

Kentucky Department of Corrections
House Bill 463 Implementation
Evidence-based Practices and Programs
January 26, 2017

Table of Contents

Executive Summary	3
Background	4
Organizational Values, Mission and Vision	5
TABLE 1 – KY RECDIVISIM RATES BY SEX OF OFFENDER	6
TABLE 2A – KY RECDIVISIM RATES BY CATEGORY OF OFFENSE	7
TABLE 2B – RECDIVISIM RATES BY CATEGORY OF OFFENSE (CONTINUED)	8
TABLE 2C – RECDIVISIM RATES BY CATEGORY OF OFFENSE (CONTINUED)	9
TABLE 3 – RECDIVISM RATES BY AGE OF OFFENDER	10
Mission	11
Vision	11
Current Reentry Efforts	11
Existing Strengths and Challenges	12
House Bill 463 Implementation Efforts	12
Validated Risk and Needs Assessment and Case Planning	14
Evidence-based programs	17
• <i>Moral Reconciliation Therapy</i>	17
• <i>Pathfinders</i>	17
• <i>Substance Abuse Treatment Program</i>	17
• <i>Sex Offender Treatment Program</i>	17
• <i>Inside/Out Dads</i>	17
• <i>24/7 Dads</i>	17
• <i>Thinking for a Change</i>	17
• <i>Emergency Medical Technician</i>	17
• <i>Seeking Safety</i>	18
• <i>Educational /Vocational</i>	18
Evidence-based Practices	19
• <i>Motivational Interviewing</i>	19

- **SMART** (Supervision, Motivation, Accountability, Responsibility, and Treatment) 19
- **Carey Guides** 19
- **Core Correctional Practices**..... 19

Promising Practices..... 20

- **PORTAL New Direction**..... 20
- **Phoenix Program** 20
- **Challenges**..... 20

TABLE 4 – PROBATION AND PAROLE PROGRAMMING SUMMARY 20

Program participation and Completion..... 21

TABLE 5 – INSTITUTIONAL PROGRAMMING SUMMARY 22

Funding the Effort..... 23

TABLE 6 – FY16 EBP EXPENDITURES 23

Policy Changes..... 24

Collaboration at Every Level 24

2017 Expectations..... 27

Recommendations..... 27

Summary..... 28

Executive Summary

The Kentucky Department of Corrections has worked diligently to implement evidence-based practices and provide additional services and support to returning offenders. Since House Bill 463 was enacted, the Department of Corrections can cite the following accomplishments:

- Full implementation of a validated risk and need assessment tool across the corrections system.
- Full implementation of a Kentucky specific case management plan that is integrated with our offender management system.
- Implementation of a comprehensive program for returning offenders available in prisons and in the community.
- New Probation and Parole Officers and Classification and Treatment Officers are trained in Motivational Interviewing techniques, cognitive behavioral programming, validated risk and needs assessment and case management planning as part of their basic academy.
- Probation and Parole is currently piloting Motivational Interviewing coding for quality assurance purposes. Officers will be recorded during report day and training staff will review these recordings to ensure Motivational Interviewing techniques are being used. The coding system being used is inspired by Effective Principles in Community Supervision, an evidence based practice that our training staff is trained in.
- Programs implemented in probation and parole districts to support evidence-based practices.
- Implementation of an array of evidence-based programs in prisons throughout the state.
- Change to program assignment process to ensure the offenders with medium and high risks receive targeted interventions.

While significant changes are underway within the Department of Corrections, we must continue to develop strategies to address offender reentry, increase public safety and reduce recidivism. These strategies for FY 2017 include:

- Implementation of additional evidence-based programs for offenders in the prisons and increase the options for jails, halfway houses, and community.
- Continue to monitor and improve tracking of offender participation and completion of all programs.
- Ensure programs are delivered with fidelity to the model through quality assurance.
- Establishment of a committee to explore the risk and needs assessment tool and programs with validation against a Kentucky specific population.
- Continue to monitor recidivism rates in light of program participation to see if changes are necessary.

- Monitor effectiveness of evidence-based programming for the restrictive housing population.
- Conduct class observations and evaluate Program Facilitator skills and adherence to evidence based practices. Report evaluation findings to the Facilitator for reinforcement and improvement.
- Improve the process of program referrals and incentivizing participation from clients.

Background

In 2010, the Kentucky legislature established the bipartisan, inter-branch Task Force on the Penal Code and Controlled Substances Act. With assistance from the Pew Center on the States, the Crime and Justice Institute, and the JFA, the task force began an analysis of Kentucky’s sentencing and corrections data, specifically looking at prison admissions data and analyzing state policies.

The analysis identified four key drivers for prison growth:

- An increase in arrests and court cases from 2001 to 2009 served as a contributing factor, with an increase in adult arrest rates by 32 percent during this time period.
- Kentucky sentenced offenders to prison as opposed to probation or other alternative sanctions at a much higher rate than most other states.
- Parolees sent back to prison for a violation of the terms of their release who did not have a new felony conviction nearly doubled as a percentage of prison admissions over the previous 12 years.
- An increased incarceration rate of drug offenders contributed to the increased prison population.

