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Section-06 Classification and Case Management	OP-060101	Page: 1	Effective Date: 07/07/2021
Overview of Case Management	ACA Standards: 2-CO-4B-01, 5-ACI-2B-02, 5-ACI-5B-05, 5-ACI-5E-09, 4-ACRS-5A-07, 4-ACRS-5A-13, 4-ACRS-5A-15		
Scott Crow, Director Oklahoma Department of Corrections	Signature on File		

Overview of Case Management

Case manager functions within the Oklahoma Department of Corrections (ODOC) include appropriate and timely classification of all inmates, providing crisis intervention, work assignments, programmatic activities, managing behavior, developing open communication between staff and inmates, assistance with re-entry, and assisting with facility operations and inmate development. Other functions consist of documenting and communicating any behavior that would present a risk to the facility, staff, other inmates or the public to ensure appropriate action is taken to safeguard the agency’s mission. (2-CO-4B-01, 5-ACI-5B-05, 5-ACI-5E-09, 4-ACRS-5A-07)

I. Inmate Accessibility to Case Management Staff

Facilities will have scheduled case management coverage a minimum of five days per week.

Case managers will be assigned work hours as determined by the facility head/administrator to allow for inmate accessibility compatible with the role of case management and facility need, in accordance with [OP-030101](#) entitled “Unit Management Overview and Major Objectives.” (5-ACI-5E-09)

II. Responsibilities of Case Management Staff (5-ACI-2B-02, 5-ACI-5B-05, 4-ACRS-5A-07)

Case manager responsibilities/duties will include:

- A. Developing individualized accountability plans, as documented on the “Adjustment Review” form ([DOC 060203A](#)) to address identified needs of the inmates on their assigned caseloads. (5-ACI-5B-05)
- B. Responding to all inquiries in regard to those inmates on their assigned

caseloads. (5-ACI-5B-05)

- C. Participating in the facility and unit orientations of newly assigned inmates and ensuring inmate awareness of available programs. (5-ACI-5B-05)
- D. Maintaining a current list of inmates assigned to their caseload. The listing will include information critical for the proper classification and management of the inmate in accordance with this procedure, to include eligibility date for lower security. This will be submitted monthly to the unit manager. (5-ACI-5B-05)
- E. Participating in the inmate disciplinary process. (5-ACI-5B-05)
- F. Encouraging active participation in programmatic activities and ensuring appropriate referrals for all programs are noted on the inmate's case plan. Case managers may function as program providers as a means of ensuring a variety of programmatic opportunities are available to the inmate population. (5-ACI-2B-02, 5-ACI-5B-05)
- G. Appropriate classification of inmates on their caseload. (5-ACI-5B-05)
- H. Awareness and knowledge of classification procedure revisions, additions, or deletions, and implementation of revised procedures as they become effective. (5-ACI-5B-05)
- I. Ensuring inmates are appropriately classified and appropriate transfer packets are submitted in accordance with [OP-060104](#) entitled "Community Corrections Assessment", [OP-060204](#) entitled "Inmate Transfers", [OP-060102\(F\)\(M\)](#) entitled "Female/Male Initial Custody Assessment Procedures" and [OP-060103\(F\)\(M\)](#) entitled "Female/Male Custody Assessment Procedures." (5-ACI-5B-05)
- J. Reviewing inmate progress at least once a month and documenting the review in the case notes section of the Offender Management System (OMS). (5-ACI-5B-05)
- K. Facilitating inmate reentry according to procedures outlined in [OP-060901](#) entitled "Pre-Release Planning." (5-ACI-5B-05, 4-ACRS-5A-13)
- L. Regarding female inmates, a copy of the "Pregnant Inmate Guidelines" MSRM Form 140145.01H will be submitted within 30 days of learning that an inmate is pregnant (via receipt of a copy of the "Pregnant Inmate Guidelines" MSRM Form [140145.01H](#)); the inmate's case manager will notify the Oklahoma Department of Human Services (DHS) via the statewide hotline, 1-800-522-3511.

