

State of Iowa Department of Corrections

Policy and Procedures

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Chapter 4: INSTITUTIONAL SERVICES

Sub Chapter: CLASSIFICATIONS

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Administrative Code Reference: N/A

Subject: CASE MANAGEMENT

PREA Standards: N/A

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1. PURPOSE

To describe the incarcerated individual case management processes conducted in the Iowa Department of Corrections (IDOC).

2. POLICY

To reduce incarcerated individual risk and identify programming and criminogenic needs, it is the policy of the IDOC to use a consistent statewide case management system that focuses resources on moderate and high-risk incarcerated individuals. The case management system includes the assessment of risk, needs, and responsivity to develop a case plan that includes follow-up and documentation, transfer of records, staff training, and continuous quality improvement.

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3. Definitions - As used in this document:

- A. Dynamic Risk Assessment for Offender Reentry (DRAOR) Institution – Structured assessment of dynamic risk, responsivity, and protective factors. This assessment is used to identify treatment goals, as well as strategies to manage potential risk in the prison setting.
- B. Presentence Investigation (PSI) – Investigation of the relevant background of a convicted incarcerated individual designed to act as a sentencing guide for the sentencing judge.
- C. Risk, Needs, and Responsivity (RNR) Principle – risk assessments form the basis of the case plan. Risk assessment information dictates the degree of intervention based upon assessed level of risk to reoffend. (Criminogenic) Needs describe the factors that have been demonstrated through research to be associated with and predictive of future criminal behavior. Identification of the specific needs of individual incarcerated individuals and those needs successfully addressed will decrease the probability of future crime. Responsivity is the need for individualization and is a key component to determining the best way to approach programming for incarcerated individuals. Case plans shall be developed with sensitivity to the responsivity principle.

4. PROCEDURES

A. Case Management Requirements

(NOTE: For procedures specifically related to Sex Offender Treatment Program, please see DOC Policy section Offender Programs> Sex Offender Treatment Program (**OP-SOP**).)

1. Assessments

- a. During the incarcerated individual reception process, the Iowa Medical and Classification Center (IMCC) and the Iowa Correctional Institution for Women (ICIW) shall complete the Iowa Violence and Victimization Instrument (IVVI) and the Iowa Risk Revised (IRR) in Iowa Corrections Offender Network (ICON) on all incarcerated individuals.

- b. Other assessments shall be used for specialized population need areas (i.e., mental health, sexual offending, battering, and education deficits case planning).

2. Case Planning Process

a. Institution Transition Plan (ITP) Only

Incarcerated individuals with IVVI scores in violence of low- and scores in victimization of low or low/moderate may be considered for ITP only, no DRAOR Institution assessment completed. The focus will be on reentry efforts. Specific treatment interventions may be recommended by the institution case manager for completion while incarcerated or upon return to the community, based on individual cases.

- b. Incarcerated individuals serving a life sentence without eligibility for release and long-term incarcerated individuals (not releasable within five years). The focus will be on, but not limited to, day-to-day wellness, institutional adjustment, and annual progress.
- c. An incarcerated individual whose discharge date is within eight months or less AND will be discharged straight to the community without any supervision.

d. DRAOR Institution and Institution Transition Plan

- 1) Incarcerated individuals who are releasable in five years, IVVI scores in violence that are moderate or above, scores in victimization of moderate/high or above, and/or incarcerated individuals with Iowa Sex Offender Risk Assessment and Static-99R or a combination of both assessments' risk scores that are moderate or above shall have a DRAOR Institution and Institution Transition Plan completed, as Interventions are tied to the Institution Transition Plan.
- 2) The DRAOR Institution and Institution Transition Plan shall be completed within 60 days of assignment to any institution's general population following reception.

