

**North Carolina Department of Correction**  
**Office of Research and Planning**  
**Going Home Initiative (GHI)**  
**Standard Operating Procedures**  
*Revised June 2004*

**PURPOSE**

The North Carolina Department of Correction, Office of Research and Planning will serve as the coordinating agency for the Going Home Initiative. The purpose for the standard operating procedures (SOP) is to outline the process for the Going Home Initiative, including the inter-agency cooperation that is required in the initiative.

**RESPONSIBILITY**

Implementation responsibilities are shared between the Department of Correction, Department of Health and Human Services, Department of Commerce, Community College System and various community agencies. All agencies participating in GHI have signed a Memorandum of Agreement/Understanding (Attachments 1A and 1B) outlining their roles and responsibilities.

**DEFINITIONS & ABBREVIATIONS**

<i>SVORI</i>	Serious and Violent Offender Reentry Initiative
<i>GHI</i>	The Going Home Initiative is a federally funded grant to enhance transition and reentry services for offenders
<i>Cluster</i>	A county or group of counties identified in to participate in the Going Home Initiative
<i>Cluster Leader</i>	The point of contact for the Going Home Initiative in each local cluster
<i>Transition Team</i>	A group of representatives from various criminal justice, human service and community based agencies identified to assist in the development, implementation and monitoring of an offender's transition plan based on identified needs
<i>Local Partners</i>	Representatives of community-based service providers in each local cluster
<i>Interview Team</i>	Designated individuals from each cluster to conduct initial interviews at prison facilities with GHI participants
<i>NCDOC</i>	North Carolina Department of Correction
<i>DCC</i>	Division of Community Corrections (NC DOC)
<i>DOP</i>	Division of Prisons (NC DOC)
<i>DHHS</i>	Department of Health and Human Services

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<i>TAN</i>	Transition Aftercare Network (DOP – NC DOC)
<i>CJRC</i>	Criminal Justice Resource Center
<i>CJPP</i>	Criminal Justice Partnership Program (DCC – NC DOC)
<i>CM</i>	Correctional Case Manager (DOP – NC DOC)
<i>JDM</i>	Judicial District Manager (DCC – NC DOC)
<i>PPO</i>	Probation/Parole Officer (DCC – NC DOC)
<i>VR</i>	Vocational Rehabilitation
<i>TASC</i>	Treatment Alternatives to Street Crime (DHHS)
<i>DACDP</i>	Division of Alcoholism & Chemical Dependency Prevention (NC DOC)
<i>ESC</i>	Employment Security Commission
<i>OMM</i>	Offender Management Model
<i>MOU</i>	Memorandum of Understanding
<i>MOA</i>	Memorandum of Agreement
<i>MAPP</i>	Mutual Agreement Parole Program (DOP – NC DOC)

**Phase I: Institution-Based Programs**

*Identification*

NC Department of Correction - Office of Research and Planning will identify ***potential*** GHI candidates based on set criteria:

- (1) Will be released from prison under community supervision;
- (2) Will have a minimum of 90 days of community supervision;
- (3) Between ages 18-35 at time of release; and
- (4) Scheduled to return to one of the thirteen counties (Henderson, Buncombe, McDowell, Burke, Caldwell, Catawba, Durham, Wake, Duplin, Wayne, Lenoir, Greene or Pitt.

Research and Planning will generate a list of eligible inmates within 9-12 months of release. The Going Home Project Director will review the list, verify eligibility (***based on above criteria only***) and contact assigned case manger.

The Going Home Project Director will notify the assigned case manager that an inmate has been identified as a ***potential*** candidate for the Going Home Initiative. The Project Director and assigned case manager will discuss the inmate's appropriateness for the program based on county of release, inmate attitude and behavior, disciplinary problems, current activity and/or program assignments, transfer eligibility based on age, acuity level and custody level and willingness to participate.

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*Offender Agreement*

The assigned case manager will meet with the identified inmate to explain the Going Home Initiative. If the inmate agrees to participate, the assigned case manager will have the inmate sign the GHI Participation Agreement form (Attachment 2) and Consent for Release of Confidential Information form (Attachment 3). Once these forms have been signed, the assigned case manager will place them in a white folder labeled "Going Home Initiative". The white GHI folder will be placed in the Transition Folder inside the inmate's permanent file. The assigned case manager will then assign the inmate to the Going Home Initiative using the part-time activity Program Code - C57005 in OPUS, if the inmate is currently housed at a designated GHI facility.

