



Local Reentry Council Standard Operating Procedures Manual

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I. **PURPOSE**

The purpose of this Standard Operating Procedure is to establish minimum uniform standards for the design and implementation of Local Reentry Councils and to ensure consistency throughout all North Carolina Local Reentry Councils.

II. **SCOPE**

These Standard Operating Procedures apply to all state-funded and affiliated North Carolina Local Reentry Councils.

III. **ORGANIZATIONAL STRUCTURE**

NC Local Reentry Structure – *(See Appendix)*

A. Local Reentry Council (LRC)

A Local Reentry Council (LRC) consists of an organized network of individuals and agencies from different disciplines and backgrounds that have a role or significant interest in providing supervision and coordination of innovative responses to the reintegration of justice involved and formerly incarcerated individuals at the local level.

The LRC mission is to reduce recidivism and victimization, increase public/community safety, create a network of individuals and organizations assisting justice-involved, maximize the use of existing resources and services; and develop innovative responses to address gaps in resources and services.

The LRC purpose is to coordinate resources in the community to provide assistance for justice-involved individuals and their families to facilitate a successful transition from incarceration back into their community.

B. Intermediary Agency (IA)

It is the policy of NC Department of Adult Correction (NCDAC) that each local reentry council have an organization with state and/or local recognition to serve as an Intermediary Agency (IA) for their local reentry council. The IA will provide administrative support, oversight, coordination, and implementation of the local reentry council. The IA responsibilities will include serving in the following roles:

1. Fiscal Agent

- a) Manage the budget and related expenditures for the local reentry council in the area based on allocated funding.
- b) Develop contracts and/or memorandum of agreement (MOA) for local service providers in the following areas of support provided by the local reentry council: employment, housing, transportation, vocational training, academic education, and childcare services.

- c) Collaborate with NCDAC/R&R to select, hire or contract with individuals for dedicated full-time staff positions of the local reentry council (e.g. Local Reentry Council Coordinator and Case Manager and/or Job Placement Specialist).
 - d) Provide office space, phone, office equipment/furniture, computer with internet access, and office supplies for dedicated Local Reentry Council staff (e.g., Local Reentry Coordinator and Job Placement Specialist).
 - e) Request reimbursement from the NCDAC/R&R for expenditures related to local reentry councils, local reentry council staff positions and service provider's invoices for supportive services rendered to participants.
 - f) Conduct program and fiscal monitoring and reporting to ensure program fidelity and contract compliance.
2. Liaison Role with NCDAC/Division of Rehabilitation & Reentry
- a) Provide capacity building, technical assistance, and support to service provider organizations.
 - b) Submit monthly reports as requested by the State and/or other stakeholders to ensure operations and fiscal administration of the Local Reentry Council funds.
 - c) Appoint a management level staff person of the Intermediary Agency to the Local Executive Committee of the Local Reentry Council. This individual will work collaboratively and assist the committee with key decisions on the operation, implementation and oversight of the Local Reentry Council.
 - d) Work with NCDAC/R&R in a consultative capacity to develop and maintain support for the implementation of the Local Reentry Council Model throughout the State.
 - e) Assist in the identification and pursuit of sustainability funding for local reentry councils.
3. Administrative Support/Technical Assistance
- a) Utilize the State's provided case management and data collection systems to track reentry services rendered and participant outcomes.
 - b) Participate in semi-annual program reviews as prescribed by the State.
 - c) Participate in training on the usage and adherence to the LRC Standard Operating Procedures Manual.
 - d) Participate in trainings and meetings held by statewide reentry partners, stakeholders, and NCDAC/Division of Rehabilitation and Reentry to include but not limited to, Evidenced-based Practices, Case Planning and Case Management, PREA, LRC case management and data collection system.
 - e) Participate in local and statewide public education and outreach efforts on reentry.
 - f) Maintain current membership lists of LRC Executive Committees, Local Reentry Council members, Sub-Committees, and Service Providers.
4. Responsibilities of NCDAC/Division of Rehabilitation & Reentry
- a) Provide technical assistance to Intermediary Agencies in the development, support, and sustainability of a local reentry council.
 - b) Conduct training for PREA, monthly reporting requirements, and Prisons orientation

sessions. The Intermediary Agency and all key personnel must attend and complete all training sessions. Training schedules will be mutually agreed upon between NCDAC/R&R and the Intermediary Agency.

- c) Provide training on the State-funded case management and data collection systems to track reentry services rendered and participant outcomes.
- d) Provide licenses, access and technical assistance case management and data collection system.
- e) Provide quarterly status reports of local reentry council.
- f) Provide Local Reentry Council Standard Operating Procedures training.
- g) Provide program reviews and trainings on Evidence-based Practices, Case Planning and Case Management.
- h) Monitor expenditures to certify compliance with guidelines and budgeting processes.
- i) Review and approve invoices for reimbursement.

C. Local Executive Committee - Decision Making Body

It is the policy of NCDAC/R&R that each Local Reentry Council develop a Local Executive Committee to govern the structure of designated Local Reentry Councils. *(See Local Executive Committee Structure in Appendix)*

1. Local Executive Committee Duties:

- a) Coordinate with the Intermediary Agency to develop an implementation plan that is designed to ensure participants are receiving effective and efficient supportive services.
- b) Coordinate with the Intermediary Agency to establish a consistent message regarding the LRC's purpose and serve as a voice for the local reentry council.
- c) Coordinate with the Intermediary Agency to establish criteria and/or policies for vendor contracts that will ensure a fair process to include fees and length of services *(MOA's for housing, transportation, childcare, etc.)*.
- d) Coordinate with the Intermediary Agency to schedule and conduct LRC meetings.
- e) Establish guidelines and by-laws for the Local Reentry Council.
- f) Ensure barriers for supportive services are leveraged across the local reentry councils designated community.
- g) Ensure key decisions about the local reentry council are part of a formal and open process.
- h) Identify funding to support and sustain local reentry council initiatives.
- i) Develop an Advisory Committee for the LRC.
- j) Identify sub-committees needed within the LRC.
- k) Coordinate with the Intermediary Agency in developing protocols for the delivery of services to participants during non-business hours, holidays, natural disasters, state of emergency, etc.

2. Infrastructure Guidelines

- a) Bylaws/Guidelines: The Local Executive Committee shall develop a set of bylaws/guidelines and polices to define its organizational structure and guidelines for

operation. Bylaws at minimum shall address; membership, officers, meetings, and conflict of interest (*See sample bylaws in Appendix*).

- b) Membership: The Executive Committee shall consist of required representatives from the Intermediary Agency, the Advisory Committee, Service Providers, and NC Department of Adult Correction (Prisons and Community Supervision).
- c) Officers: The Executive Committee shall have the following officers: Chairperson, Vice-Chairperson, Secretary, Treasurer (optional) and Committee Chairperson. Their duties are as follows:
 - i. The Chair shall convene regularly scheduled meetings, shall preside or arrange for other members of the Executive Committee to preside at each meeting in the following order: Vice-Chair, Secretary, and Treasurer in his or her absence.
 - ii. The Vice-Chair shall oversee meetings in the absence of the Chair and will assist the Treasurer with the financial matters of the organization.
 - iii. The Secretary shall be responsible for recording meeting minutes, sending out meeting announcements, distributing copies of minutes and the agenda to each committee member, and assure that the Local Reentry Council Executive Committee records are maintained.
 - iv. The Treasurer shall assist in the preparation of the budget, collection of dues, assist in coordinating financial activities and make financial information available to committee members.
 - v. The Committee Chairperson(s) shall be responsible for providing sub-committee reports to the Executive Committee and will seek direction for committee assignments.
- d) Meetings:
 - i. Frequency – The Executive Committee shall determine a set schedule (monthly and at a minimum, quarterly) and location to hold Executive Committee meetings on a regular basis.
 - ii. Decision-making – The Executive Committee should adopt a decision-making process that is open, fair, and effective (i.e. Robert Rules of order).
 - iii. Record keeping – The Executive Committee shall keep accurate minutes, in writing, of all meetings. Attendance shall be included in the meeting minutes.
 - iv. Agenda – The Executive Committee shall have an agenda to include introductions, review of minutes, program updates (enrollments, placements, employer engagement, financial updates, partnership updates, success stories, needs and barriers), NCDAC updates, and old business.
- e) Policies:

The Executive Committee shall set forth policies to address priority of funded services to be delivered (housing, transportation, etc.) and the development of [MOA's](#). Any out of state services are prohibited without prior approval from NCDAC. Approved services providers must follow the LRC Referral Process to receive payment for services rendered. The local reentry council is NOT responsible for payment to

service providers where a direct referral did not originate with the LRC. If service providers bring clients into their programs without the involvement of the LRC, then the Provider shall not be compensated by the LRC for services rendered to the client.

i. Housing

To prioritize housing needs for participants who need temporary housing assistance.

- a. Establish guidelines for housing vendors and set forth eligibility requirements.
- b. Determine required paperwork needed such as credentials from housing vendors (lease, deed, insurance, etc.).
- c. Develop a MOA agreement with housing providers.
- d. Determine the amount of assistance for participant (not to exceed 90 days without NCDAC approval).
- e. Develop a housing agreement between participant and LRC.
- f. Determine what constitutes a participant dismissal from housing.
- g. Ensure housing vendors for sex-offenders have required documentation (registered with Sheriff Department).
- h. Establish out of county policies and guidelines for housing participants.
- i. Establish a housing inspection checklist (cleanliness, safety, accommodations, number of occupants, environment etc.).
- j. Establish guidelines for a fair system in engaging housing vendors.

ii. Transportation

To establish protocols and criteria for providing transportation assistance to Participants

- a. Establish guidelines for transportation vendors and determine eligibility criteria for transportation services.
- b. Determine modes of transportation according to NCDAC/R&R guidelines (bus, cab, public transportation, etc.).
- c. Establish the length of time and amount of assistance given.
- d. Develop MOA with transportation providers.
- e. Establish policy that would address out of county transportation providers.

3. Conflict of Interest

Intermediary Agency understands and agrees that IA staff or personnel directly providing or receiving payment for Supportive Services (including, but not limited to, housing, employment services, education services, vocational training, transportation, nutrition assistance, and clothing) to justice involved and formerly incarcerated individuals pursuant to the signed Agreement may give rise to a Conflict of Interest or potential Conflict of Interest.

IA warrants that IA staff or personnel shall not directly provide or receive payment for Supportive Services (including, but not limited to, housing, employment services, education

services, vocational training, transportation, nutrition assistance, and clothing) to justice involved and formerly incarcerated individuals pursuant to this Agreement, and IA staff or personnel shall not have ownership interest in any business, company, firm, corporation, partnership, or other entity which provides Supportive Services to justice involved and formerly incarcerated individuals pursuant to the signed Agreement. Further, IA warrants that if IA becomes aware of any facts which might, in the good faith judgment of IA, reasonably be expected to involve or give rise to a Conflict of Interest or potential Conflict of Interest, IA will promptly inform Contract Lead of those facts.

- a) The Vendor shall have a policy that addresses any conflict of interest that may arise or have the appearance of a conflict among the vendor, LRC staff, service providers, and executive committee members who could be involved in the allocation of state funds.
- b) The Executive Committee shall adopt and provide NCDAC/R&R their LRC Conflict of Interest Policy and include the policy in its bylaws. The policy shall address situations where any member and/or staff may directly or indirectly benefit by being a member of the council. The policy shall include actions to be taken by the member, Intermediary Agency, and/or Executive Committee to avoid conflicts of interest and the appearance of impropriety. **(Please note that the IA can NOT be a vendor).**
- c) A council member/executive committee member must disclose in writing the existence, nature, and extent of any potential or actual conflict of interest.
- d) The conflict-of-interest policy shall be reviewed annually. All IA and LRC staff, service providers, and executive committee members shall sign a conflict-of-interest disclosure form annually and kept on file with the Vendor.