e. DRAOR Institution and Institution Transition Plan Reassessment Process

- 1) DRAOR Institution and Institution Transition Plan review/revision is an ongoing process which takes place between the counselor and the incarcerated individual. The review/revision shall be event driven with a focus on transition planning as release approaches.
- 2) Events that can indicate that a DRAOR Institution and Institution Transition Plan review shall occur include:
 - a) Additional programming expectations have been identified.
 - b) Incarcerated individual behavior that is positively or negatively impacting the DRAOR Institution and Institution Case Plan.
 - c) Annual Classification Review, Board of Parole review where a release is recommended, and Release Planning.
 - d) Generic Notes may be utilized to monitor all other incarcerated individual contacts with case managers/counselors. Institutions should identify procedures that outline frequency of counselor/incarcerated individual contact, based on the RNR Principle.
3. The DRAOR Institution and Institution Transition Plan shall be completed every four months if an event above does not occur. For those incarcerated individuals who have been identified as Institution Transition Plan only, reassessments will be event driven and if event does not occur, update is required every 12 months.
4. Staff shall complete ICON screens, including Offender Interventions and Intervention Programs, Offender Needs, and Pre & Post Intervention Assessments (if completed), and

Intervention Session Summaries, to document incarcerated individual programming participation and progress.

B. Need Prioritization

1. All required and other programming shall be identified in the Institution Transition Plan.
2. A copy of the Institution Transition Plan shall be given to the incarcerated individual.
3. Incarcerated individuals may appeal the Institution Transition Plan required-programming within twenty-four (24) hours to the Associate Wardens of Treatment.

C. Treatment Participation

1. *Core Programs and Program Placement Criteria (IS-CL-03 Attachment 3)*.
 - a. Core Programs target the primary incarcerated individual criminogenic needs and are supported by data indicating reduced incarcerated individual recidivism when implemented properly. The IDOC sanctions the Core Programs as the principal interventions that will be deployed across institutions and community corrections to address incarcerated individual criminogenic needs.
 - b. Likewise, the Placement Criteria represent the MINIMUM standards that programs/interventions should apply to incarcerated individual participation eligibility.
 - c. It is strongly recommended that, whenever possible, sex-specific programming is offered.
 - d. It is recognized at times the Courts or Iowa Board of Parole may encourage incarcerated individual participation in specific programming. The IDOC reserves the right to rely on assessments that identify incarcerated individuals' criminogenic needs and will utilize assessment results to determine incarcerated individual appropriateness for programming.
2. Proposed Core Programs

All new programs and/or activities shall be assessed through each institution team. If the new programs and/or activities are supported by the institution, then Associate Wardens of Treatment/Designees shall complete **IS-CL-03 Attachment F-1 Program/Activity Screening Checklist** for any new proposed core programs and/or activities, whether those core programs be considered Interventions, Vocational/Educational, Activities, Increased Protective Factors, or Responsivity. The checklist is to be sent to Central Office - Institutions, Reentry and Programs. Quarterly, this division shall review all applications and shall be charged to ensure that all programs and activities are effective in reducing recidivism and efficient in use of state resources.

3. Refusal to Participate in Required Programming

- a. Incarcerated individuals who refuse to participate in required programs shall be subject to disciplinary action. Disciplinary action shall be taken when the Classification Team has determined that the incarcerated individual should now begin the required program, it is available, and the incarcerated individual refuses to participate or refuses to sign an agreement to participate. (Please refer to IDOC Policy **OP-SOP-02 Assessment and Treatment** for due process procedures as pursuant to **Iowa Code Section 903A** for removal of sex offenders from programming upon treatment refusal and IDOC Policy, **IS-CL-10 SOTP/IDAP Hearing and Appeal Procedures**.)
- b. This due process hearing of a classification committee decision is an administrative remedy and the incarcerated individual shall not have a right to use outside legal counsel during the hearing or appeal process.
- c. Incarcerated individuals who agree to participate in required programs but are then removed from the required program because of unsatisfactory program participation shall be subject to disciplinary action.
- d. The Classification Team shall take reasonable steps (i.e., utilization of Core Correctional Practices, including Motivational Interviewing skills, recognition of incarcerated individual's stage of change, and focus on intrinsic motivation to make changes) to encourage the

incarcerated individual to participate in the required programming prior to taking disciplinary action. An incarcerated individual who has been disciplined for refusing to participate in a required program, or who has refused to resume required programming after being removed and disciplined for unsatisfactory program participation, shall be subject to disciplinary action again 90 days following the previous disciplinary action. The Classification Team shall regularly schedule meetings with those incarcerated individuals who have been disciplined in an effort to encourage their program participation.