*Inmate Transfer*

If the inmate who has been identified as a potential candidate for the Going Home Initiative is not currently housed at a "Designated GHI Facility" (see facility list below), once the GHI Participation Agreement and Release of Confidential Information forms have been signed and placed in the appropriate folders, as indicated above, the assigned case manager will assign the inmate for transfer to the appropriate "Designated GHI Facility" nearest their county of release based on appropriate custody and acuity levels. The DOP staff person entering the transfer information should use shipping code 20 - Special program assignment and put, "For Going Home Initiative" in the comments line. Once the inmate has been backlogged for transfer, the transfer coordinator or the institution designee will fax the Going Home Initiative Transfer list (see attached) to the Division of Prisons Transition Coordinator at (919) 715-5094. The Division of Prisons Transition Coordinator will ensure that the inmate is transferred to the appropriate GHI Designated facility within two weeks. If there is more than one inmate that needs to be transferred for GHI, the transfer coordinator should put all of the names on one GHI Transfer list before faxing the list to the DOP Transition Coordinator.

Once the inmate has been transferred to a designated GHI facility, the newly assigned case manager will assign the inmate to the GHI Program Code-C57005. If the inmate fails to comply with the GHI case plan or decides he/she no longer wants to participate in the program, the inmate will be returned to the sending unit.

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<i>Designated GHI Facilities</i>	Foothills Minimum (3720) Buncombe Correctional Center (4675) Craggy Correctional Center (4630) Black Mountain Correctional Center for Women (3040) Caldwell Correctional Center (4625) Catawba Correctional Center (4555) Marion Correctional Institution (3730) Haywood Correctional Center (4640) Wake Correctional Center (4265) Durham Correctional Center (4210) Raleigh Correctional Center for Women (3030) North Carolina Correctional Institution for Women (3010) Johnston Correctional Center (4230) Caswell Correctional Center (4415) Neuse Correctional Institution (3060) Wayne Correctional Center (4175) Greene Correctional Center (4140) Duplin Correctional Center (4125) Eastern Correctional Institution (3400) Fountain Correctional Center for Women (3020)
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<i>Approved to Enter Designated GHI Facilities</i>	The cluster leader will submit a GHI PIN check form for each individual in the cluster who may need to enter a Division of Prisons' facility to the GHI Project Director. The GHI Project Director will forward the GHI PIN check forms to the Division of Prisons Transition Coordinator for screening and approval. The GHI Project Director will forward an approved list to the cluster leader and designated facilities. The GHI Project Director will notify the cluster leader if any individuals are not approved. Individuals not on the approved list will not be allowed to enter any DOP facility.
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<i>Cluster Notification</i>	Once the GHI Participation Agreement and the Release of Confidential Information forms have been signed, the assigned case manager will notify the Going Home Project Director. The GHI Project Director will notify the cluster leader of the new GHI participant. The GHI Project Director will provide the cluster leader with the inmate's name, the inmate's GHI profile to include pertinent job/program information and the assigned case manager's contact information.
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The cluster leader will inform the members of the cluster of the GHI participant. Each individual working with the cluster will be required to sign an “Assurance of Confidentiality” form (Attachment 4). Copies of the Assurance of Confidentiality will be kept on file at the Office of Research and Planning.

*Facility Contact*

The cluster leader will contact the assigned case manager to arrange a meeting for the Interview and/or Transition Team.

*Initial Interview*

The Interview and/or Transition team will meet with the inmate and the assigned case manager to assess the inmate needs during the remaining incarceration period and after release. The primary focus of the initial interview should be to assess the status of the inmate’s home plan, employment and/or vocational needs and the identification of a mentor. Treatment needs and other issues will also be addressed. The inmate will complete the Offender Self Assessment Survey (Attachment 5) prior to or during the initial interview. After the initial interview, a Division of Community Corrections’ designee will conduct a home visit to assess suitability of the proposed home plan, if one exists.

*Transition Team*

Once the initial interview and verification of the home plan have been completed, the cluster members will meet to discuss the findings from the interview and home visit and determine which local partners need to be a part of the Transition Team. The Transition Team will be led by the assigned case manager during the Institutional Phase and will consist of individuals designated by the cluster to assist with addressing the identified needs of the inmate. The Transition Team will also identify other resources or agencies that need to be a part of the inmate’s Transition Team based on identified needs. A preliminary GHI Case Plan will be developed based on the inmate’s existing Case Management Plan (DOC Case Management and Transition Services Policy, Attachments 6 A and 6 B). A meeting with the inmate will be scheduled to finalize the GHI Case Plan. All services to be provided for the inmate will be documented using the GHI Case Plan (Attachment 7) and GHI Transition/Reentry Support form (Attachment 8). A copy of the completed case plan will be given to the GHI Project Director and to the inmate. The Going Home Initiative Transition Team Member List (see attached) should be attached to the GHI Case Plan. The Transition team will contact additional partner agencies, as needed, to participate in the

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development/implementation of the case plan. Updates/changes to the case plan will be forwarded to the GHI Project Director.

*Offender Specialist*

The Offender Specialist will serve as the main point of contact for the cluster and GHI participants on all employment issues. The Offender Specialist is responsible for providing direct services that address the employment and training needs of GHI participants. The offender specialist will complete an individual service strategy or education and employment plan for each offender. The plan should reflect an objective assessment of the offender's academic and occupational skill levels, career interests, work history and job readiness as well as needed support services. The Offender Specialist will provide core, intensive and training services in an effort to assist GHI participants obtain full-time, gainful employment. The Offender Specialist will provide these services to offenders during incarceration and after release. The Offender Specialist will identify offender-friendly employers within their designated counties and develop a network of prospective employers. The Offender Specialist will submit monthly reports (see attached) detailing the services provided and outcomes to the GHI Project Director.