4. Confidentiality

- a) Each LRC shall have a policy that addresses confidentiality to protect any sensitive or identifying information concerning participants, former participants, staff, volunteers, financial data, and business records.
- b) The Executive Committee shall adopt and provide NCDAC/R&R their confidentiality policy for LRC's and/or include the confidentiality policy in its bylaws. The policy shall address general guidelines for employees/staff to follow as well as establish requirements in relation to the disclosure of personal data and confidential information.
- c) All staff including volunteers and interns, service providers, council members, and executive committee members shall sign a confidentiality agreement acknowledging an understanding of the confidentiality policy.

D. Advisory Committee - Advocacy and Policy Change

It is the policy of NCDAC/R&R that each Local Reentry Council develop an Advisory Committee. This committee will assist in identifying and addressing gaps, available resources, and sustainability in their local community. This committee should encompass a wide range of local leaders, community and faith-based entities, non-profits, government officials, business leaders, and justice-involved individuals.

1. Advisory Committee Duties:

- a) Develop a strategic plan to address resource gaps identified in the designated reentry council community.
- b) Coordinate with the Executive Committee to develop policies and procedures to address barriers encountered by justice involved individuals.
- c) Advocate for additional funding and resources for the local reentry council.
- d) Participate in community outreach campaigns to highlight barriers of justice-involved individuals.
- e) Educate the community on the needs of justice-involved individuals.

E. Service Providers

It is the policy of NCDAC/R&R that each Local Reentry Council conduct a thorough assessment of service providers, annually, who offer direct services and/or supportive services to justice involved individuals within their reentry council area.

1. Service Providers Duties

- a) Offer direct services such as housing, employment, food, clothing, childcare assistance, vocational training, transportation, substance abuse treatment, mental health treatment, mentoring services, and any other supportive services.
- b) Work collaboratively to maximize existing resources.
- c) Work collaboratively with community supervision representatives (i.e., Probation, Federal Probation).
- d) Document and track services provided, and outcomes achieved.
- e) Share outcome information with Intermediary Agency.

F. Sub-Committees

It is the policy of NCDAC/R&R that each Local Reentry Council develop sub-committees to address reentry barriers that justice involved individuals face when returning to their reentry council area (example: housing, transportation, medical).

1. Sub-Committees Duties

- a) Conduct assessments to identify barriers within the reentry council area.
- b) Develop a strategy for collaborating with existing resources.
- c) Develop options for creating opportunities to address the barrier identified.
- d) Identify funding and/or resources to address barriers.

IV. ROLES AND RESPONSIBILITIES

A. Local Reentry Council Staff

Each Local Reentry Council should consist of two state funded staff (Local Reentry Council Coordinator and Case Manager/Job Placement Specialist) positions per county to assist with day-to-day operations.

1. Local Reentry Coordinator: Must possess at least a 4-year bachelor's degree in Criminal Justice, Human Services, or a related field or graduation from high school and (3) years of case management experience or (3) years of human services experience; or an equivalent combination of education and experience.
 - a) Serve as the “point of contact” for supportive services and ensure a successful delivery of reentry services to participants.
 - b) Develop partnership agreements to allow justice involved individuals to be referred to service providers.
 - c) Ensure successful delivery and managing of the case management and referral process.
 - d) Coordinate and facilitate (in conjunction with the executive committee) local reentry council meetings and provide public education.
 - e) Coordinate the development and implementation of an appropriate public outreach and education strategy to inform the community of the mission, goals, and strategies of the council.
 - f) Facilitate and report on the work of the Local Reentry Council.
 - g) Conduct assessment of the council to identify strengths and weaknesses on a yearly basis.
 - h) Communicate needs and services that are not readily accessible or available within the council partners.

2. Job Placement Specialist/Case Manager: Must possess at least a 2-year Associate Degree in Criminal Justice, Human Services, or a related field or graduation from high school and (2) years of case management experience or (2) years of human services experience; or an equivalent combination of education and experience.
 - a) Assist participants in making a successful transition back in the community by providing service coordination, support and guidance.
 - b) Assist participants in creating a plan of action, monitor their progress, along with follow up until completion of the plan.
 - c) Link and schedule appointments with community providers.
 - d) Cultivate and educate a pool of potential employability training, job seeking resources and job coaching assistance to individuals with a criminal history.
 - e) Develop and maintain a list of employers who are willing to hire justice-involved individuals.
 - f) Input/track all participant data and services provided by utilizing case management and data collection system.

V. STAFF DEVELOPMENT & TRAINING

The Intermediary Agency and all key personnel must attend and complete all required trainings as requested and scheduled by Division of Rehabilitation and Reentry. Trainings may include, but is not limited to, Evidence-based Practices, Case Planning and Case Management, PREA, and Case Management Tool training. *Additionally, an orientation session for any new councils will be scheduled with the Intermediary Agency and staff within the first 30 days of being awarded NCDAC contract.*

A. Prison Rape Elimination Act (PREA)

It is the policy of NC Department of Adult Correction that all vendors, contractors, and volunteers who have contact with incarcerated/previously incarcerated individuals be trained in the agency's sexual abuse and sexual harassment prevention, detection, and response policies and procedures.

1. All LRC staff shall be trained on their responsibilities under NCDAC sexual abuse and sexual harassment prevention, detection, and response policies and procedures.
2. The level and type of training provided to LRC staff shall be based on the services they provide and level of contact they have with offenders.
3. All LRC staff who have contact with offenders shall be notified of NC DAC zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report such incidents.
4. All LRC staff shall be scheduled for required PREA training within 10 days of hire date.
5. All LRC Staff shall receive a subsequent refresher training annually.
6. NCDAC, Division of Rehabilitation & Reentry designated staff, and the Intermediary Agency shall maintain documentation (Form OPA-T10) confirming that all LRC staff understand the training they have received.

B. Case Management/Case Planning

All LRC staff will receive training in evidence-based practices for case management and case planning as deemed necessary by Division of Rehabilitation & Reentry.

VI. **PROCEDURES**

A. Service Delivery Model

1. Referral Process to LRC

Participants can be referred from Division of Community Supervision, Prisons/Jails, Federal Facilities community agencies, or self-referred. Individuals under NCDAC Community Supervision should have priority of all services that are being provided.

All LRCs should develop a written referral form to be distributed to their local reentry network and service providers. All referral forms should contain admission data which include demographic information on the potential participant. It is important that the LRC

Staff establish a plan on processing referrals and establishing time frames for the referral response. The four main referral types include the following:

- a) Email: Email referrals should receive a response within 48 hours. If the referral is deemed an emergency, the LRC Staff should respond immediately upon receipt.
- b) Walk-Ins: Walk-ins should be handled immediately. Office hours should be flexible to allow for walk-in referrals.
- c) Phone Calls: Phone call referrals for appointments should be scheduled immediately upon receipt.
- d) Intermediary Agency Website Referrals: Website referrals should be responded to within 48 hours upon receipt via phone or email.

2. Enrollment Process

All participants enrolled must be identified as a justice-involved individual. Participants who are under NCDAC Community Supervision should receive priority for supportive services. Requirements for eligibility may include, but are not limited to:

- a) Age of reentry participant
- b) Resident of the same county as the LRC site
- c) Participant agrees to participate in the program and signs the Participant Agreement.

3. Intake Process

The intake process occurs post enrollment of an eligible participant. The timeframe between the date of receipt of a referral and scheduled intake should not exceed 15 days. During the intake process the case manager should discuss the needs of the participants. The intake process is designed to develop a rapport with the participant. The following forms are to be completed and placed in the reentry participant case file:

- a) R&R Intake Form - it is vital that all key demographic and contact information is documented on the intake form.
- b) Documentation Checklist – LRC Staff should document whether participant physically has in their possession the following:
 - i. Social Security Card
 - ii. Driver License or State ID
 - iii. Birth Certificate
 - iv. High School Equivalency certificate or HS Diploma
 - v. Community college certificate/diploma/degree
 - vi. Transcripts, grade reports, other records
 - vii. Occupational license or apprenticeship certificate
 - viii. NCDAC Transitional Document Envelope (TDE)
 - ix. NCDAC Official Release Document
 - x. Federal Official Release Document
 - xi. Another state's official release document
- c) Confidentiality and Participant Agreement Forms – LRC Staff should ensure that participant sign the following:

- i. Participant Behavioral Agreement
- ii. Social Security Number Request & Confidentiality Notification
- iii. Authorization to Release Information. (See forms in Appendix)
- d) Proxy (Triage Screener)
- e) Case Plan
- f) Case Notes

4. Screening/Assessment

The role of screening begins with assessing the likelihood of recidivism. “Risk” refers to risk to reoffend in the community. Risk is not current offense and is more than criminal history.

Risk screening allows LRCs to divide their participant population into high-, medium-, and low-risk categories, making it possible to direct intervention resources first to the highest-risk individuals. Risk information generated through screening would inform the delivery of programs and services to participants. An offender’s needs, specifically criminogenic needs, also inform his/her level of risk, which must be addressed to change his/her risk of recidivism and danger to the public.

- a) Risk screenings/assessments shall be completed during the intake process to determine which participants are at a greater risk to recidivate.
- b) LRC Staff should use the Proxy Triage Screener, a brief instrument, to quickly capture basic information about a person’s risk to reoffend and to determine if a more comprehensive assessment is warranted. *(See Proxy Risk Screener in Appendix)*
 - i. Consisting of just three questions, the Proxy can be administered by your intake officer, local reentry coordinator and/or case manager in less than a minute, relying on self-reported data.
 - ii. Proxy results are easy to interpret scores range from 0 to 6 with scores of 2 or less generally indicating low risk, scores of 3 or 4 indicating medium risk, and scores 5 or greater indicating high risk.
- c) LRC staff should focus on serving high-risk, high-need reentry participants and determine a filtering process that will determine how reentry participants will be served based on their risk level.

5. Participant Enrollment Status

The participant’s enrollment status, based on receiving a Single Service or Multiple Service, should be reflected on the case plan. Whether participants receive a Single Service or Multiple Service will determine participant case management needs.

Participants will be enrolled in active, inactive and discharge status for at least 6 months.

- a. A participant shall be enrolled in an active status for a single service for a minimum of 30 days or at the discretion of LRC staff. The following steps should be completed:
 - i. An intake form, proxy screening, and assessment should be completed.
 - ii. A case note should document the single service received.
 - iii. Develop a case plan.

- iv. Participant should be discharged 30 days after single service receipt and follow up case notes should be updated.
 - b. A participant shall be enrolled in an active status for multiple service for a minimum of 90 days or at the discretion of the LRC Staff. The follow steps should be completed:
 - i. A case plan should be implemented with goals, objectives, strategies, target date and completion date.
 - ii. Should a participant need to be referred to another agency for services this will be noted on the case plan and case notes.
 - iii. Case will then be placed in a follow-up status for 90 days.
 - iv. Follow-up should be conducted initially after 2 weeks to determine status of case, then once a month for 90 days.
 - v. Participant should be discharged 90 days after multiple service receipt and follow-up and case notes should be updated.
 - vi. After 90 days, case can be discharged at the discretion of the LRC staff.
 - vii. Participant case plan and case note should be updated to reflect discharge.
 - c. Once a participant is employed and employment is verified with the name of employer, date of hire, wages and job position, participant should remain in active status for a period of at least 90 days.
 - i. During the first 30 days, contact with participant should be conducted weekly to address progress and any additional supportive services needed. Follow-up information should be documented in the case notes.
 - ii. After completion of 30 days, contact with the participant should be conducted monthly to assess progress. Follow up information should be documented in case notes.
 - iii. After 90 days of employment and follow-up, participant should be discharged at the discretion of LRC Staff. Participant case plan and case note should be updated to reflect discharge.
 - d. In the event a participant is rearrested and sent to jail/prison the participant will be placed in inactive status up to 90 days (rearrest should be verified by probation or detention officer with date of arrest).
 - i. A case note should document findings.
 - ii. If participant is sentenced to prison, the case shall be discharged.
6. Reentry Case Plan Development

Reentry plans should be clear and concise and should specify goals directly related to the participant's needs, a timeline for achieving these goals, and the participant's responsibilities in meeting these goals.

