PURPOSE
The North Carolina Department of Correction, Office of Research and Planning will serve as the coordinating agency for the Going Home Initiative. The Going Home Initiative is a three-phased reentry/transition initiative designed to create a seamless system among state and local government agencies, community and faith-based organizations, treatment providers and the community at-large. 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 outlining their roles and responsibilities.

ABREVIATIONS & DEFINITIONS

**SVORI**
Serious and Violent Offender Reentry Initiative

**GHI**
The Going Home Initiative is a federally funded grant to enhance transition and reentry services for offenders

**Cluster**
A county or group of counties identified to participate in the Going Home Initiative

**Cluster Leader**
The point of contact for the Going Home Initiative in each local cluster

**Interview Team**
Designated individuals from each cluster responsible for conducting initial interviews at prison facilities with GHI participants

**Transition Team**
A group of representatives from each of the state agency partners, led by the DOP case manager in Phase I and the DCC Probation/Parole Officer in Phase II. This team will consist of the Offender Specialist, necessary treatment providers, a mentor and any other local partners identified to assist in the development, implementation and monitoring of an offender’s transition case plan based on identified needs

**Local Partners**
Representatives of community-based service providers in each local cluster
North Carolina Department of Correction  
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_Faith Partners_  
Representatives from the faith community in each local cluster

_NCDOC_  
North Carolina Department of Correction

_DACDP_  
Division of Alcoholism & Chemical Dependency Prevention (NC DOC)

_DOP_  
Division of Prisons (NC DOC)

_DCC_  
Division of Community Corrections (NC DOC)

_CJPP_  
Criminal Justice Partnership Program (DCC – NC DOC)

_CJRC_  
Criminal Justice Resource Center (CJPP- Durham County)

_CM_  
Correctional Case Manager (DOP – NC DOC)

_JDM_  
Judicial District Manager (DCC – NC DOC)

_PPO_  
Probation/Parole Officer (DCC – NC DOC)

_MAPP_  
Mutual Agreement Parole Program (DOP – NC DOC)

_TAN_  
Transition Aftercare Network (DOP – NC DOC)

_Post Release_  
Post Release Supervision (DCC- NCDOC)

_DHHS_  
Department of Health and Human Services

_VR_  
Vocational Rehabilitation (DHHS)

_TASC_  
Treatment Accountability for Safer Communities (DHHS)

_Commerce_  
North Carolina Department of Commerce

_ESC_  
Employment Security Commission

_DET_  
Division of Employment and Training

_JobLink_  
JobLink Career Center

_WDB_  
Workforce Development Board

_NCCCS_  
North Carolina Community College System

_HRD_  
Human Resource Development

_Continuing Ed_  
Continuing Education

_DOL_  
Department of Labor

_Transition Case Plan_  
Working document based on the case plan developed by the correctional case manager to provide support and guidance in the following life areas: Behavior, Employability, Alcohol & Other Drugs, Education, Family, Life Skills, Physical/Medical, Mental Health, Financial, Housing, Transportation, Legal Status, Sex Offenders and Victims
North Carolina Department of Correction  
Office of Research and Planning  
Going Home Initiative (GHI)  
Standard Operating Procedures  
*Revised August 2004*

**Case Staffing**  
A structured meeting of the Transition Team (should include the offender when appropriate) to discuss compliance, progress, and necessary changes/updates to the transition case plan.

**Transition Folder**  
NC DOP Inmate Transition Folder- Envelope used by the DOP case manager to store all important documents related to transition/reentry that will be given to the inmate at the time of release.

**GHI Folder**  
White folder with red lettering for all GHI documents

**MOU**  
Memorandum of Understanding

**MOA**  
Memorandum of Agreement

**OMM**  
Offender Management Model- represents a framework for doing business, where offenders are assessed, case plans are developed, services are rendered and progress is monitored interdependently.

**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 who are within 9-12 months of release. The Going Home Initiative Project Director will review the list, verify eligibility (*based on above criteria only*) and contact assigned case manager. Case managers may also make referrals to the GHI Project Director. If a case manager identifies a potential GHI candidate at their facility, the case manager will ensure that the inmate meets all of the above-mentioned criteria. If the inmate meets all of the criteria the case manager will submit a GHI Institutional Referral form (*Attachment 1*) to the GHI Project Director.
Initial Screening

The GHI 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/behavior, disciplinary history and/or problems, current activity and/or program assignments, and transfer eligibility based on age, acuity level, custody level and willingness to participate. Participation in the Going Home Initiative is voluntary during Phase I.