- e. Incarcerated individuals shall be disciplined up to two times for refusal to participate and/or removal for unsatisfactory program participation. Refusal to participate in more than one program shall not result in additional disciplinary action, but shall still be considered when the incarcerated individual is being reviewed for privileges and/or release. Any dismissed disciplinary actions shall not count toward the two time limit of discipline.
- f. An incarcerated individual who has previously been disciplined for refusing to participate in a required program or for unsatisfactory participation in a required program, and who has now successfully completed that program, may ask the Warden/Designee to have their disciplinary decision dismissed per IDOC Policy **IO-RD-03** *Major Discipline Report Procedures*. (If the incarcerated individual has been disciplined twice, only the most recent disciplinary decision shall be considered for dismissal.)
- g. Incarcerated individuals may refuse to participate in optional programs and such a refusal shall not result in disciplinary action.
- h. This policy does not preclude special privileges (such as the furlough program, transition/level-incentive programs, etc.), from being withheld from incarcerated individuals who have not fulfilled the program participation requirements for those privileges.
- i. When transferred to an institution for programming or treatment particular to that institution, the incarcerated

individual may again be transferred for lack of appropriate or satisfactory program participation or upon completion of the program.

4. Satisfactory Completion

Satisfactory completion includes but not limited to: completing all classes, homework assignments, activities with a compliant attitude and meets level of satisfactory participation by complying with the following: attends and participates in all treatment sessions and discussions, takes responsibility for criminal behavior, and has no major disciplinary reports which impact the assigned treatment program.

D. Pre-Release Planning and Release Recommendations

1. The development of incarcerated individual release planning begins when the incarcerated individual is admitted to prison with the initiation of the Institution Transition Plan and/or DRAOR Institution. The Institution Transition Plan and/or DRAOR Institution is reviewed with the incarcerated individual as described above, including the annual classification review, and updated as necessary. Verification of release plans with the community shall be completed prior to the incarcerated individual's release. (**IS-CL-03 Attachment 5** *Home Placement Questionnaire Checklist*,)
2. Institution staff shall provide incarcerated individual treatment, release, and pertinent information to the Board of Parole through updated ICON intervention and Board of Parole Release Plan screens in accordance with the incarcerated individual interview and review schedules communicated by the Board. The Board of Parole Release Plan shall provide an in-depth view of the incarcerated individual. It shall contain the incarcerated individual's community transition plans - including protective factors, treatment needs and participation status, release recommendation(s) including suggested Board of Parole release code, any outstanding detainers or pending criminal proceedings, and in the case of sex offenders the status of the civil commitment process.
3. Staff-initiated reviews may be advanced to the Board of Parole prior to an incarcerated individual's scheduled Board review. The following items will frame the staff initiated review decision

making process: incarcerated individual pro-social behavior, completion of required treatment programs, release plan with social supports, risk reduction, and prior Board decision code that does not limit early review.

E. Board of Parole Decision Appeal

An incarcerated individual may appeal the Board of Parole decision within 10 days of receipt of notice (**IS-CL-03 F-5** *Iowa Board of Parole Appeal Form*).

F. Continuous Quality Improvement

Additional training will be provided for existing employees as defined by best practices in the field to include but not limited to the following areas:

1. DRAOR - Institution
2. DRAOR - Institution
3. IOWA Tool
4. Annual program inventory report with gap analysis.