In March 2011, the Kentucky General Assembly approved sweeping criminal justice legislation designed to control corrections costs while increasing public safety. The task force’s findings led to a set of reforms that were codified in the Public Safety and Offender Accountability Act of 2011 (HB 463). The legislation was the first major reform of criminal justice policy in Kentucky since the enactment of the Model Penal Code over 30 years ago. This law was the product of a “justice reinvestment” approach taken by the state based on a data

driven analysis of its criminal justice system with the goals of reducing the number of repeat criminal offenders, controlling corrections costs, and reinvesting the savings in treatment programs and supervision practices while maintaining public safety.

Passed unanimously in the Senate and with just one dissenting vote in the House, the law concentrates expensive prison beds on serious offenders, strengthens pretrial services for defendants, reduces recidivism by strengthening probation and parole, and establishes mechanisms for measuring government progress over time.

HB 463 supports strengthening Kentucky's criminal justice system as a whole by:

- Requiring a risk/needs assessment in all phases of the system to determine program needs in prison, supervision levels on probation and parole, and parole suitability.
- Establishing administrative caseloads for low-risk offenders.
- Authorizing compliance credits for parolees and early termination for probationers who successfully comply with supervision conditions.
- Authorizing imposition of administrative, graduated sanctions for parole and probation violators.

Organizational Values, Mission and Vision

As the economy struggles for stability, and community based organizations face greater demands for services, the Department of Corrections is faced with handling one of the largest offender populations in the state's history. In fiscal year 2016, the Department had 20,166 admissions, and 18,045 releases, with an average daily population of 22,658. This growth comes at a time of extraordinary fiscal crisis for our Commonwealth as Kentucky struggles to deal with the decline in state revenues. These two factors have shaped the Departments course of action in the current biennium and will shape its plans for the future as well.

The Department's strategic plan sets several goals related to the level of reentry services in prisons, jails and community services, with timelines to measure progress. These goals not

only address the offender population growth, but the safety of the general public and our employees, as well as the welfare of inmates.

One of the Department’s key goals is to reduce the recidivism rate by 5% within 5 years. The recidivism rate is 34.26% for state offenders measured by 2010 releases that returned to state custody within two years of release. The overall recidivism rates for 2011, 2012, 2013 and 2014 releases are 35.30%, 36.77%, 40.71%, and 41.42% respectively.

TABLE 1 – KY RECDIVISIM RATES BY SEX OF OFFENDER

Year	Male			Female			Sex Total		
	Released	Recidivated	Percentage of Recidivated	Released	Recidivated	Percentage of Recidivated	Released	Recidivated	Percentage of Recidivated
2007	11111	3693	33.23%	2329	633	27.17%	13442	4326	32.18%
2008	12314	3777	30.67%	2701	664	24.58%	15015	4441	29.57%
2009	11873	3787	31.89%	2545	645	25.34%	14418	4432	30.73%
2010	12846	4499	35.02%	2793	860	30.79%	15639	5359	34.26%
2011	11940	4351	36.44%	2441	722	29.57%	14381	5073	35.27%
2012	9834	3834	38.98%	2330	689	29.57%	12164	4523	37.18%
2013	14418	6102	42.3%	3550	1210	34.1%	17968	7312	40.9%
2014	13148	5618	42.72%	3007	1074	35.71%	16155	6692	41.42%

TABLE 2A - KY RECIDIVISIM RATES BY CATEGORY OF OFFENSE

Year	Drug Crime			Other Crime		
	Released	Recidivated	Percentage of Recidivated	Released	Recidivated	Percentage of Recidivated
2007	4431	1268	28.61%	737	245	33.24%
2008	5169	1378	26.65%	461	158	34.27%
2009	4744	1298	27.36%	402	127	31.59%
2010	5419	1568	28.93%	313	102	32.58%
2011	4863	1506	30.96%	171	56	32.74%
2011	4863	1506	30.96%	171	56	32.74%
2012	4382	1383	31.56%	110	52	47.27%
2013	6003	2219	37.0%	250	80	32.0%
2014	4460	1729	38.77	438	161	36.76

TABLE 2B - RECIDIVISIM RATES BY CATEGORY OF OFFENSE (CONTINUED)

Year	Other Public Crime			Other Violent Crime		
	Released	Recidivated	Percentage of Recidivated	Released	Recidivated	Percentage of Recidivated
2007	1509	416	27.56%	1066	309	28.98%
2008	1818	452	24.86%	1034	267	25.82%
2009	1697	419	24.69%	1002	273	27.24%
2010	1652	493	29.84%	1069	332	31.05%
2011	1541	499	32.38%	1070	313	29.25%
2012	1284	428	33.33%	766	286	37.33%
2013	1851	680	37%	1254	455	36%
2014	3971	1730	43.5	1591	532	33.44%