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). The case manager should fax a copy of the signed participation agreement (Attachment 2) to the GHI Project Director at (919) 716-3990. Once these forms have been signed, the assigned case manager will place the originals in the white folder labeled “Going Home Initiative”. The white GHI folder will be placed in the NC DOP Transition Folder inside the inmate’s permanent file.

GHI Program Code

The assigned case manager will 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 (See List Below). Once assigned to the program code the inmate is officially a GHI participant.

Designated GHI Facilities

Black Mountain Correctional Center for Women (3040)
Buncombe Correctional Center (4675)
Caldwell Correctional Center (4625)
Caswell Correctional Center (4415)
Catawba Correctional Center (4555)
Craggy Correctional Center (4630)
Duplin Correctional Center (4125)
Durham Correctional Center (4210)
Eastern Correctional Institution (3400)
Foothills Minimum (3720)
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Fountain Correctional Center for Women (3020)  
Greene Correctional Center (4140)  
Haywood Correctional Center (4640)  
Johnston Correctional Center (4230)  
Marion Correctional Institution (3730)  
Neuse Correctional Institution (3060)  
North Carolina Correctional Institution for Women (3010)  
Raleigh Correctional Center for Women (3030)  
Wake Correctional Center (4265)  
Wayne Correctional Center (4175)

Non-Designated Facilities  
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”, the case manager should identify a designated facility nearest their county of release, based on appropriate custody and acuity levels. The signed participation agreement and consent for release of information forms will be handled in the same manner explained above and sent to the new unit with the inmate upon transfer. The case manager will initiate the transfer process and coordinate with the transfer coordinator or designee.

Inmate Transfer  
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 (Attachment 4) 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. The inmate is officially a GHI participant. 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.
Cluster Notification

Once the GHI Project Director receives the fax copy of the GHI Participation Agreement, the cluster leader will be notified 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. The case manager will provide additional information to the team during the initial interview and subsequent transition team meetings as necessary.

The cluster leader will inform cluster members of the GHI participant. Each individual working with the cluster will be required to sign an “Assurance of Confidentiality” form (Attachment 5). Copies of the Assurance of Confidentiality should be sent to the GHI Project Director and will be kept on file at the Office of Research and Planning. Information regarding the inmate and/or the inmate’s transition case 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.

Cluster Meetings

Each cluster will meet monthly to discuss the GHI process, the role of local partners, current status of GHI participants, for case staffings, to discuss current issues or barriers for existing and/or potential participants, transition team work, problems, concerns and the identification of new partners. Cluster meetings should also be used as a forum to educate new partners. Cluster meetings may also be used as a time for subcommittees or groups within the cluster to meet and give feedback to the larger cluster. Cluster meetings are open to the public and should have published meeting times and locations. The cluster leader should forward the date, time and location of cluster meetings to the GHI Project Director each month. However, case staffings and specifics related to individual GHI candidates should only be discussed among those partners who have signed a confidentiality form.

Facility Contact

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

The cluster leader will submit a GHI PIN Check form (*Attachment 6*) for each individual in the cluster who may need to enter a Division of Prisons’ facility as part of a Transition Team. The cluster leader will submit GHI Pin Check forms to the GHI Project Director. The GHI Project Director will forward the 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 as part of a transition team, but may participate in cluster meetings.

Initial Interview

The Interview 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, vocational, and treatment needs and the identification of a mentor. The inmate will complete the Offender Self Assessment Survey (*Attachment 7*) 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 entire cluster 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 for each participant is based on individual needs. The assigned case manager will lead the Transition Team during the Institutional Phase. 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. The purpose of the transition team is also to build a relationship with the inmate so that he/she will stay engaged in the GHI process from the institutional phase into the community.