- a) LRC's should create a case planning process/protocol and determine a reasonable timeframe to create a case plan after the completion of an intake. The timeframe to develop a case plan shall not exceed 15 days after the intake completion date.
- b) Case planning protocols should be developed to reflect timelines, strategies, and outcomes.
- c) The reentry case plan should be developed by the case manager with specific protocols and procedures on how the plan will be conducted.
- d) The reentry case plan should be based on an assessment of needs and identifies the programs, services, and activities needed.
- e) The reentry case plan should be updated during the duration of the participant enrollment at least every 30 days to reflect basic needs, barriers, and impediments as it relates to educational attainment, job placement, behavior, attitude changes, and compliance with the plan and achievements.
- f) Review dates for the plan should be established and updated as accomplishments occur and as needs change.

7. Referral Process to Service Providers

- a) The IA in coordination with Executive Committee should establish a provider referral process.
- b) The IA should ensure initial referrals are made to service providers within 15 days of completion of an intake and case plan.
- c) The IA should utilize a fair process when selecting service providers that provide the same service. This will eliminate the repeated use of one provider and makes use of the entire LRC network of service providers.
- d) It is essential that participants are referred to programs and services in the community that can appropriately address their criminogenic needs. These programs should be evidence based (i.e., programs that have been found empirically to reduce recidivism or to demonstrate great promise in doing so) and should match the participant's risk and needs in intensity and duration.
- e) When sharing case plans containing medical, substance abuse, or mental health information, agencies must comply with *HIPAA* and other federal, state, and local laws governing the proper use of this information. Only the information that is needed for transition planning should be included in the case plan, while maintaining the confidentiality of the individual.
- f) To share any protected information, the IA should implement appropriate Release of Information (ROI) procedures and forms that allow participants to grant permission for their information to be shared.

8. Case Management

Case management is a collaborative process of assessment, planning, guidance, and monitoring to facilitate access to programs and services that address the individual's needs. Case Management involves the implementation of a case plan and documentation of progress towards completing the plan. It also involves the process of engaging a participant in information sharing discussion to identify needs such as housing, employment, substance

abuse treatment, education, decision making, financial, family, transportation, and physical or mental health.

- a) The goal of effective case management includes the following:
 - i. To promote the greatest opportunity for positive changes and assist the participant in making a successful transition back to the community.
 - ii. To develop protocols for case planning and case staffing (timelines, frequency, case review, contacts via telephone, face-to face, txt etc.).
 - iii. To provide guidance and support to the participant.
 - iv. To identify and prioritize goals and steps in the development of a case plan.
 - v. To develop an action plan to monitor and evaluate the participant progress.
- b) Once LRC staff begins to provide services to reentry participants, staff is responsible for tracking, monitoring, and documenting the participant's progress, accomplishments, and program completion.
- c) A case management file must be kept on each participant. This file should include, but is not limited to, the following: Confidentiality Statement, Release of Information document, Behavioral Agreement, Intake Form, Proxy Data Rating Scale (Risk Level Assessment), Case Plan, documentation of contacts and case activity notes.
- d) Reentry staff should work with the participant to prioritize recommendations (i.e., with making referrals, scheduling the appropriate appointments, and getting them the personal and professional items needed to successfully implement the reentry plan).
- e) Participants that are special cases, should be carefully reviewed by the reentry case manager and/or local reentry coordinator for challenges such as the presence of a sex offense, substance abuse, anti-social behaviors that impede employability, severe educational or mental health needs, or eligibility for veteran's or disability benefits. These circumstances will require a greater degree of professional expertise and involvement in the development of the reentry plan. They also will require regular and direct contact with the appropriate agency to ensure appropriate engagement and follow-up.
- f) Each participant should be contacted by LRC Staff on a routine basis, using various methods of communication (in-person, phone, email/text) and the interaction should be documented with a brief case note within a reasonable timeframe that summarizes what the contact was about, outcome(s), and next steps. Information should include the following:
 - i. Participant's name, date, and time
 - ii. Any activities completed during the appointment (i.e. intake, referrals made/updated, job search, services received, assessments completed/updated, contacts with service providers, discharge, etc.

9. Reentry Case Notes

Reentry case notes should include any documentation and/or action pertaining to the participant and their reentry plan. These notes are vital to the management of a participant's reentry plan. This allows LRC staff to track all progress and actions being taken within the participant's reentry plan.

- a) Case notes shall be entered in chronological order by LRC staff and initialed within 10 days of an interaction with a reentry participant. In the event an agency uses interns or volunteers, the case notes must be approved and accompanied a LRC Staff initials. It is

recommended that anytime a case manager interacts with a reentry participant based on their case plan, a reentry case note should be entered.

- b) Case notes shall include but are not limited to:
 - i. Initial intake case note must include referring agency, referral date, documents completed and reviewed (intake forms, proxy, assessments, confidentiality and release forms, case plan, discharge summary, etc.,).
 - ii. Job search records
 - iii. Housing search records
 - iv. Tracking of participant appointments
 - v. Any resources given to the participant.
 - vi. Important information pertaining to the participant's progress in any service area or personal life area.
 - vii. Any action completed by LRC staff for the participant.
 - viii. All outside information from employers, housing, and any other service provider
 - ix. Vital information that reflects the participant's progression through their reentry plan should be documented as a case note.

10. Check-Ins

Check-ins are key to the case review process. Additionally, participant status check-ins must be completed at pre-determined time periods depending on proxy risk score.

- a) LRC staff should check-in with participants regularly and document these check-ins in the participant's reentry case plans as case notes.
- b) Check-ins should include discussion of the participant's progress and the programs they are enrolled in.
- c) During check-ins, LRC staff should discuss with the participant any additional services and resources they may need or any services they no longer need.

11. Follow-up Process

Effective communication is a critical element to maintaining consistency in service delivery across agencies. Communication among all participants ensures that the participant has consistent and clear messages about his or her reentry plan.

- a) LRC staff should strategize with service providers about appointments to ensure a more successful transition, as some participants may have difficulties making their appointments due to lack of transportation or other logistical challenges and may therefore benefit from drop-in hours.
- b) LRC staff should track whether the participant made it to the appointment and to determine what, if any, follow-up activities were arranged. This will require a great deal of information-sharing among all parties.
- c) LRC staff should contact the reentry participant on a regular basis to ensure compliance with the reentry plan and the agreed upon goals.
- d) LRC staff will maintain case notes to monitor and track the progress of each participant.

- e) LRC staff should complete a comprehensive review of the participant's reentry plan, goals, and recommendations/strategies monthly. Questions may include:
 - i. Are the goals realistic and attainable?
 - ii. Are the goals and recommendations/strategies properly aligned?
 - iii. Does the level of service/intervention need to be increased? If so, how?

12. Case Staffing

Case staffing is the process in which LRC staff contact service provider and any other community resource the participant is receiving services from or involved with. Information must be documented in the participant's case notes.

- a) LRC staff should contact service providers to ensure that the participant is complying with services (example: employment obligations, conditions of his/her probation and any other obligations they have).
- b) LRC staff should complete a case staffing on reentry participants every 30, 60, and 90 days depending on low, medium, or high-risk participants, every 30 days for high-risk participants, 60 days for medium risk participants, and 90 days for low-risk participants.

13. Discharge Process

LRC's shall develop discharge procedures and policies governing documentation of a reentry participant's termination from the local reentry council.

- a) Prior to any discharge, follow up with the reentry participant and any service providers involved with the participant should be held (by phone, email, face-to-face) to discuss and/or review the participant's progress and any issues/concerns. This should occur whether the termination is successful, unsuccessful, non-compliance, quit, moved away, or deceased.
- b) Discharge case notes should be completed detailing the following:
 - i. Activities, results, and recommendations
 - ii. Last date of participant contact
 - iii. LRC outcome/reason for discharge
 - a. Successful Completion: Participant completed all aspects of treatment, and their case plan is completed with documented proof from service providers, employer, educational institution, etc.
 - b. Non-compliant: Participant refused to follow case plan recommendations and there is no progression toward a case plan goal.
 - c. Quit/Terminated: Participant informed that they no longer need or want services.
 - d. Moved Away: Participant relocated to another county/state/country.
 - e. Re-arrest: Participant is re-arrested and incarcerated.
 - f. Transferred to another LRC: Participant is transferred to another LRC.
 - g. Deceased: Participant died while participating in the program.

14. Participant Survey Process

The purpose of the NCDAC/R&R Local Reentry Council Participant Survey is to gain constructive feedback from LRC participants who receive services from North Carolina Local Reentry Councils. The process is as follows:

- a) LRC Participant Surveys should be provided to formerly incarcerated, and justice involved individuals who receive services from Local Reentry Councils upon discharge.
- b) The Local Reentry Coordinator will be responsible for distributing and returning LRC surveys from participants who receive services from the Local Reentry Council.
- c) The Local Reentry Coordinator shall distribute the survey to a LRC participant at the last meeting prior to discharging the participant from the program to collect survey responses.
- d) The designated Survey Point of Contact shall submit completed surveys to the LRC's designated Community Development Specialist (CDS) representative upon completion.

15. Participant Files and Forms

LRC staff shall prepare and maintain participant records that contain information essential to the provision of services and/or treatment. Participant case files must be current beginning at the point of intake and continuing through discharge. At a minimum each participant case files should include the following:

- a) Referral form, containing any demographic, biographical information on the participant.
- b) R&R Intake form completed on the participant.
- c) Documentation checklist which shows a list of documents that the participant physically has in their possession at the time of intake.
- d) Participant Behavioral Agreement; Social Security Number Request & Confidentiality Notification Form; and Authorization to Release Information Form. All forms should be signed by the participant.
- e) Copies of any screenings and/or assessments including but not limited to the Proxy Risk Assessment Screener.
- f) Case notes, containing times and dates the participant was contacted and/or seen by LRC staff.
- g) Detailed case plan to include goals, action steps/objectives, projected date of completion, completion date, participant signature, LRC staff signature and dates.

16. Participant Case File Retention

The Intermediary Agency shall store all case files, in a secure site, and retain for a minimum of five (5) years following participant's discharge. The Department shall have access to all participant case files, as needed for up to five (5) years from the date of discharge.

B. Data Collection & Reporting

1. Case Management System (CMS)

- a. Participants must be actively enrolled in the LRC and the case management system (CMS). An intake, all applicable assessments, and applicable case information must be completed in the CMS for services to be eligible for reimbursement. Services provided to participants not actively enrolled in the CMS at the time-of-service provision are not eligible for reimbursement.

2. Reporting Requirements

Intermediary Agencies are required to submit monthly reports to the NCDAC/Division of Rehabilitation & Reentry (R&R). The following requirements are as follows:

- a. IA must submit monthly data reports by the 15th of each month as requested by NCDAC/R&R. *(Please note: the previous month report is due by the 15th of the following month).*
- b. IA must be responsible for ensuring that data is entered accurately, including each participant's OPUS number (if applicable), enrollment date, and dismissal date.

C. Case Management Software Usage

The Vendor shall input all data into the Case Management Tool (CMT) at least weekly or as specified to ensure the integrity of the program and to allow NCDAC to create accurate reports.

The Vendor shall input all data into the Case Management System Tool (CMT) at least weekly and ensuring all the previous month's client data has been entered and updated by the 15th of each month, allowing NCDAC to pull accurate reports. For example, all participant enrollments, exits, services, and any other changes for the month of June should be entered into UNITE US by close of business July 15 in preparation for NCDAC staff to pull reports from the UNITE US system. IA must be responsible for ensuring that data is entered accurately, including each participant's OPUS number (if applicable), enrollment date, and dismissal date. It is the expectation that all participants will have case plan, assessment, and any other relevant forms completed prior to receiving services.

