity after the inmate is placed on SMAP/PRLA/PRNA, and at the first scheduled CMT meeting occurring after the inmate’s removal from SMAP/PRLA/PRNA. Documentation regarding the inmate’s performance while on SMAP/PRLA/PRNA must be placed on the inmate’s case file.

- An inmate’s case plan must be reviewed on completion of or removal from a Therapeutic Program (refer Chapter 19). The Program’s Discharge Summary is to be considered in reviewing the case plan, and therefore must be obtained by the local Classification and Case Management Review Coordinator (Correctional Manager, Case Management, Classification and Placement – GEO/Case Management Supervisor – GEO) as quickly as possible to enable the review to occur within a reasonable time frame.

- Placement in centres to enable participation in programs specifically developed for Aboriginal inmates should occur when appropriate and when possible. Further advice can be obtained from the APSU.

- CSNSW has signed an agreement with ACT authorities that inmates received from the ACT will be received into Goulburn Correctional Centre and, in the course of their sentences, be held whenever possible, in a correctional centre close to the ACT in order to facilitate visits from family and friends.

- Inmates should not be considered for the pre-release leave program unless they have addressed the issues that have been determined as being the underlying causes of their offending behaviour through the completion of approved programs within resources available and as specified in their case plans. For inmates with disabilities, the particular case is to be referred to the Statewide Disability Services staff for advice BEFORE any decision (either to include or exclude the inmate from a program) is made.

- The CMT is to ensure a referral is made for Assessment into a special Therapeutic Program (refer to Chapter 19) when the CMT/SPO/OS&P incorporates a requirement for such a program into an inmate’s case plan. This requirement does not replace the need for individual staff to make referrals when considered appropriate. *Specific note is to be made on this referral whenever the inmate is a serious offender.*

- The Assistant Superintendent/SCO is to monitor each inmate’s progress and response to his/her case plan and chair the classification and case plan reviews.

- The Assistant Superintendent/SCO are to provide supervision advice with respect to case plan reviews and on-the-job guidance to case officers.

- Case Officers allocated to offenders are required to conduct at least a monthly casework interview, or more frequently if required, that aims to motivate and encourage the offender to comply with their case plan. These interviews also assist in determining the offender’s progress of settling into their correctional experience, behaviour and are a rich source of dynamic security.

- Each offender interview must be documented by case officers making a case note entry in OIMS that is a true, accurate and comprehensive account of the interview.

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