Transition Case Plan Development

The initial GHI Transition Case Plan will be developed based on the inmate’s existing Case Management Plan (DOC Case Management and Transition Services Policy, Attachments 8 A and 8 B) and the Offender Self-Assessment Survey (*Attachment 7*). The case planning process is on-going; therefore the Transition Team will meet with the
inmate on a regular basis (at least monthly) to discuss goals, target dates, activities and individuals responsible during implementation of transition case plan. The transition case plan will identify services to access while in prison, during supervision and after supervision ends. All services to be provided for the inmate will be documented using the GHI Transition Case Plan (Attachment 9) and the list of transition team members (Attachment 9A) will be attached. All grant supported assistance for GHI participants will be documented using the GHI Transition/Reentry Support form (Attachment 10). Any request for payment of approved GHI expenditures should be documented using the GHI Vendor Invoice (Attachment 10A). Each life area being addressed will be documented using a separate transition case plan form. Life area descriptions are listed on the back of the transition case plan (Attachment 9).

The case manager will maintain the original transition case plan forms and distribute copies to the inmate, GHI Project Director and cluster leader.

The transition team should document a regular meeting schedule on the transition case plan. The case manager will forward all updates/changes to the transition case plan to the GHI Project Director.

**Implementation of Transition Case Plan**

The transition team will meet regularly with the inmate to update, monitor and ensure compliance with the transition case plan. The transition team should discuss progress, issues, concerns and newly identified resources. Any notes or updates should be documented using the transition case plan form. Any contact with the inmate will be arranged through the assigned case manager with 48 hours advance notice.

**Conditions of Release**

If the Transition Team recommends specific conditions that the inmate should comply with 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 approval and inclusion in the final set of supervision conditions sixty days prior to release.**

**Offender Employment Specialist**

The Offender Specialist will serve as the main point of contact for the cluster and GHI participants on all employment issues. The Offender Employment Specialist is responsible for providing direct services that
address the employment, vocational and training needs of GHI participants. **The Offender Employment 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. **This information should be reflected in the transition case plan.** The Offender Employment Specialist will provide core, intensive and training services in an effort to assist GHI participants obtain full-time, gainful employment. The Offender Employment Specialist will provide these services to offenders during incarceration and after release. The Offender Employment Specialist will identify offender-friendly employers within their designated counties and develop a network of prospective employers. The Offender Employment Specialist will submit monthly reports (database under construction) detailing the services provided and outcomes to the GHI Project Director. During Phase I, the Offender Employment Specialists main focus will be employment planning and preparation. Phase II will focus more on service delivery.

**Non-Compliance/Individual Termination**

If an inmate fails to comply with the GHI transition case plan, incurs major disciplinary infractions or chooses he/she no longer wants to participate in the GHI, the assigned DOP case manager will notify the transition team. **The transition team 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 transition case plan and the inmate will be terminated at that time. The cluster leader will notify the GHI Project Director of all final dispositions. The case manager will notify the inmate of his/her termination from the GHI.
Phase II: Community-Based Transition Programs

Day of Release

The transition team leader during the Community Phase will be the supervising Probation/Parole Officer. All release documents will be signed and forwarded to the Post-Release Supervision and Parole Commission per NCDOC inmate release policies and procedures (Attachment 11). The offender will be given an updated copy of the GHI transition case plan detailing all scheduled appointments, meetings and interviews. The updated transition case plan should include a clearly defined housing plan, employment plan and identified mentor. The case manager will give the white GHI folder containing all GHI forms and transition case plan to the PPO on day of release. The Probation/Parole Officer will give the offender reporting instructions. 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. The Probation/Parole Officer will ensure the transition case plan is in compliance with the Division of Community Corrections Case Planning Process (Attachment 12).

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 case plan. The transition team will meet regularly (at least monthly) to staff the case and ensure the transition case plan is properly implemented, to monitor compliance, and to make changes if necessary. Team members will report any problems or concerns to the supervising probation/parole officer immediately. The supervising officer will forward all changes and updates to the transition case plan to the GHI Project Director.

Non-Compliance/Technical Violations

If the GHI participant fails to comply with the transition case plan and/or conditions of release, then the supervising officer will notify the other Transition Team members and coordinate a team case staffing. 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 transition team will then meet with GHI participant to discuss the concerns/issues and gain agreement to any revision of the transition case plan.
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 team case staffing. 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 13) 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 develop a long-term case plan. The supervising officer will forward a copy of the final transition case plan to the GHI Project Director. A copy of the final transition case plan will be kept on file with the cluster leader.

Phase III: Community-Based Long Term Support

Long-Term Case Plan 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 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 monthly report.

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.
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.