1. The case manager will provide the hotline operator with the inmate's first and last name, ODOC #, the fact that the inmate is pregnant and her current facility location. No other information will be provided to the hotline operator.
2. The case manager will then document this notification in a case note on OMS. The case note will include the phone number, date and time notification to the Oklahoma Department of Human Services was made, the name of the DHS operator, and the current housing location of the inmate.
3. A copy of the "Pregnant Inmate Guidelines" (MSRM Form [140145.01H](#)), will be filed in Section III of the inmate's field record pursuant to [OP-060212](#) entitled "Maintenance and Access of Inmate/Offender Records."

III. Inmate Case Note Report

A. Maintenance of Case Note Reports

All case managers will maintain "Case Notes" on each inmate assigned to them with a minimum of a monthly entry in OMS. If the inmate is away from the facility for more than a month (i.e., court, etc.); a case note will be made each month to reflect his/her continued absence.

1. All contacts/discussions/interviews/classification actions between the case manager and the inmate will be recorded in the case notes to include current eligibility dates and packet submission, changes in earned credit levels and disciplinary actions, inmate progress toward case plan compliance, re-entry, and overall adjustment to incarceration.
 - a. Case notes should also contain other significant information such as death/illness in the inmate's family, marital/family issues and other social contacts.
 - b. A case note entry will be made on OMS documenting pertinent information relating to the inmate and/or contact made by the case manager with the inmate at a minimum of once each month. "Copy and Paste" case notes from month to month are unacceptable.
2. When an inmate transfers to another facility or paroles, discharges, etc., the case manager will enter termination summary remarks. The remarks should include a brief description of the inmate's progress, problems, concerns, or recent developments, which a subsequent case manager or probation and parole officer may need to address. (4-ACRS-5A-15)

3. Generally, case notes will not include information pertaining to individualized protected health information, to include details related to personal treatment such as medications, diagnosis or any other matters protected by HIPAA (45 CFR Part 160 and Part 164 (The Privacy Rule)). Additionally, information related to mental health, should generally not be included because it is privileged and confidential. (43A O.S. § 1-109(A)). Only the minimum amount of individualized protected health information or information related to mental health and or treatment services necessary for the agency to carry out its function should be included in a case note. (43A O.S. § 1-109(A); HIPAA, 45 CFR Part 160 and Part 164; and Confidentiality of Substance Use Disorder Patient Records, 42 CFR Part 2).
4. Due to the nature of the information often contained in case notes and considering that state and federal law may protect said information contained in case notes and case note reports from being disclosed to the public, to law enforcement, or to any entity outside of ODOC without specific types of authorization or court orders, ODOC employees are prohibited from disclosing case notes and case note reports unless it has been determined by the office of the General Counsel that the case notes can be disclosed.

B. Completed Case Note Reports

Printed case note reports will be maintained in section four of the inmate's field file.

IV. Supervision

The facility head will ensure that the case manager IV and unit managers meet with case management staff at least quarterly to discuss and provide training concerning statewide classification issues, statewide and facility procedural changes and facility level case management issues.

V. References

Policy Statement No. P-060100 entitled "Classification and Case Management of Inmates/Offenders"

OP-030101 entitled "Unit Management Overview and Major Objectives"

OP-060104 entitled "Community Corrections Assessment"

OP-060102(F)(M) entitled "Female/Male Initial Custody Assessment Procedures"

OP-060103(F)(M) entitled "Female/Male Custody Assessment Procedures"

OP-060203 entitled "Adjustment Review"

OP-060204 entitled "Inmate Transfers"

OP-060212 entitled "Maintenance and Access of Inmate/Offender Records"

OP-060901 entitled "Pre-Release Planning"

43A O.S. § 1-109(A)

HIPAA

45 CFR Part 160 and Part 164 (The Privacy Rule)

42 CFR Part 2

VI. Action

The administrator of Classification and Population is responsible for compliance with this procedure.

The chief of Operations is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the agency director.

This procedure is effective as indicated.

Replaced: Operations Memorandum No. OP-060101 entitled "Overview of Case Management" dated May 20, 2020

Distribution: Policy and Operations Manual
Agency Website

Referenced Forms

Title

Location

[DOC 060203A](#)

“Adjustment Review”

[OP-060203](#)