D. Financial Guidelines

The Intermediary Agency staff will complete and submit the following forms as documentation of expenses: Transition/Reentry Support (TRS) Form(s), and Vendor Invoice(s). Receipts for purchases and payments for goods and services will also be required. Each category of funding describes allowable and non-allowable expenses. **(Please note that the IA can NOT be a vendor).** In the event, a local partner (agency/organization/individual) need to expend funds on behalf of a participant that is not stated within the Financial Guidelines for Supportive Services, a letter on agency/organizational letterhead or personal stationery must be submitted for prior approval. This will include an explanation of expenses and justification for non-compliance with stated financial guidelines, and original receipts. This information will be reviewed and approval for reimbursement will be made on a case-by-case basis. Reimbursement under these circumstances is **NOT** guaranteed.

1. Contract Services

- a) Housing: Assistance is provided on a short-term basis for an initial period of up to 90 days after release (based on established need, rate, and ability to pay). Intermediary Agency staff members should review the need for housing assistance every 45 days to determine future housing assistance needs. Landlords must provide a copy of the written lease agreement signed by the participant. *The lease agreement must stipulate that any payments made on the behalf of the participant by the Intermediary Agency will not be returned to the participant under any circumstances. Any refunds/overpayments of Intermediary Agency funds should be sent directly to the Intermediary Agency.*
- b) Allowable expenses: Utility and water connection fees that are non-refundable, one-time processing fees associated with rental agreements, rental assistance (to be directly invoiced by housing provider monthly if security deposit not required). Landlords may choose from the following three payment options if security deposits are required:
 - i. Security deposit to be paid by the participant and the Intermediary Agency will pay the rent at the beginning of the month for up to three months depending on the participant's ability to pay.
 - ii. In lieu of a security deposit, the Intermediary Agency will pay three months' rent upfront. The landlord must agree that if for any reason the participant does not occupy the dwelling for the entire three-month period, all unused funds less any documented damages (not to exceed one month's rent) will be returned to the Intermediary Agency on a pro-rated basis. Funds must be returned to the Intermediary Agency within 60 days of the participant vacating the property.
 - iii. Community partners identify resources to pay the security deposit and the Intermediary Agency will pay the rent for up to three months depending on the participant's ability to pay.
- c) Non-allowable expenses: Security deposits, renter's insurance, purchase, lease, or repair of household appliances, or purchase, lease, or repair of household furniture, or monthly utility or water charges (except if included in the rent)
- d) Housing documentation: All housing providers will be required to submit a detailed MOA to the Intermediary Agency including, but not limited to type of living arrangement (i.e., private, or shared room/private or shared bathroom), address of rental property, MOA effective dates (start and end date), weekly or monthly housing cost, house rules and participant responsibilities, access to kitchen, availability of linens, telephone/internet access and access to public transportation.
- e) Transportation (private): Assistance is provided on a short-term basis for participants to attend school, classes, training, go to work, or search for employment using a reliable mode of transportation owned or operated by an individual or group, not a government entity, for his or its own purposes or benefit.
 - i. Allowable expenses: Organizations that provide limited transportation services for designated routes and/or occasionally modified routes for a fee, van pool services, taxi services or other licensed and reliable transportation services for transport of participants to classes, training and work not accessible by public transportation.
 - ii. Non-allowable expenses: Car insurance, down payment assistance on personal vehicles, routine car maintenance, gas reimbursement, automotive tires, parts and accessories, automotive tools, and equipment.

- iii. Transportation documentation: All transportation providers will be required to submit a detailed MOA to the Intermediary Agency including, but not limited to type of transportation arrangement (i.e., group or individual), MOA effective dates (start and end date), round trip or one-way cost, daily, weekly, or monthly transport cost and proof of liability insurance.
- f) Childcare: Assistance is provided on a short-term basis for daycare services of custodial children at a state of NC licensed facility while a participant attends school, work, educational/vocational training, and searches for employment.
 - i. Allowable expenses: Charges for daycare services at licensed facility.
 - ii. Non-allowable expenses: Babysitting, charges for daycare services at a non-licensed facility, or child support.
- iii. Childcare documentation: All childcare providers will be required to submit a detailed MOA to the Intermediary Agency including, but not limited to name and address of childcare facility, MOA effective dates (start and end dates) daily, weekly, or monthly cost and childcare facility license number.

2. Supplies

- a) Transportation (public) assistance is provided on a short-term basis for participants to attend school, classes, or training services, go to work, or search for employment using a reliable mode of transportation.
 - i. Allowable expenses: Purchase of bus passes, gas cards, or other licensed and reliable transportation services for transport of participants to classes, training and work.
 - ii. Non-allowable expenses: Car/moped insurance, down payment assistance on personal vehicles, routine car/moped maintenance, or gas reimbursement, automotive tires, parts and accessories, automotive tools and equipment.
- b) Work/School Related Uniforms are provided to participants for employment, school, classes, and vocational/educational training.
 - i. Allowable expenses: Purchase of required work and/or school uniforms
 - ii. Non-allowable expenses: Medical, dental, health exams (including vision) and/or physicals
- c) Work/School Related Items are provided to participants for employment, school, classes, and vocational/educational training.
 - i. Allowable expenses: Purchase of work/school related materials, such as, hand tools, tool belts and tool kits.
 - ii. Non-allowable expenses: Medical, dental, health exams (including vision) and/or physicals, fees associated with obtaining driver's license (including taking the driver's license exam), photo ID cards, birth certificates, DMV fees, fines, or tickets, or payment of the DWI assessment charge, court-ordered restitution, court fees, probation fees, community service fees, or any other type of fees or fines related to participant supervision and/or legal status.
- d) Personal Protective Equipment is provided to participants whose employment and/or vocational/educational training requires safety equipment to perform their duties or participant in class.

- i. Allowable expenses: Purchase of personal protective equipment that may include safety glasses, required shoes, earplugs or muffs, hard hats, respirators, coveralls, safety vests, full body suits, face shields, and work boots.
 - ii. Non-allowable expenses: Any item not directly required and/or related to vocational training and/or the participant's employment.
- e) Basic Needs assistance is available to help participants with their most basic and immediate needs.
- i. Allowable expenses: Purchase of food, clothing and personal hygiene items upon initial release from incarceration or as needed based on ability to pay.

3. Training

- a) Vocational/Educational Training Related Items is available for vocational and educational skill development related to employment opportunities.
- i. Allowable expenses: Fees for vocational education classes and/or training at the local community college or other certified career development training sites, or to provide initial financing for individual training account (ITA). Costs of tuition, books and fees associated with enrollment.
 - ii. Non-allowable expenses: Payment of licensing fees (e.g., commercial driver's license, barber license, cosmetology license, etc.)

Exception: In the event a North Carolina Community College is selected and approved as an Intermediary Agency, an MOA is not required for Vocational/Educational Training courses provided by the college.

E. Reimbursement Submission

1. Financial Procedures:

INVOICES

- a) Vendor must submit invoices by the 25th of each month for which work was performed. All invoices not submitted by due date will be processed the next month.
- b) Invoices should be submitted monthly. Invoices submitted more than 60 days past the invoice due must have prior written approval.
- c) Invoices 90 days past the invoice due date without prior written approval are not eligible for reimbursement and will **NOT** be processed.
- d) June invoices must be submitted prior to the end of the NCDAC fiscal year closing date. A date will be sent to LRC's in advance of the fiscal close out. Failure to strictly adhere to the fiscal year closing date will result in an inability to process reimbursement.
- e) Invoices and supporting documentation must be submitted in electronic format to the designated LRC CDS. It must be identified by a unique invoice number.
- f) Invoices must bear the correct contract number and purchase order number to ensure prompt payment. The Vendor's failure to include the correct purchase order number may cause delay in payment.

- g) Invoices submitted by service providers must be approved by local reentry council staff before submission for payments to ensure expenses are in accordance with the Vendor contract.
- h) Participants must be actively enrolled in the LRC and CMT with active case plan and assessment completed for services, to be eligible for reimbursement. Services provided to participants not actively enrolled in the CMT at the time-of-service provision are not eligible for reimbursement.
- i) Invoices must include an accurate description of the work for which the invoice is being submitted, the invoice date, the period cover date, the amount of fees due to the Vendor and the original signature of the Vendor's project manager.
- j) Invoices returned to the Vendor for corrections, clarifications, or supporting documentation must be re-submitted within 10 business days of notification from NCDAC. Unless provided written prior approval, invoices not received within the required 10-business day timeframe given will not be processed for reimbursed.

2. Financial Steps for Invoice:

In the intermediary's role as a fiscal agent, the following information will provide guidance and the requirements for submitting reimbursement requests to the designated CDS. Please submit required forms of reimbursement and supporting documentation in the following order:

IA must submit the required forms of reimbursement and supporting documentation in the following order:

- a) Invoice Cover Sheet - must include a unique invoice number, correct contract number, purchase order number, and signed by the authorized representative.
- b) Personnel
 - i. Employee Time Record – Each reentry staff member is required to record their time on the Employee Time Record form. Staff and supervisor must sign the form.
 - ii. Payroll Summary Report – Employer's payroll summary (must be available upon request) which includes the reentry staff, their salary, employer payroll taxes, and benefit details).
- c) Travel
 - i. Mileage Reimbursement Form – Each reentry staff member is required to record their mileage incurred during the course of their duties on the Mileage Reimbursement Form based on North Carolina's current standard mileage rate.
 - ii. Mileage reimbursement must be participant related services. For example, the case manager sets up a meeting with and travels to a local employer to discuss hiring reentry participants.
 - iii. Mileage reimbursement for any out of state services are prohibited and not reimbursable.
- d) Supportive Services
 - i. Transition/Reentry Support Form – Any service provided to a reentry participant that is an approved reimbursable item must be recorded on the Transition/Reentry

Support Form (TRS). List each participant, the amount of the request, and the appropriate code. Individuals for the same service and invoice covered period should not be listed more than once. (For example, if a participant receives 5 days of housing from one housing provider, the participant should not be listed 5 different times on the TRS form for that invoice covered period. Only the cumulative total should be listed for the participant on the TRS form. Transfer the total expenses for each category to the Invoice cover page.

- ii. Supporting documentation – Submit all backup documentation, such as, receipts for purchases and payments of goods and services, vendor invoices, reports and spreadsheets. Be sure to record the participant’s name on the supporting documentation. **(Please Note: Do not send documentation with personal information. Black out i.e: social security #; home address; date of birth).**
 - iii. Any out of state supportive services are prohibited and not reimbursable.
 - e) Administrative Fee – Should be billed based on the LRC contracted budget amount. A monthly invoice submission is required. Please divide the fee by twelve and record that amount on the invoice cover sheet in the space provided. (Covers costs such as operational costs, office supplies, rental space, etc.)
- F. Memorandum of Agreements (MOA’s) and Title VI Compliance

1. MOA - The purpose of the MOA is for the Intermediary Agency and the Provider to work in partnership to provide supportive services to participants. Before service providers can provide supportive services to reentry participants, there must be a current Memorandum of Agreement (MOA/Title VI Compliance) on file with NCDAC/R&R. Please submit a MOA for each service provider that provides services for reentry participants such as, housing, transportation, and childcare.
 - a) Before any provision of supportive services to participants, a MOA must be established and signed by the Intermediary Agency and Provider AND have been submitted to the applicable CDS for approval prior to services being rendered.
 - b) The scope of services within the MOA shall include the Provider agreeing to provide supportive services as requested by the Intermediary Agency. The Intermediary Agency, in turn, agrees to reimburse the Provider for all services agreed upon and rendered. The provider will not be reimbursed by the Intermediary Agency for any service provided that is outside of the scope of the MOA.
 - c) All MOA’s must be updated on a yearly basis and submitted to the designated LRC CDS.
2. Title VI Compliance - Ensures that no person shall on the ground of race, color, national origin, sex or disabilities be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal funds. The Title VI Compliance must be signed by the IA and service provider and attached to the MOA.

G. In-Reach Process

1. NCDAC/R&R will provide Local Reentry Council contact information to state prison facilities of all approved Reentry Council Sites.
2. The LRC Coordinator should contact their local facility (Warden or designee or Senior Programs Staff) for introductions and to set up a time to discuss the In-Reach process.

