Case planning is most effectively conducted through a process which engages the offender, properly targets the needs for intervention, is flexible and adaptable, and used as a form of "contract" between the supervising officer and probationer. The following graphic shows a seven step process to conduct case planning followed by a description of each step. Community corrections agencies are encouraged to follow this model to enhance the effectiveness of case planning that leads to risk reduction.
Case Plans Step by Step

For those offenders who are moderate to high risk and who will be on supervision go through these steps in this sequence when developing a case plan.

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td><strong>Engage the offender</strong> by describing what you will be doing, information you will be sharing, roles of each, expectations of supervision, and consequences for misconduct. Emphasize that you want the offender to succeed and the case plan process will serve as a roadmap to increase the likelihood that they will be successful.</td>
</tr>
<tr>
<td>2</td>
<td><strong>Identify the risk and criminogenic needs.</strong> Divert the low risk from intensive case planning. Use case plans for moderate and high risk (L1, L2, and L3). Sort the needs for sequencing so that the driver and the most influential criminogenic needs (NC’s Big Four) are worked on first.</td>
</tr>
<tr>
<td>3</td>
<td><strong>Review the sentencing conditions</strong> that must be met. These conditions may not coincide with the assessed criminogenic needs. If they are different, make sure offenders understand that BOTH the sentencing conditions AND the criminogenic needs will be addressed throughout their supervision. (Court conditions are reviewed in the OMC Checklist)</td>
</tr>
<tr>
<td>4</td>
<td><strong>Assess the offender’s motivation</strong> to work on the criminogenic needs through motivational interviewing (MI) techniques such as asking open-ended questions, affirmations, reflective listening and summarizing or using a structured means such as the decisional balance (pg 32 – Carey Guide Participant’s Manual). (Start with the information gained from the self report on what the offender would like to begin to improve)</td>
</tr>
<tr>
<td>5</td>
<td><strong>Identify the strengths</strong> of the offender and use them to help motivate and give the offenders confidence that they can achieve success with their case plan goals.</td>
</tr>
<tr>
<td>6</td>
<td><strong>Identify the triggers</strong> or a response plan. Triggers are those people, places, and things that tend to stimulate anti-social behavior or lead to destructive decision making. (NC-Can add individual action steps to avoid specific triggers in the case plan)</td>
</tr>
<tr>
<td>7</td>
<td><strong>Build the plan.</strong> Complete the plan with the offender so they are a full participant. Seek to increase motivation as the plan is being built. Customize the plan based on responsivity factors. Do not exceed two goals at any one time. Make sure the plan follows the SMART (Specific, Measurable, Attainable, Realistic, Time-bound) guidelines. Have the offender sign the plan and give him/her a copy.</td>
</tr>
<tr>
<td>Thereafter</td>
<td><strong>Use the plan at every session (NC-OMC), adjusting it as the situation dictates.</strong> Make sure you</td>
</tr>
<tr>
<td></td>
<td>• Reward/affirm progress on the plan</td>
</tr>
<tr>
<td></td>
<td>• Sanction/express disapproval for anti-social acts</td>
</tr>
<tr>
<td></td>
<td>• Modify the plan as the need arises</td>
</tr>
<tr>
<td></td>
<td>• But, above all else, stay focused on the plan as the addressing of the criminogenic needs is what will ultimately drive recidivism down</td>
</tr>
</tbody>
</table>
This document is intended to assist staff in understanding which statements or questions from the Offender Survey and Officer Interview and Impressions are used to flag the criminogenic need.

**Big Four Criminogenic Needs**

**Anti-social values**

**Offender Self Report**
- I become angry when people try to tell me what to do
- I think the world owes me a better life
- I get even with people who mess with me
- I get in trouble because I have bad luck
- I think about how my actions will affect others
- Breaking the law is no big deal as long as you don't hurt someone

**Officer Interview and Impressions**
- Are you involved in any community or social organizations?
- Is the offender truthful in answering questions?
- Does the offender display a lack of remorse or guilt for his/her behavior?
- Has the offender indicated that they have no friends?

**Criminal Peers**

**Offender Self Report**
- How many friends do you have?
- How many of those friends are on probation, parole, or post release?
- How many of those friends are members of a gang?
- How many of those friends have ever committed a crime, whether or not they were arrested?
- How many of those friends sell or use drugs (including pot)?
- How many of those friends are involved in community or social organizations?

**Officer Interview and Impressions**
- Does the offender have gang markings or gang
- Did the offender commit the crime(s) with another person?

**Anti-social personality**

**Offender Self Report**
- Before age 15, I got in trouble for: Skipping school, Running away, Fighting, Having weapons, Forcing sexual activities on others, Hurting animals or people, Tearing up other property, Starting fires, Lying, Stealing something from others
- Sometimes I can't stop myself from doing something even if I know it is wrong
- It is exciting to try something that might get me in trouble
- I try to stay out of situations that might get me in trouble
- I apologize to others when I do wrong
- How many of the people are your close friends?

**Officer Interview and Impressions**
- Please rate the offender's attitude
  -5 = Offender has a negative attitude
  0 = Offender is indifferent
  5 = Offender has a very positive attitude

**Dysfunctional Family**

**Offender Self Report**
- Family members were in trouble with the law
- There were fights and arguments in my home
- When I knew I had a problem I knew someone in my family would help me solve it
- I knew I would be punished if rules were broken
- We didn't hold to any rules or standards
- Anything goes in our family
- I am happy with my current family life
- My family understands my situation and problems

**Officer Interview and Impressions**
- Did the offender report experiences consistent with family as a child?
- Is anyone dependant on you for financial support?
- Are there other members of your family under supervision?
- Are any other members of your family currently incarcerated?
- Are there any minor children in your home?
- Is the offender's current family environment positive?
Understanding the Pathway to Legal Lifestyle Choices

My probation officer explained to me and I understand that:

1. Certain circumstances that exist in my life lead to crime. These circumstances are not an excuse but I understand that they are influences on my decisions.

2. My primary circumstances that influence my decision to commit crime include:

   [List of circumstances]

3. My case plan is designed to help me address these influences/circumstances and that if I work on these the likelihood that I will commit another crime is reduced.

4. My probation officer wants me to succeed and will assist me however he/she can.

5. I am in charge of my decisions and must take responsibility for my own actions; it is not someone else’s responsibility.

6. If I fail to cooperate I could be facing additional consequences and these consequences were explained to me.

7. If I cooperate I could receive certain positive consequences that are in my best interest.

8. The involvement of my family is important to my success.

Signed __________________________ Date __________
(Probationer)

Signed __________________________ Date __________
(Probation Officer)
**Decisional Balance**

**Name:** ___________________________  **Date:** ___________________________

**Target Area:** ____________________________________________________________

**Purpose:** This tool can be used with offenders to help them explore why they may want to change a behavior or attitude. The goal is to help offenders increase awareness of how and why certain behaviors and positions might be in their best interest to change, what they may lose if they do change, and how they might reduce the negative consequences of those losses. It also helps offenders identify their level of motivation and confidence in moving to action.

<table>
<thead>
<tr>
<th>Deciding Not to Change</th>
<th>Deciding to Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Benefits (+)</td>
<td>Concerns (-)</td>
</tr>
<tr>
<td></td>
<td>Concerns (-)</td>
</tr>
<tr>
<td></td>
<td>Benefits (+)</td>
</tr>
</tbody>
</table>

**How confident are you that it is possible to change the behavior?**

1  2  3  4  5  6  7  8  9  10  
Not Confident  Very Confident

**How important is it to you to change the behavior?**

1  2  3  4  5  6  7  8  9  10  
Not Important  Very Important