

 <p style="text-align: center;"><b>KENTUCKY CORRECTIONS</b> Policies and Procedures</p>	Policy Number	Total Pages
	Date Filed	Effective Date
Authority/References KRS 196.030, 439.3107, 439.3108, 439.600, 439.630 101 KAR 2:180	27-05-02	6
	*	April 23, 2015
	Subject <b>USE OF SUBSTANCE ABUSE STAFF</b>	

## I. DEFINITIONS

“District Supervisor” means an employee of the Kentucky Department of Corrections Division of Probation and Parole charged with the supervision of staff in a designated operational area.

“Substance Abuse Staff” means an employee of the Kentucky Department of Corrections Division of Substance Abuse.

“Substance Abuse Supervisor” means an employee of the Kentucky Department of Corrections Division of Substance Abuse charged with supervision of other employees of that division.

“Outside Treatment Provider” means an agency or individual not employed by the Kentucky Department of Corrections who provides treatment of any type on referral by the Division of Probation and Parole to an offender supervised by the Division of Probation and Parole.

## II. POLICY AND PROCEDURE

A. The Division of Probation and Parole shall utilize substance abuse staff in each district to ensure the proper delivery of substance abuse treatment and substance abuse treatment related services to all offenders on community supervision on probation or parole.

1. Substance abuse staff shall perform the following duties with relation to outside treatment providers:

- a. Review a proposed program to ensure the appropriateness of the program for use with offenders supervised by Probation and Parole.
- b. Substance abuse staff shall maintain regular contact with contracted treatment programs used for referral of Probation and

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Parole offenders to ensure continued quality and appropriateness of service.

- c. Review the inventory of community resources used for referral of Probation and Parole offenders to ensure that all offenders have equal access to programs.
    - (1) Male and female offenders should have equal access to services.
    - (2) The special needs of certain offenders should be addressed and programs initiated or supported to provide for those needs.
  - d. Seek additional programs to meet the collective service needs of the offender population in each district when deficiencies exist.
  - e. Initiate and lead programs for offenders when other resources are not available.
  - f. Report allegations of impropriety lodged against a program by an offender, employee of the Division of Probation and Parole, or other source.
2. Substance abuse staff shall perform the following duties related to treatment of offenders actively designated to community supervision under the authority of Probation and Parole:
- a. Receive referrals from Probation and Parole Officers for offenders who:
    - 1. Have been ordered to complete a substance abuse evaluation,
    - 2. Have been ordered to follow parole board stipulated treatment or aftercare,
    - 3. Have a positive urinalysis,
    - 4. Admit to alcohol or drug use, or
    - 5. Exhibit alcohol or drug use behaviors (for example, intoxication, or drug or alcohol related arrests).

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- b. Review all case materials of an offender in order to evaluate the offender's treatment needs.
  - c. Interview an offender in order to evaluate the offender's needs and make appropriate referrals using either in-house programs or outside treatment providers as necessary.
  - d. Provide in-house treatment programs to address the needs of offenders when outside treatment providers are not available.
  - e. Conduct follow-up contacts with outside treatment providers to ensure the participation of the offender and any progress gained.
  - f. Perform other tasks needed to ensure that an offender receives appropriate treatment and is amenable to that treatment.
  - g. Maintain communication with the Probation and Parole Officer on the status of each offender and discuss graduated sanctions regarding substance abuse issues, make referral back to the officer if the offender refuses treatment, is not amenable to treatment, completes treatment, or fails to complete treatment.
- B. Probation and Parole shall assume responsibility for the tracking of time and attendance of each member of the substance abuse staff assigned to work within the division. This responsibility shall be carried out by the District Supervisor of the respective district to which the substance abuse staff member is assigned. This supervision shall include:
- 1. The tracking of time, attendance, and scheduling.
    - a. The substance abuse staff member shall request leave from the substance abuse direct supervisor within the Division of Substance Abuse, with written notification to the District Supervisor in the assigned district.
    - b. The substance abuse staff member shall provide an appointment schedule to the District Supervisor each month.
    - c. Adjustments in schedule are encouraged to meet the needs of the offender population. Such adjustments should be approved by the District Supervisor and the immediate supervisor of the substance abuse staff.

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2. The District Supervisor shall forward a report outlining any issues or concerns, to the Substance Abuse Supervisor by the fifth working day of January, April and September for inclusion in the employee's interim and annual evaluation.
- C. The performance of substance abuse staff shall be evaluated by a Substance Abuse Supervisor to ensure that proper services and referrals are being provided to offenders.
1. A Substance Abuse Supervisor shall conduct a case audit on an annual basis to ensure the proper case management of offender treatment issues.
    - a. The Substance Abuse Supervisor shall review a number of cases adequate to ensure that proper referral and follow-up are being conducted.
    - b. The Substance Abuse Supervisor shall address:
      - (1) The timeliness of referrals to outside service providers.
      - (2) The follow-up contacts made to ensure offender compliance.
      - (3) The action taken when an offender fails to comply.
      - (4) The timeliness of referral back to the case officer when further action is needed.
    - c. In addition to review of individual cases, the Substance Abuse Supervisor shall address the proper completion of new program and annual program reviews.
    - d. The results of this review shall be provided in writing to the Probation and Parole District Supervisor and the Director of the Division of Substance Abuse.
  2. The Substance Abuse Supervisor shall evaluate the staff member through the prescribed employee evaluation process. Input shall be sought from the District Supervisor on certain time related issues as outlined in section B of this policy.
- D. Probation and Parole staff shall work in cooperation with all employees of the Division of Substance Abuse to ensure the safe, ethical and professional operation of each Probation and Parole district.

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1. Substance Abuse staff shall function as an integral part of the Division of Probation and Parole.
  2. Substance Abuse staff shall follow all policies and procedures of the division and the respective district with regard to file confidentiality, security, usage, and destruction of offender case files and offender treatment files.
  3. Substance Abuse staff shall follow all policies and procedures of the division and the respective district with regard to office safety and security.
    - a. A person being seen by substance abuse staff in secured areas of an office shall be checked for weapons prior to gaining entry into that area. It shall be the responsibility of the District Supervisor to assign Probation and Parole Officers to conduct such checks.
    - b. Substance abuse staff shall coordinate offender contacts with district schedules to ensure at least one Probation and Parole Officer or Supervisor is present in the building during each interview. Interviews shall not be conducted in a vacant office setting.
  4. Substance abuse staff shall attend all monthly district staff meetings and other district meetings at the direction of the District Supervisor. Substance abuse staff shall be encouraged to have input into these meetings as appropriate to their duties.
- E. Substance abuse staff shall receive training as follows:
1. New substance abuse staff shall receive forty (40) hours of orientation training before undertaking their assignments. This orientation training shall include at a minimum, the following:
    - a. orientation to the purpose, goals, policies, and procedures of the Division of Probation and Parole and the Department of Corrections,
    - b. working conditions and regulations within the Probation and Parole district,
    - c. employee's rights and responsibilities,
    - d. an overview of the correctional field.

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2. Each substance abuse staff member shall receive forty (40) hours of training in addition to orientation training during his or her first year of employment and forty (40) hours of training every year thereafter.
  - a. This training shall include sixteen (16) hours provided by the Division of Probation and Parole in general offender management and security areas.
  - b. This training shall include at least twenty-four (24) hours coordinated by the Division of Substance Abuse in clinical or practical areas related to specific job functions of the substance abuse staff.
3. A Substance Abuse Supervisor shall ensure that annual training requirements are met by each substance abuse employee.