Other duties are as follows:

- a) Ask the local facility to identify a point of contact for setting up In-Reach visits (appointments) with R-STEP participants or other individuals housed at the facility who may be releasing to LRC county(s).
 - b) Request to meet with the participant(s) approaching release (within the next 6 to 9 months) and are staying in the designated LRC county. Begin the process of documenting release plans and potential needs during this initial visit.
 - c) Create a follow-up process with the facility point of contact for those who are interested in receiving LRC services. Ideally, the LRC staff will meet with these individuals collectively and individually over several appointments. Conversations and discussions should cover the Transition Document Envelope (TDE) contents, Housing, Employment, Transportation, and any other reentry concerns the participant may have.
3. Prior to release, LRC staff should ensure that the individual has a scheduled appointment and that they have provided information about the office location, how to get to the LRC office, hours of operation, and the name of the person to ask for upon arrival to the LRC office.

H. Intermediary Agency Transition Process

In the event of a contract non-renewal and/or termination, the following steps are required:

1. IA shall submit a detailed plan for operation and maintenance of all close out deliverables prior to transfer.
2. IA shall complete and submit the Intermediary Agency Close Out form. Information detailing any open issues for resolution must be documented on this form. (*See Appendix*)
3. IA shall provide the Department with a copy of all current MOA.
4. IA shall ensure that all case file information on participants, include but not limited to, case notes, case plans and contact information are updated before the transfer of files.
5. IA shall create a roster of active, inactive, closed and pending cases. Information must include name, address, telephone, and opus number)
6. IA shall submit a current list of the LRC partners, Executive Committee members, Sub-Committee names and members, a list of service providers, and active MOA's. Information must include name of agency, email, address, and telephone number.
7. IA shall ensure all contractual obligations have been met, submit final invoices for reimbursement, close out all service provider contracts, and MOA's within 45 days after contract end date

I. NCDAC/R&R Role in the IA Transition Process

1. NCDAC/R&R will schedule meetings between current IA and new IA to discuss the transition process.
2. NCDAC/R&R will introduce current IA to new IA to facilitate the transition and transferring of all LRC participant files.
3. NCDAC/R&R will review all active case files to ensure that case notes are up to date and required documents are included. If there are missing documentation and/or case notes, the current IA will need to update and provide this information within 30 days.

4. NCDAC/R&R will verify all case files, including active and inactive, and sign off on.
5. NCDAC/R&R will secure the current monthly data collection tool and present to the new IA. This monthly data tool needs to be maintained moving forward with the new IA.
6. NCDAC/R&R will verify the Intermediary Agency Close Out form.

J. Quality Assurance and Outcomes

To determine if programs are successful at meeting standards, NCDAC/R&R will conduct the following:

1. NCDAC/R&R will conduct ongoing audit reviews by utilizing an automated case management and/or data collection system to track reentry services rendered and participants outcome. Any deficiencies will be immediately addressed by the LRC designated Community Development Specialist.
2. NCDAC/R&R will review case notes, case plans, intake processes, and assessments for compliance.
3. NCDAC/R&R will utilize Audit Checklist in conducting audits.
4. NCDAC/R&R will conduct site visits to monitor services and activities provided by the IA for compliance with the contract requirements.
5. IA will be required to submit an action plan to eliminate identified deficiencies within a specified timeframe given by the CDS.
6. IA shall provide information, as requested, by the Department, for purposes of Quality Assurance evaluations.
7. Failure to comply with any aspects of the Quality Assurance process, outlined above, may result in termination of contract.

VII. **DEFINITIONS**

A. Advisory Committee

Body of delegated stakeholders who encompasses a wide range of local faith, non-profit, government and business leaders and returning citizens who assist in identifying and addressing gaps in available resources in the local community.

B. Affiliated Local Reentry Council

Communities who have worked closely with R&R to develop similar efforts aimed at reducing barriers to reentry in their respective communities. Either through the development of a LRC or serving primarily as an “intermediary agency,” these communities have adopted our model of addressing reentry needs without any funding from our department.

C. Case Management

A coordinated and collaborative process of assessment, planning, and monitoring to facilitate access to programs and services that address the participant's needs. It involves the process of engaging an individual in information sharing discussion to identify needs such as housing, employment, substance abuse treatment, education, decision making, financial, family, transportation, and physical or mental health.

D. Case Planning

The process to develop a comprehensive plan based on an assessment of needs and identifies the programs, services, and activities a participant should engage in to facilitate and promote the greatest opportunity for positive change.

E. Conflict of Interest

To be financially interested, or have personal beneficial interest, either directly or indirectly, in the purchase of, or contract for service, any materials, equipment or supplies, or in any firm, corporation, partnership or association furnishing any such supplies, materials or equipment to the State government, or any of its department, institutions or agencies or to accept or receive, directly or indirectly, from any person, firm or corporation to whom any contract may be awarded, by rebate, gifts or otherwise, any money or anything of value whatsoever, or any promise, obligation or conflict of interest shall be assumed to exist even if by way of having a family member who is an interested party. The appearance of a conflict of interest must be avoided to maintain Departmental integrity.

F. Executive Committee

The governance structure for the Local Reentry Council. The Executive Committee has designated co-chairs and includes a representative from the Intermediary Agency, the Advisory Committee, Service Providers, and NC Department of Adult Correction local staff. The Executive Committee guides decision making about the work of the Local Reentry Council including operation, design, and implementation. This cross-pollination of the community ensures balanced leadership of the committee with input from key players in the process.

G. Intermediary Agency

Entity that provides administrative support, direct services, coordination, and implementation of the Local Reentry Council. Selected through a competitive bid process, the Intermediary Agency coordinates all aspects of the offender reentry process and is the liaison between the North Carolina Department of Adult Correction (NCDAC), Division of Rehabilitation and Reentry (R&R) and the Local Reentry Council (LRC). The Intermediary Agency (IA) should be a legal entity with state and/or local recognition and relationships to work with community-based and faith-based reentry service providers, individuals, and stakeholders.

H. Job Placement Specialist/Case Manager

The Job Placement Specialist/Case Manager will cultivate and educate a pool of potential employers, provide employability training, job seeking resources and job coaching assistance to released offenders. In addition, the Job Placement Specialist/Case Manager will assist clients in making a successful transition back into the community by providing service coordination, support, and guidance as well as work with the client to create a plan of action, monitor their progress, along with follow up until completion of the plan.

I. Local Reentry Coordinator

The “point of contact” to coordinate the community’s input in the development of the Local Reentry Council and manages the day-to-day delivery of reentry services. As the Local Reentry Council develops its service provider network, the Local Reentry Coordinator is responsible for developing the partnership agreements so that returning citizens can be referred to these agencies as needed. Lastly, the Local Reentry Coordinator manages the referral process and case management services provided through the Local Reentry Council.

J. Local Reentry Council

Organized network of individuals and agencies that provide supervision and coordination of innovative responses to the reintegration of justice involved individuals at the local level and to use the existing program services.

K. Memorandum of Agreement

A Memorandum of Agreement (“MOA”), also known as a memorandum of understanding, is a formal business document used to outline an agreement made between two separate entities, groups, or individuals. For the purposes of this SOP, an MOA is a partnership between the Intermediary Agency and the Service Provider to provide supportive services to justice involved individuals.

L. PREA: Prison Rape Elimination Act

The Prison Rape Elimination Act of 2003 was enacted by Congress to address the problem of sexual abuse and sexual harassment of persons in the custody of U.S. correctional agencies. The Act applies to all public and private institutions that house inmates, juveniles, and is also relevant to community-based agencies.

M. Proxy Screening Tool

A brief screening tool to pre-screen offenders for risk to reoffend. Pre-screening allows community supervision agencies to triage offenders prior to conducting a full assessment.

N. Division of Rehabilitation and Reentry (R&R)

The Section of NCDAC responsible for overseeing administration of the contract.

O. Service Providers

Stakeholders that offer direct services such as housing, employment, food, clothing, childcare assistance, vocational training, transportation, substance abuse treatment, mental health treatment, mentoring services, and any other supportive services.

P. Shall or Must

Denotes that which is a mandatory requirement. Failure to meet a mandatory requirement could result in termination of the contract.

Q. Should

Denotes that which is recommended, not mandatory.

R. Sub-Committees

Body of delegated stakeholders and members of reentry council to address reentry barriers that justice involved individuals face when returning to the community.

S. Title VI Compliance

Ensures that no person shall on the ground of race, color, national origin, sex, or disabilities be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal funds.

VIII. **APPENDIX**

A. LRC Structure

B. Executive Committee Structure

C. Sample By-Laws

D. NCDAC/R&RS Required Intake Forms

- i. Intake Form
- ii. Documentation Checklist
- iii. Participant Behavioral Agreement
- iv. Social Security Number Request & Confidentiality Notification

- v. Authorization to Release Information
- vi. Proxy Data Rating Scale

- E. Sample Case Plan

- F. Sample Case Note

- G. LRC Participant Survey

- H. Invoice Forms
 - i. Invoice Cover Sheet
 - ii. Transition/Reentry Support Form
 - iii. Employee Time Record
 - iv. Mileage Reimbursement Form

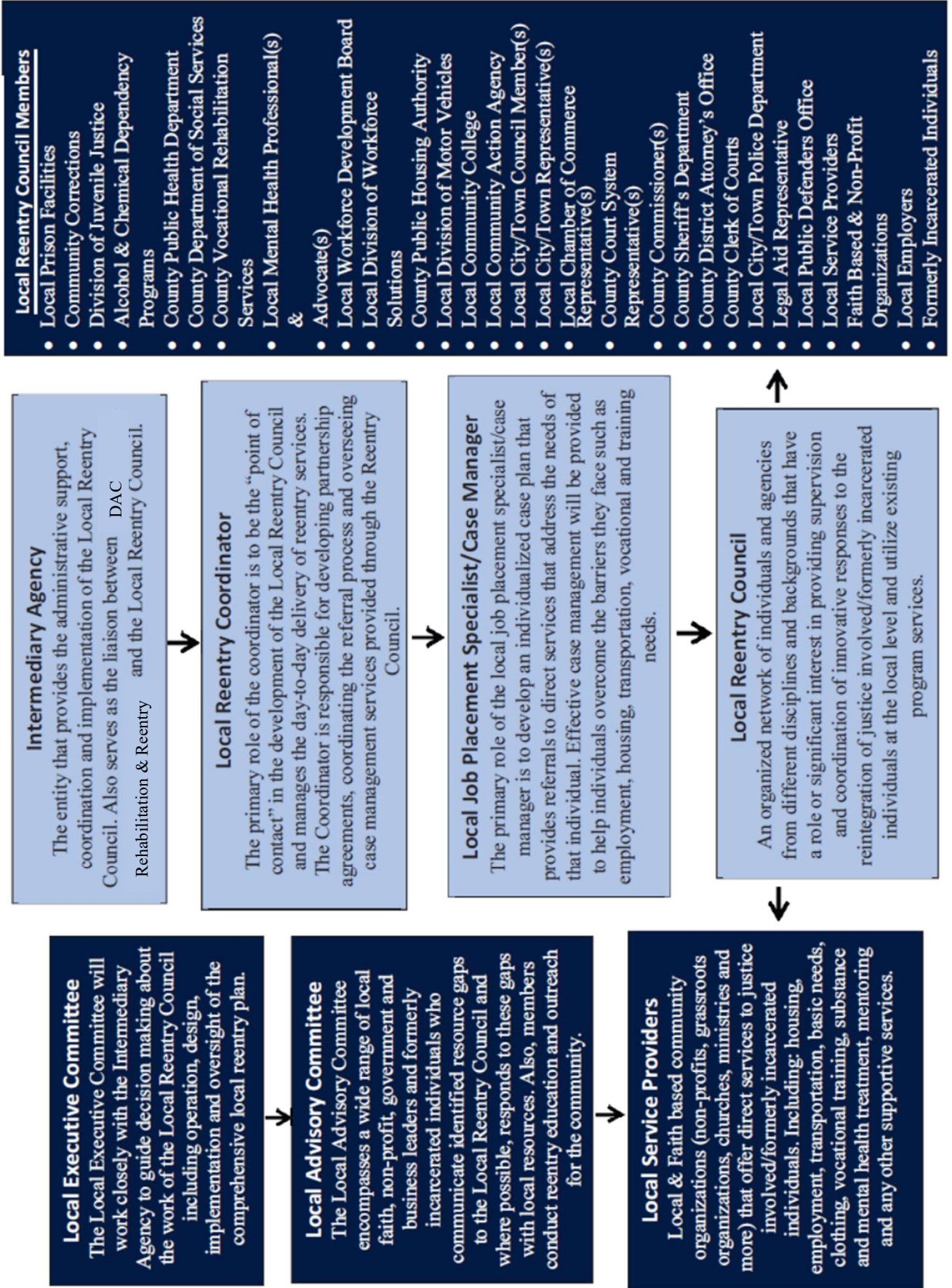
- I. Memorandum of Understanding/Agreement (MOU/MOA)

