

 <p style="text-align: center;">KENTUCKY CORRECTIONS Policies and Procedures</p>	Policy Number	Total Pages
	30.3	4
	Date Filed	Effective Date
	October 15, 2024	February 4, 2025
	Supersedes Effective Date July 20, 2021	
Authority/References KRS 196.030, 196.035, 197.020, 439.250, 439.265, 439.3101, 439.3104, 439.3105, 439.348, 439.480(3), 446.010, 533.030 CPP 29.2 P&P ACA 2A-01, 2A-02, 2A-03, 2A-06, 2A-07, 2A-08, 2A-11	Subject <p style="text-align: center;">RISK AND NEEDS ASSESSMENT AND REENTRY PROGRAMMING TRAINING AND QUALITY ASSURANCE</p>	

I. DEFINITIONS

“Assessor” means an individual who performs a risk and needs assessment on an offender committed to or supervised by the department.

“Department” or “DOC” means the Kentucky Department of Corrections.

“Evidence-based practices” is defined in KRS 446.010 and 196.111(1).

“Program” means a series of instruction or meetings with a standard curriculum that:

- A. Addresses the criminogenic needs of offenders in a group or individual setting;
- B. Complies with KRS 197.045(1)(a)3;
- C. Is approved by the Department of Corrections;
- D. Has established performance measures; and
- E. Has mandatory attendance requirements.

“Program compliance” means the process of delivery/facilitation is sound and correct in adherence to the principles that established the program.

“Quality assurance” means systematic monitoring and evaluation of the various aspects of a program to ensure the standards of quality are being met.

“Reentry programming” means any program overseen by the Department of Corrections Division of Reentry Services for the express purpose of attempting to reduce recidivism by targeting criminogenic needs as identified through the administration of an approved risk and needs assessment.

“Risk” means the potential for future criminal behavior.

Policy Number	Effective Date	Page
30.3	February 4, 2025	2

“Risk and needs assessment” or “validated risk and needs assessment” is defined in KRS 446.010.

“Trained facilitator” means an individual who has successfully completed training approved or conducted by the Department of Corrections.

II. POLICY and PROCEDURES

This policy establishes procedures to govern the administration of, training for, and quality assurance for the risk and needs assessment and reentry programming under the purview of the Division of Reentry Services. This policy and procedure shall apply to all institutions, local facilities, contract facilities, the Division of Probation and Parole, and any community partner or vendor that handle risk and needs assessments, and deliver or facilitate reentry programming for the Department of Corrections.

A. Administration of the Risk and Needs Assessment

1. The risk and needs assessment shall be completed as soon as practicable after commitment for an offender. See CPP 29.1.
2. The risk and needs assessment shall be conducted with an offender’s participation if possible. If direct participation from the offender is not possible, supervisory approval shall be required and justification documented in the offender management system.
3. Collateral information shall be used for the assessment, including a review of all available criminal history sources, the offender file, official documents, and additional contacts. Sources used to obtain or verify information and any refusal to participate by the offender shall be included in the assessment report.

B. Quality Assurance for Risk and Needs Assessment

1. The department shall implement a quality assurance process.
2. Quality assurance procedures may include:
 - a. On-going technical assistance and training for staff;
 - b. Central Office audits:
 - (1) Review, correction, and assistance with implementation procedures and validation as necessary; and
 - (2) Generation of aggregate reports to identify potential problem areas;

Policy Number	Effective Date	Page
30.3	February 4, 2025	3

- c. Annual quality assurance audits; or
- d. Matters that are specifically addressed in the accreditation audit process.

3. Annual Quality Assurance Audits

- a. Each site and program delivered at the site shall have a quality assurance review completed annually for reentry programs and risk and needs assessment.
- b. Reentry Program Quality Assurance Audits

Year one site quality assurance review shall be a full annual review.

- (1) If the full annual review reveals a passing score, the year two annual quality assurance audit shall be an abbreviated audit followed by the full annual review again in year three.
- (2) If the full annual review reveals a needs improvement score, the year two annual quality assurance audit shall be a full annual review. A full annual review shall be conducted each year if a passing score is not met.
- (3) If the annual review results in a needs improvement score, a corrective action plan shall be issued to the site to gain compliance with the audit tool. Failure to adhere to the corrective action plan may result in removal of ability to facilitate reentry programming.

- c. Annual audits of programming or risk and needs assessment shall be completed by a staff member who has received training in the program or risk and needs assessment tool and successfully received certification upon completion of the training.
- d. Annual audits shall be conducted by using a uniform audit tool that has been approved by the department.
- e. A random sampling generated by the DOC shall be compiled for the purpose of conducting a full scope quality assurance audit.
- f. The results of the annual audit may be used in a DOC employee annual performance expectation and evaluation.

C. Training Requirements for Assessors

Policy Number	Effective Date	Page
30.3	February 4, 2025	4

1. An assessor and his immediate supervisor, including contract staff, administering the validated risk and needs assessment shall successfully complete training approved or provided by the department for the purpose of performing a risk and needs assessment on an offender committed to or supervised by the department.
2. Assessors shall maintain their training in accordance with department policy and procedures.

D. Administration of Reentry Programming

1. The results of an approved risk and needs assessment may be used in identifying the appropriate reentry program to target criminal risk factors identified in the assessment.
2. If a “wait-list” situation occurs for any program, priority preference for placement into a program shall be given to offenders who have been:
 - a. Ordered by their sentencing or releasing authority to complete a particular program; or
 - b. Referred to a program to target criminal risk factors identified in the approved risk and needs assessment.

E. Training Requirements for Reentry Programming

1. DOC Trained Facilitators delivering or facilitating reentry programming for the DOC shall successfully complete training approved or provided by the department. All training and certification to deliver or facilitate each program shall be administered as required by each program’s own specific training or certification procedures.
2. A DOC employee designated as a “trainer” for a reentry program shall be trained and certified as required by the program’s own specific training and certification procedures.
3. DOC Trained Facilitators shall maintain their training in accordance with department policy and procedures. Any other requirement from the originator of the program shall be maintained as required by the originator’s procedures.
4. The department shall designate a specific entity or entities to maintain and centrally store certifications for each approved facilitator.