*Implementation of  
Transition Plan*

The transition team for each participant is based on individual needs. The transition team will meet periodically with the inmate to ensure compliance with the case plan. Any contact with the inmate after the initial facility visit will be arranged through the assigned case manager with 48 hours advance notice. Information regarding the inmate and/or the inmate's case/transition plan will not be shared with individuals who have not signed the Assurance of Confidentiality. Information will only be shared with agencies/individuals who have been identified to assist with the implementation of the transition/case plan. If the Transition Team recommends specific conditions, that the inmate should meet once released that are different from or in addition to the standard conditions of release, the Chief PPO or DCC designee will forward the proposed conditions to the Post-Release Supervision and Parole Commission for final approval and inclusion in the final set of supervision conditions sixty days prior to release.

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*Non-Compliance/  
Individual Termination*

If an inmate fails to comply with the GHI case plan, is given major disciplinary infractions or chooses he/she no longer wants to participate in the GHI, the assigned case manager will notify the transition team. The transition team and the assigned case manager will meet with the inmate to discuss the situation when appropriate. The case manager and transition team will make all decisions on termination. If the team cannot come to a consensus, the GHI Project Director will make the final termination decision. Final decisions on termination due to non-compliance, behavioral issues or unwillingness to participate will be documented in the GHI case plan and the inmate will be terminated at that time. The cluster leader will notify the GHI Project Director of all final decisions.

**Phase II: Community-Based Transition Programs**

*Day of Release*

All release documents will be signed and forwarded to the Post-Release Supervision and Parole Commission per NCDOC inmate release policies and procedures (Attachment 9). The offender will be given an updated copy of the GHI case plan detailing all scheduled appointments, meetings and interviews. The Probation/Parole Officer will give the offender reporting instructions.

The transition team leader during the Community Phase will be the supervising Probation/Parole Officer. The transition team will meet with the offender within one (1) week of release. The Probation/Parole Officer will be responsible for scheduling transition team meetings during this phase.

*Supervision*

During the period of supervision, the offender will be required to adhere to the standard conditions of release as well as the objectives of the GHI transition plan. The transition team will meet regularly (at least once a month) to ensure the transition plan is properly implemented, to monitor compliance, and to make changes if necessary. Team members will report any problems or concerns to team leader immediately.

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*Non-Compliance/  
Technical Violations*

If the GHI participant fails to comply with the transition plan and/or conditions of release, then the supervising officer will notify the other Transition Team members and coordinate a meeting. During the meeting, the Transition team will discuss all aspects of the GHI participant's case. If the non-compliance is limited to technical violations/behavioral issues, then the Transition Team will decide on additional modification activities to be documented in the transition case plan. The full transition team will then meet with GHI participant to discuss the concerns/issues and gain agreement with the new course of action.

*Non-Compliance/  
Major/New Crime(s)*

If non-compliance includes major violations of supervision conditions and/or new crime(s), the team leader will notify the other Transition Team members and coordinate a meeting. During the meeting, the Transition Team will discuss all aspects of the GHI participant's case. In this situation, the supervising officer will have to follow DCC violation policy (Attachment 10) that outlines specific responses to major violations and/or new crime(s). The supervising officer will inform the Transition Team of the violation policy guidelines and document the appropriate response on the transition case plan. The Probation/Parole Officer will report all violations to the Post Release Supervision and Parole Commission. The Post Release Supervision and Parole Commission will make the final decision to continue with supervision or to proceed with revocation. The supervising officer will inform the Transition Team and the GHI Project Director about the Post Release Supervision and Parole Commission's decision.

*End of Supervision*

The transition team will meet sixty days prior to the end of supervision to assess the offender's progress and to prepare a long-term case plan. A copy of the final case plan will be kept on file with the cluster leader.

**Phase III: Community-Based Long Term Support**

*Aftercare*

Community-based transition team members will continue to offer services and/or support to GHI participants after supervision ends. Aftercare activities will be based on the needs of participants and



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available resources of community-based agencies and organizations. After the term of supervision ends, local partners will be responsible for implementing and monitoring compliance with the long-term case plan. Local partners will continue to report progress to the cluster leader. The cluster leader will document offender progress during aftercare on the long-term case plan.

**Other Policies**

*Reporting Procedures*

The transition team will submit documentation (monthly) to the cluster leader to track team case staffings and participant progress. The cluster leader will document all cluster activities and submit monthly reports (see attached) to the GHI Project Director. Other data requests will be coordinated with the Office of Research & Planning, the GHI Project Director and the Cluster Leader.

*Technical Assistance*

The GHI Project Director will be available to the cluster and transition team to provide technical assistance and support as needed.