- J. Title VI Compliance

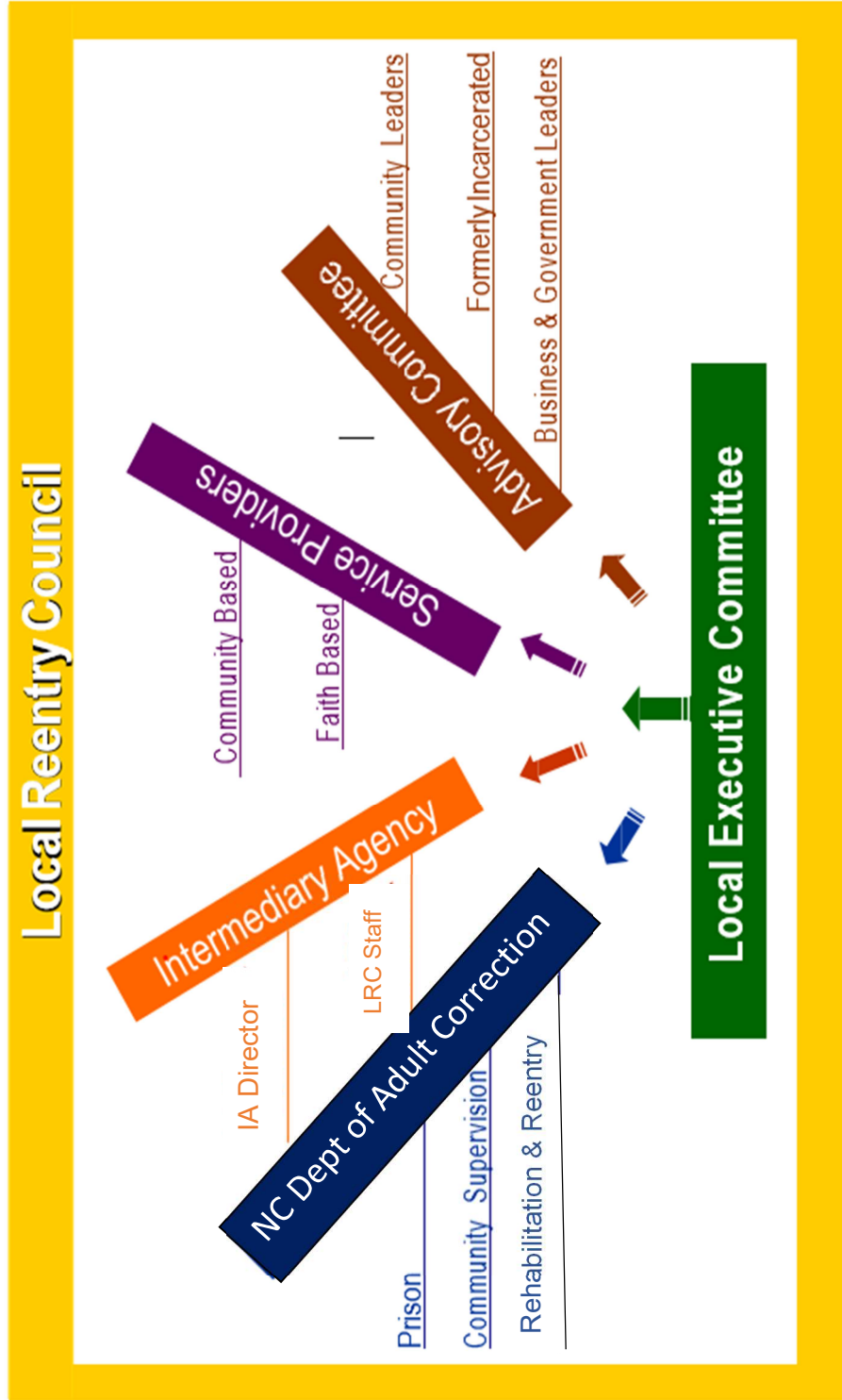
- K. Intermediary Agency Close Out form

- L. LRC Standard Operation Procedures Manual Acknowledgement Form

The North Carolina Department of Adult Correction Local Reentry Council



Local Governance Structure Overview



ABC Reentry Council Bylaws

(ABC County)

ARTICLE 1 – NAME AND PURPOSE

Section 1 – Name

The name of the organization shall be ABC COUNTY REENTRY COUNCIL. It shall be a non-profit organization whose membership is comprised of representatives from government and private entities, such as workforce development, criminal justice, justice administration, social services, and faith/community based organizations in ABC County, North Carolina.

Section 2 – Purpose

ABC Reentry Council is an organized coalition of government and private agencies, businesses, individuals, non-profit and community/faith based organizations whose purpose is to integrate a variety of services for offenders/formerly incarcerated individuals (OFI), reduce recidivism and victimization. The goal of this coalition is:

- To develop a collaborative comprehensive plan of services from the time an offender enters prison through their release and return to the community;
- To identify needs and provide access to a responsive service network for OFIs;
- To advocate for OFIs;
- To educate employers about the benefits of hiring an individual with a criminal record;
- To conduct public and service provider reentry education and outreach for the community;
- To recommend policy changes to the State Reentry Task Force/Advisory Council.

ARTICLE II – MEMBERSHIP

Section 1 – Membership

Membership shall consist of North Carolina Department of Adult Correction representatives (local prison facilities, Community Supervision, and Alcohol & Chemical Dependency Programs personnel), an Intermediary Agency representative, an Executive Committee, an Advisory Committee, and representative(s) from the following:

- County Public Health Department
- County Social Services
- County Vocational Rehabilitation Services
- County Housing Authority
- County Commissioner(s)
- County Sheriff's Office
- County District Attorney's Office
- Local Division of Workforce Solutions
- Local Division of Motor Vehicles
- Local Community College
- Local Community Action Agency
- Local City/Town Council
- Local City/Town
- Local Chamber of Commerce

- Local employers
- Formerly incarcerated individual(s) with the following eligibility requirements:
 - 1) Must be at least 21 years old;
 - 2) Must be at least 2 years released from correctional supervision (or if not assigned correctional supervision, 2 years released from prison/jail/detention);
 - 3) And must not have any pending charges.
- Legal Aid
- Local public defender's office
- Community and faith based local service providers

Interested agencies/organizations/individuals must complete an application that will be reviewed by the Executive Committee, which will determine membership based on Committee criteria. Agencies can consist of more than one (1) representative (a list of agency representatives will be requested to be submitted with application). Each agency will have one (1) vote for each ballot and the agency/organization will select which representative will vote for the agency.

Section 2 – Fiscal Year

ABC Reentry Council operates under the fiscal calendar from July 1 through June 30.

Section 3 – Annual Dues

The amount for annual dues will be \$_____ payable on or before July 1. After July 1 annuals dues will be pro-rated. Agency dues are non-refundable.

Section 4 – Criteria for Agency/Organization Participation

Private, Public and Non-profit (501C3 status) agencies.

Section 5 – Meeting

Monthly meetings will be scheduled at set time monthly at the Executive Committee's discretion. Monthly meetings are always open to the public.

- A. Quorum: A majority of the actual membership shall constitute a quorum.
- B. Participation at Meetings: Members must be physically present at a ABC Reentry Council meeting in order to be counted in attendance or to vote. Members may not vote by proxy. Members may be counted in attendance and participate in committee meetings by telephone or other audio-visual means.
- C. Special Meetings: The Chairperson or a majority of the ABC Reentry Council Executive Committee Members may call a special meeting at any time, provided each member receives notice of the time and location of the meeting and the items to be discussed at least twelve (12) hours before the special meeting. Only the items of business contained in the special meeting notice may be transacted at a special meeting.
- D. Agenda: An agenda shall be prepared for all meetings and each member shall receive a copy of the agenda by the close of the business day preceding the meeting. When possible, supporting materials shall be included with the agenda. Items may be placed on the agenda by any member of ABC Reentry Council. Agenda items must be received and approved by the Chair at least three (3) working days before the meeting. The agenda shall be available for public inspection. After the agenda is adopted, items may be added only by a majority vote of those present at the meeting. The Chairperson shall establish the order of business on the agenda.
- E. Public Address to ABC Reentry Council: Any individual or group who wishes to address ABC Reentry Council shall make a request to the Chairperson to be included on the agenda. Such requests shall be granted at the discretion of the Chairperson, who may establish appropriate time limits.

- F. Minutes: The Secretary shall record and keep minutes of all meetings of ABC Reentry Council. Attendance shall be included in the minutes.
- G. Procedure: ABC Reentry Council shall abide by (input the accepted procedural rules the ABC Reentry Council will follow here) for procedural matters, unless otherwise determined by a majority of ABC Reentry Council members. Should there be a disagreement regarding a procedural matter, the Chairperson shall consult with the Executive team.
- H. Voting: The Chairperson shall vote only when his/her vote will affect the result.

Section 6 – Membership Termination

Members shall be terminated from the ABC Reentry Council due to excessive absences (excessive absences are defined as missing more than three ABC Reentry Council meeting per year without sending representation) or misrepresentation of agency will be determined by a three-fourths vote and be announced by the Executive Committee.

ARTICLE III – EXECUTIVE COMMITTEE

Section 1 – Executive Committee Role

The Executive Committee is responsible for overall policy and direction of the larger group and delegate's responsibility to various committees.

Section 2 – Executive Committee Nominee Requirements

A Nomination form must be submitted by ABC Reentry Council members and include professional bio and/or resume.

Section 3 – Terms

All Executive Committee shall serve two-year terms, but are eligible for re-election for up to two consecutive terms.

Section 4 – Meetings and Notice

The Executive Committee shall meet monthly or as needed at an agreed upon time and place.

Section 5 – Elections

The Executive Committee will accept nominations for new openings no later than one (1) month prior to the last meeting of the year and all voting members shall cast a vote to elect Executive Committee members to replace those whose terms will expire at the end of the year. In the event that an Executive Committee position becomes open prior to the end of the fiscal year the Executive Committee will appoint a person to the open position until the next scheduled election.

- To launch ABC Reentry Council Executive Committee, (input your procedures for nominating and recommending committee members here).

Section 6 – Officers and Duties

The Executive Committee shall consist of a Chairperson, Vice-Chairperson, Secretary, Treasurer and Committee Chairperson. Their duties are as follows:

- *The Chair* shall convene regularly scheduled meetings, shall preside or arrange for other members of the Executive Committee to preside at each meeting in the following order: Vice-Chair, Secretary, and Treasurer. The criterion for election is five (5) years work in the reentry field and experience in leadership capacity.
- *The Vice-Chair* shall oversee meetings in the absence of the Chair and will assist the Treasurer with the financial matters of the organization. The Vice-Chair will be the Spokesperson and will be the media representative for ABC Reentry Council. The criterion for election is three (3) years work in the reentry field and experience in leadership capacity.

- *The Secretary* shall be responsible for recording meeting minutes, sending out meeting announcements, distributing copies of minutes and the agenda to each committee member, and assure that ABC Reentry Council Executive Committee records are maintained. The criterion for election is three (3) years work in the reentry field and experience with office and administrative skills.
- *The Treasurer* shall assist in the preparation of the budget, collection of dues, assist in coordinating financial activities and make financial information available to committee members. The criterion for election is experience in finance and/or accounting.
- *The Committee Chairperson(s)* shall be responsible for providing sub-committee reports to the Executive Committee and will seek direction for committee assignments.

Section 7 – Resignation, Termination, and Absences

Resignation from the Executive Committee must be in writing and received by the Secretary. An Executive Committee member shall be terminated from the board due to excess absences and other reasons by a three-fourths vote of Executive Committee Members.

ARTICLE IV – ADVISORY COMMITTEE

Section 1 – Advisory Committee Role

The Local Advisory Committee encompasses a wide range of local faith, non-profit, government and business leaders and formerly incarcerated individuals who communicate identified resource gaps to the Local Reentry Council and where possible, responds to these gaps with local resources. Also, members conduct reentry education and outreach for the community.

Section 2 – Advisory Committee Nominee Requirements

A Nomination form must be submitted by ABC Reentry Council members and *(input your procedures for nominating and recommending committee members here)*.

Section 3 – Terms

All Advisory Committee members shall serve *(input your term requirements here)*.

Section 4 – Meetings and Notice

The Advisory Committee shall meet *(input frequency here)* or as needed at an agreed upon time and place.

Section 5 – Elections

The Advisory Committee will accept nominations for new openings no later than one (1) month prior to the last meeting of the year and all voting members shall cast a vote to elect Advisory Committee members to replace those whose terms will expire at the end of the year. In the event that an Advisory Committee position becomes open prior to the end of the fiscal year the Advisory Committee will appoint a person to the open position until the next scheduled election.

- To launch ABC Reentry Council's Advisory Committee, *(input your procedures for nominating and recommending committee members here)*.

Section 6 – Officers and Duties

The Advisory Committee shall consist of a Chairperson, Vice-Chairperson, and a Secretary. Their duties are as follows:

- *The Chair* shall convene regularly scheduled meetings, shall preside or arrange for other members of the Advisory Committee to preside at each meeting in the following order: Vice-Chair and Secretary. The criterion for election is *(input requirements here)* work in the reentry field and experience in leadership capacity.

- *The Vice-Chair* shall oversee meetings in the absence of the Chair. The Vice-Chair will be the Spokesperson and will be the media representative for ABC Reentry Council. The criterion for election is *(input requirements here)* work in the reentry field and experience in leadership capacity.
- *The Secretary* shall be responsible for recording meeting minutes, sending out meeting announcements, distributing copies of minutes and the agenda to each committee member, and assure that ABC Reentry Council Advisory Committee records are maintained. The criterion for election is *(input requirements here)* work in the reentry field and experience with office and administrative skills.

ARTICLE V – COMMITTEES

Section 1 – Committee Formation

The voting membership creates Sub-Groups and Work Groups as needed, and the committees will appoint their chairs (*recommendation*):

- Sub-Groups: Funding Committee, Assessment/Evaluation/Accountability, Education/Awareness and Policy/Procedure
- Work Groups: Employment/Training, Mental Health/Substance Abuse, Financial Obligations, Health, Family Reunification, Education and Housing

Prohibitions:

1. No committee shall be empowered to make funding determinations.
2. No ABC Reentry Council member may serve on more than two (2) Committees and one (1) Ad Hoc Committee.
3. No ABC member (other than the Chairperson or Vice-Chairperson) is authorized to represent the ABC Reentry Council without prior authorization from the ABC Reentry Council's Executive Committee.

ARTICLE VI – AMENDMENTS

Section 1 – Amendments

These bylaws may be amended when necessary by affirmative vote of the majority of the ABC Reentry Council members. Proposed amendments must be submitted to the Secretary one (1) week in advance of the next full ABC Reentry Council meeting.

- fins are considered by the Executive Committee.

North Carolina Local Reentry Council Intake Form

Participant's Information

NC DAC ID# _____

(If previously incarcerated or supervised by the State of North Carolina)

Most Recently Released From (please check the appropriate box):

- NC DAC Prison Federal Facility NC Jail
 Out of State Facility Not Applicable

Release Date: _____

Referred From:

- NC DAC Prison Federal Probation NC Jail Out of State Facility
 LRC Partners Self-Referral Relative/Friend Other Providers

Currently under NC DAC Supervision?

- Yes No

If yes,

Supervision Contact Name: _____

Supervision Phone Number: _____

Supervision Email: _____

Supervision End Date: _____

Do you know the Supervision Level?

- Yes No

If yes, Supervision Level:

- L 1 L 2 L 3 L 4 L 5

ELC Offender?

- Yes No

Is the client a Registered Sex Offender?

- Yes No

If yes, NC County registered
in? _____

LRC Participant Documentation Checklist

Participant's Name: _____

Date: _____

Staff's Initials: _____

**LRC Staff should document whether participant physically has the following documents in their possession:				
Documents	<u>YES</u>	<u>NO</u>	<u>N/A</u>	<u>Comments</u>
Social Security Card				
Driver's License or State ID				
Birth Certificate				
High School Diploma or High School Equivalency Certificate				
Community College Certificate/Diploma/Degree				
Transcript, Grade Report, other Records				
Occupational License or Apprenticeship Certificate				
NCDAC Transitional Document Envelope (TDE)				
NCDAC Official Release Document				
Federal Official Release Document				
Out of State Official Release Document				

**North Carolina Department of Adult Correction
Participant Agreement**

As a participant receiving services from the _____ Local Reentry Council (LRC), I agree:

- To communicate on a regular and consistent basis with LRC staff in person, via email or telephone and inform them of any change in contact information;
- To attend all meetings, appointments, or classes with LRC staff and/or network service providers as scheduled on my behalf;
- To notify my case manager and/or network service provider, in advance, if I am unable to attend a scheduled meeting, appointment or class;
- To comply with the customized case plan that will be developed on my behalf; and
- To abide by all of the rules, regulations, and procedures of the _____ Local Reentry Council as explained by LRC staff.

I understand that if I do not make a reasonable effort to fulfill my obligations and responsibilities with the LRC, then it is possible that services may be terminated.

Name (Print): _____ Date: _____

Signature: _____

Social Security Number Request & Confidentiality Notification

Pursuant to North Carolina Statute GS 132-1.10, your social security number is requested in order to **i)** verify your identity when there is no other known unique identifier with other agencies who may have provided or will provide services to you, **ii)** to obtain records that may be used to assist your case manager complete a comprehensive case plan from other agencies that have no other known unique identifier, **iii)** to obtain information that will allow the agency to assess the effectiveness of services provided to you, **iv)** for internal data management purposes. While you are NOT required to disclose this information, it may be needed for you to receive certain services.

Your social security number will not be disclosed to other individuals or entities except for those reasons previously described, or unless required by law. Your information will not be intentionally or otherwise made available to the general public, and will not be included as part of any public record. If your information is provided to another governmental agency, under GS 132-1.10 (c) the receiving governmental entity and its agents, employees, and contractors must also keep all identifying information confidential.

Client's Name (please print)

Client's Signature

Date

Witness' Name (please print)

Witness' Signature

Date

**North Carolina Department of Adult Correction
Authorization to Release Information**

I authorize the _____ Local Reentry Council (LRC) to release general information about me to service providers who are a part of the LRC network for the purpose of providing reentry services to me.

I understand that my authorization will remain effective one year from the date of my signature and that the information will be handled confidentially in compliance with all applicable state and federal laws.

I understand that I may request a copy of the information that is sent to a network service provider on my behalf.

I understand that I may revoke this authorization at any time.

I have read and understand the nature of this release.

Name (Print): _____

Signature: _____

Date: _____

LRC Staff Use Only		
Permission Revoked by (check one)	letter <input type="checkbox"/>	Call <input type="checkbox"/> Other <input type="checkbox"/>
Effective Date:	_____	
Witness:	_____	

Witness (Print): _____

Signature: _____

Date: _____

North Carolina Local Reentry Council
Proxy Data Rating Scale
(Risk Level Assessment)

Intermediary Agency: _____

Participant's Name: _____

Date Taken: _____

Instructions: Please answer the 3 questions below for the participant by placing an "x" in the appropriate box for each question. Once questions are answered, a risk level will automatically be determined for you.

1. Participant's Current Age:

16-26 27-35 36+

2. Participant's Age at First Arrest

0-17 18-23 24+

3. Participant's Number of Prior Arrests:

0-1 2-5 6+

Risk Level Score: Low

Intermediary Agency Name _____

Reentry Services

Case Plan

Participant Name:

Case Manager Name:

Plan Date:

Review Date:

Goals	Objectives	Projected Date	Completion Date/Outcome

Participant Signature:

Staff Signature:

Date:

LOCAL REENTRY COUNCIL

Participant Survey

The North Carolina Department of Adult Correction is continuously striving to enhance reentry services to justice-involved individuals with a criminal background in the community. We would like to hear your feedback to help Local Reentry Councils provide superior services.

1. In your opinion, how convenient is the LRC office hours?

- Very Helpful Helpful Neutral Somewhat Helpful Not Helpful

2. Did you find it easy to schedule an appointment with the LRC?

- Yes No

3. Please rate your overall experience with the LRC?

- Very Helpful Helpful Neutral Somewhat Helpful Not Helpful

4. How helpful would you say the LRC staff member was in assisting you with services?

- Very Helpful Helpful Neutral Somewhat Helpful Not Helpful

5. Would you recommend the LRC to a friend?

- Yes No

6. May we contact you in the future?

- Yes No

7. What type of services did you receive from the LRC?

Additional comments, feedback or suggestions:

Name: _____

OPUS #: _____

INVOICE

		Date:	
		Invoice #:	
		Period Covered:	
To: Department of Adult Correction	y	County(s):	
Rehabilitation & Reentry 3512 Bush Street		Remit To:	
Mail Service Center 4221			
Raleigh, NC 27699-4221		Federal ID:	
		Contact Name:	
		Contact Phone #:	
		Contact Email:	
		Total Amount Due:	\$0.00

- Submit by the 25th of the following month
- Attach all supporting documentation and receipts:

Personnel: Employee Time Records with supporting documentation (Payroll Journal)
 *Payroll Summary (Employer Payroll Taxes) & benefit details (must be available upon request, but does not need to be submitted with time sheets or invoice)

Travel: Mileage Reimbursement Form

Contract Services - Supplies - Training - Other: Transition/Reentry Support (TRS) Form
 with supporting documentation including service provider invoice(s) and receipts

page totals only(not to be sent in with invoice) sum of \$ is pulled to G28:29

Reimbursement Expenses	\$Amount
Personnel	0.00
Travel	0.00
Contract Services	0.00
Supplies	0.00
Training	0.00
Other	0.00
Sub-total	0.00
Administrative Fees	
Total	\$0.00

EE time sheet and Mileage Logs				
EE (1)	EE (2)	EE (3)	EE (4)	
0	0	0	0	Personnel
0	0	0	0	Travel

****Note: Do not send documentation with personal information, black out i.e. soc. security#; home address; date of b**

Authorized Representative:

North Carolina Local Reentry Council

Intermediary Agency: _____

County(s): _____

Employee Time Record

Period Covered: _____

Total Amount Due: \$0.00

*Instructions: Attach this document and all supporting documentation including Payroll Journal, to the corresponding invoice for reimbursement.
(Payroll Summary & benefit details must be available upon request, if not attached)*

Employee's Name (First, Last)		Position Title										
Sat	Sun	Mon		Tues		Wed		Thurs		Fri		Total Hours
Date	Hours	Date	Hours	Date	Hours	Date	Hours	Date	Hours	Date	Hours	
												0.00
												0.00
												0.00
												0.00
												0.00
										Total Hours	0.00	
										Gross Rate		
Monthly Gross Salary:	\$0.00	COMMENTS										
Fringe Benefits:												
Employer Taxes:	\$0.00											
Employee's Signature											Date	
Supervisor's Signature											Date	
Intermediary Agency Authorized Representative's Signature											Date	

North Carolina Local Reentry Council

Intermediary Agency: _____

County(s): _____

Mileage Reimbursement Form

Period Covered: _____

Total Amount Due: \$0.00

Instructions: Attach this document to the corresponding invoice for reimbursement

Travel Log						
Employee's Name (First, Last)			Position Title:			
CLIENT NAME:						
Travel Information				Mileage		
Date	From Location	To Location	Purpose of Trip	Beginning	Ending	Total
Round Trip						0
Round Trip						0
Round Trip						0
Round Trip						0
Round Trip						0
Round Trip						0
Round Trip						0
Round Trip						0
Round Trip						0
Round Trip						0
Round Trip						0
				Total Miles		0
				\$Amount per Mile		\$0.580
				Total \$Amount		\$0.00
Employee's Signature			Date			
Supervisor's Signature			Date			
Intermediary Agency Authorized Representative's Signature			Date			

Memorandum of Agreement

This is NOT a Contract

This is a basic understanding of what is expected from each party. This agreement does not determine or legally bind the **“Local Reentry Council”** or the **“Provider”** to any specific terms other than the amount that can be charged for services. Generally, the **Local Reentry Council ONLY** provides services for up to 3 months and the 3 months we provide services are based on funding availability.

This Memorandum of Agreement is made on this ____ day of _____ 20__, by and between _____ Reentry Council hereinafter referred to as **“Intermediary Agency”** and _____ hereinafter referred to as **“Provider”** for the provision of supportive services to justice involved individuals .

WHEREAS, _____ Reentry Council (**Intermediary Agency**) and _____ (**Provider**) desire to enter into a Memorandum of Agreement (MOA) between them, setting out the working arrangements that each of the partners agree are necessary to effectively assist justice involved individuals.

Purpose

The purpose of the MOA is for the **Intermediary Agency** and the **Provider** to work, in partnership, to provide supportive services to justice involved individuals that lead to an increase in Adult Correction, enhanced job skills for justice involved individuals, and reduced recidivism rates of justice involved persons. Specific to this MOA, indicate which supportive services are being provided and provide detail for each category of service being provided and include the rate of pay for each service:

- | | |
|---|--|
| <input type="checkbox"/> Employment assistance - | <input type="checkbox"/> Family Support services - |
| <input type="checkbox"/> Housing assistance - | <input type="checkbox"/> Driver’s License - |
| <input type="checkbox"/> Substance abuse/Mental Health Treatment services - | <input type="checkbox"/> State ID Card - |
| <input type="checkbox"/> Transportation services - | <input type="checkbox"/> Clothing - |
| <input type="checkbox"/> Child care services - | <input type="checkbox"/> Food - |
| <input type="checkbox"/> Education/Vocational Training services - | <input type="checkbox"/> Other (Specify) - |

Supportive Service	Detail	Rate/Range of Pay

Scope of Services

The **Provider** agrees to provide one or more of the aforementioned supportive services as requested by the **Intermediary Agency**. The Intermediary agency, in turn, agrees to reimburse the **Provider** for all services agreed upon and rendered.

The **Provider** will not be reimbursed by the **Intermediary Agency** for any service provided that is outside of the scope of this Memorandum of Agreement.

Billable Rate

The **Intermediary Agency** shall pay the **Provider** at the billable rate(s) of \$_____ per (circle one) **hour/day/week/month/mile** per client for (circle one) **housing/transportation/daycare** (supportive service). If you have multiple rates, please write in and explain below:

Term

The arrangements made by the partners in this Memorandum shall remain in place from _____ until _____ (One year term from signing date). The term can be extended only by agreement of all partners.

Provider address: _____

Provider phone # _____ Email _____

For Housing providers only: List address(s) of property(s) for client use

Address _____

Address _____

Address _____

Understanding

It is mutually agreed upon and understood by and among partners of this MOA that:

Each partner will work together in a coordinated fashion to fulfill their obligations outlined in this MOA.

This MOA does not restrict either the **Intermediary Agency** or the **Provider** from participating in similar agreements with other public or private agencies, organizations, or individuals.

This MOA becomes effective once signed by both partners.

Either the **Intermediary Agency** or the **Provider** may terminate their participation in this MOA by providing a minimum of 30-days written notice to the other partner.

Signatures

This MOA is effective as of the date first written above in the opening paragraph and signed on behalf of both partners as follows:

_____ of _____ Reentry Council (**Intermediary Agency**),

AND

_____ of _____ (**Provider**)

SIGNATURE

_____ (Printed name)

Title VI Compliance/ Assurance Requirements

Ensuring Access to Federally Assisted Programs

Federal laws that apply to recipients of financial assistance from the DOJ prohibit discrimination on the basis of race, color, national origin, religion, sex, or disability in funded programs or activities, not only in employment but also in the delivery of services or benefits. A federal law also prohibits recipients from discriminating on the basis of age in the delivery of services or benefits. By entering into this contract Vendor affirms that it will abide by these requirements

Enforcing Civil Rights Laws

All recipients of federal financial assistance, regardless of the particular funding source, the amount of the grant award, or the number of employees in the workforce, are subject to prohibitions against unlawful discrimination. Accordingly, the OCR investigates recipients that are the subject of discrimination complaints from both individuals and groups. In addition, based on regulatory criteria, the OCR selects a number of recipients each year for compliance reviews, audits that require recipients to submit data showing that they are providing services equitably to all segments of their service population and that their employment practices meet equal opportunity standards. By entering into this contract Vendor affirms that it will abide by these requirements.

Providing Services to Limited English Proficiency (LEP) Individuals

In accordance with DOJ guidance pertaining to Title VI of the Civil Rights Act of 1964, 42 U.S.C. § 2000d, recipients of federal financial assistance must take reasonable steps to provide meaningful access to their programs and activities for persons with limited English proficiency (LEP). *See* U.S. Department of Justice, Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons, 67 Fed. Reg. 41,455 (2002). For more information on the civil rights responsibilities that recipients have in providing language services to LEP individuals, please see the website <http://www.lep.gov>. By entering into this contract Vendor affirms that it will abide by these requirements.

Ensuring the Equal Treatment of Faith-Based Organizations and Safeguarding Constitutional Protections Related to Religion

The DOJ regulation Equal Treatment for Faith-Based Organizations, 28 C.F.R. pt. 38, prohibits all recipient organizations, whether they are law enforcement agencies, governmental agencies, educational institutions, houses of worship, or faith-based organizations, from using financial assistance from the DOJ to fund inherently (or explicitly) religious activities. Inherently religious activities include worship, religious instruction, or proselytization. While funded organizations may engage in non-funded inherently religious activities (e.g., prayer), they must hold them separately from the program funded by the DOJ, and recipients cannot compel beneficiaries to participate in them. The Equal Treatment Regulation also makes clear that organizations participating in programs funded by the DOJ are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion. For more information on the regulation, please see

the OCR's website at http://www.ojp.usdoj.gov/about/ocr/equal_fbo.htm. By entering into this contract Vendor affirms that it will abide by these requirements

The Omnibus Crime Control and Safe Streets Act (Safe Streets Act) of 1968, as amended, 42 U.S.C. § 3789d(c), as well as other DOJ program statutes, prohibits discrimination based on religion in employment. A funded faith-based organization may under certain circumstances request an exemption to hire co-religionists; the DOJ will consider such requests on a case-by-case basis. By entering into this contract Vendor affirms that it will abide by these requirements

Using Arrest and Conviction Records in Making Employment Decisions

The OCR issued an advisory document for recipients on the proper use of arrest and conviction records in making hiring decisions. See Advisory for Recipients of Financial Assistance from the U.S. Department of Justice on the U.S. Equal Employment Opportunity Commission's *Enforcement Guidance: Consideration of Arrest and Conviction Records in Employment Decisions Under Title VII of the Civil Rights Act of 1964 (June 2013)*, available at http://www.ojp.usdoj.gov/about/ocr/pdfs/UseofConviction_Advisory.pdf. Recipients should be mindful that the misuse of arrest or conviction records to screen either applicants for employment or employees for retention or promotion may have a disparate impact based on race or national origin, resulting in unlawful employment discrimination. In light of the Advisory, recipients should consult local counsel in reviewing their employment practices. If warranted, recipients should also incorporate an analysis of the use of arrest and conviction records in their Equal Employment Opportunity Plans (EEOs) (see below).

Complying with the Safe Streets Act

An organization that is a recipient of financial assistance subject to the nondiscrimination provisions of the Safe Streets Act must meet two obligations: (1) complying with the federal regulation pertaining to the development of an EEO (see 28 C.F.R. pt. 42, subpt. E) and (2) submitting to the OCR findings of discrimination (see 28 C.F.R. §§ 42.204(c), .205(c)(5)). By entering into this contract Vendor affirms that it will abide by these requirements.

Meeting the EEO Requirement

If your organization has less than fifty employees or receives an award of less than \$25,000 or is a nonprofit organization, a medical institution, an educational institution, or an Indian tribe, then it is exempt from the EEO requirement. To claim the exemption, your organization must complete and submit Section A of the Certification Form, which is available online at <http://www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf>.

If your organization is a government agency or private business and receives an award of \$25,000 or more, but less than \$500,000, and has fifty or more employees (counting both full- and part-time employees but excluding political appointees), then it must prepare a Utilization Report (formerly called an EEO Short Form), but it does not need to submit the report to the OCR for review. Instead, your organization must maintain the Utilization Report on file and make it available for review on request. In addition, your organization must complete Section B of the

Certification Form and return it to the OCR. The Certification Form is available at <http://www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf>.

If your organization is a government agency or private business and has received an award for \$500,000 or more and has fifty or more employees (counting both full- and part-time employees but excluding political appointees), then it must prepare a Utilization Report (formerly called an EEO Short Form) and submit it to the OCR for review within sixty days from the date of this letter. For assistance in developing a Utilization Report, please consult the OCR's website at <http://www.ojp.usdoj.gov/about/ocr/eeop.htm>. In addition, your organization must complete Section C of the Certification Form and return it to the OCR. The Certification Form is available at <http://www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf>.

To comply with the EEO requirements, you may request technical assistance from an EEO specialist at the OCR by telephone at (202) 307-0690, by TTY at (202) 307-2027, or by e-mail at EEOSubmission@usdoj.gov

Intermediary Agency _____

Signature _____ Date _____

Service Provider _____

Signature _____ Date _____

Reentry Programs and Services
Intermediary Agency Close Out Report
Fiscal Year _____

Organization Name: _____

Organization Address: _____

Contact Person Name: _____

Telephone Number: _____ Email: _____

Program Information:

Number of Participants Enrolled YTD _____

Number of Active Participants YTD _____

Number of Inactive Participants YTD _____

Number of Participants Employed YTD _____

Number of Participants Served by other Agencies _____

Number of Pending Referrals _____

Number of Vendor MOA's _____

***Please attach copies of MOA's

Financial Information:

Total Amount Awarded by NCDPS _____

Total Personnel Expenses _____

Total Travel Expenses _____

Total Supportive Services Expenses _____

Total Administrative Expenses _____

Total Outstanding Invoices _____

Total Unexpended Funds by Category;

Personnel _____

Travel _____

Supportive Services _____

Administrative _____

Person Completing Form Signature _____ Date _____

**ACKNOWLEDGEMENT OF RECEIPT OF LOCAL REENTRY COUNCIL STANDARD
OPERATING PROCEDURES MANUAL AND FINANCIAL GUIDELINES**

This is to acknowledge receipt of the LRC Standard Operating Procedures Manual (SOP) available in the sourcing tool and the Financial Guidelines for Supportive Services, available in RFP attachments. I understand that it is my responsibility to read and become familiar with the contents of these documents.

I understand that it is my responsibility to adhere to the policy and procedures in accordance as outlined in the SOP and financial guidelines documents. If I should have questions about materials and/or procedures outlined in these documents, I understand it is my responsibility to seek clarification from NCDAC/Division of Rehabilitation and Reentry.

Date: _____

LRC Staff Name (Print): _____

LRC Staff Signature: _____

LRC/Intermediary Agency: _____

Intermediary Agency Director/Designee: _____