TABLE 2C - RECIDIVISIM RATES BY CATEGORY OF OFFENSE (CONTINUED)

Year	Property Crime			Sex Crime			Violent Crime		
	Released	Recidivated	Percentage of Recidivated	Released	Recidivated	Percentage of Recidivated	Released	Recidivated	Percentage of Recidivated
2007	4057	1557	38.37%	413	109	26.39%	1229	422	34.33%
2008	4771	1696	35.54%	413	112	27.11%	1349	378	28.02%
2009	4617	1728	37.42%	459	120	26.14%	1497	467	31.19%
2010	5090	2163	42.49%	462	148	32.03%	1634	553	33.84%
2011	4765	2012	42.22%	501	174	34.73%	1470	513	34.89%
2012	4132	1833	44.36%	512	163	31.83%	978	378	38.65%
2013	6459	3124	48%	489	128	26%	1662	626	38%
2014	4751	2261	47.59%	529	156	29.49%	415	123	29.64

TABLE 3 – RECIDIVISM RATES BY AGE OF OFFENDER

Year	Under 21			Adult		
	Released	Recidivated	Percentage of Recidivated	Released	Recidivated	Percentage of Recidivated
2007	294	154	52.38%	13148	4172	31.73%
2008	274	137	50.00%	14741	4304	29.20%
2009	277	136	49.09%	14141	4296	30.38%
2010	256	147	57.42%	15383	5212	33.88%
2011	229	127	55.45%	14152	4946	34.95%
2012	204	107	52.45%	11960	4416	36.92%
2013	210	120	57%	17758	7192	41%
2014	174	98	56.32%	15981	6594	41.26%

Meeting the goal would require a recidivism rate of less than 25% by June, 2017. While this may appear to be a noble goal, it is attainable if appropriate programs and services are provided to the offender in both the institution and community. Recidivism, or the “revolving door” cycle of criminal behavior/institutionalization, must be addressed in an attempt to curb the Corrections population growth.

Mission

The Kentucky Department of Corrections' mission, "to protect the public and to provide a safe and humane environment for staff and offenders while carrying out the legislative and judicial mandates," and "to provide opportunities for offenders to acquire skills which facilitate non-criminal behavior," becomes increasingly difficult in times of revenue shortfalls.

In keeping with the Department of Corrections mission, the HB 463 implementation efforts focus on increasing successful reintegration by developing and implementing a holistic and seamless plan of services and supervision for targeted offenders delivered through state and local collaboration. This plan will facilitate their incarceration, transition, reintegration and aftercare.

Vision

The vision of the Department's reentry efforts is to prepare offenders for release through targeted interventions and programs at critical time periods. The offender shall be prepared upon release and with community supports be able to pursue success in the navigation of services and partnerships needed to significantly reduce recidivism and become productive members of society.

Current Reentry Efforts

The Kentucky Department of Corrections is fully committed to establishing Effective programming designed to increase public safety and offender accountability. Because of the nature of Kentucky's corrections system, it will be necessary to implement policies and procedures related to both the institutional setting and community supervision.

Existing Strengths and Challenges

Currently, the Kentucky Department of Corrections houses offenders in a variety of locations, including state operated prisons, local jail facilities, halfway houses and the home incarceration program. Each facility offers a different level of programming, making it challenging for offenders to seek rehabilitation programs while incarcerated. This variance among contract facilities and local jail facilities can be discouraging for offenders and corrections staff.

The Department of Corrections is fully aware of the strengths of reentry services and the gaps in the delivery system. The Department of Corrections has conducted several gap analyses as part of reentry planning with local and state agencies. The most commonly cited areas of concern in the community are housing, employment and treatment services.

House Bill 463 Implementation Efforts

On March 3, 2011, Governor Steve Beshear signed a landmark justice reform bill designed to decrease the state's prison population, reduce incarceration costs, reduce crime and increase public safety. The bill modernizes Kentucky drug laws by reducing prison time for low-risk, non-violent drug offenders who possess small amounts of illegal drugs. HB 463 reinvests the savings from reduced prison costs into drug treatment opportunities for offenders who need help. It mandates that the Department of Corrections utilize a validated risk and needs assessment tool, develop a case management plan and provide evidence-based programs. HB 463 is the product of recommendations from an unprecedented bipartisan, inter-branch task force

that included legislators, the Chief Justice, officials from the Justice Cabinet, prosecutors and local officials. The Department hosts regular meetings to discuss the progress of HB 463 implementation throughout the corrections system.

The Kentucky Department of Corrections has worked diligently to implement evidence-based practices and provide additional services and supports to returning offenders. Since House Bill 463 was enacted, the Department of Corrections can cite the following accomplishments:

- Full implementation of a validated risk and need assessment tool across the corrections system.
- Full implementation of a Kentucky specific case management plan that is integrated with our offender management system.
- Implementation of a comprehensive reentry barriers program for returning offenders available in prisons, some local jails, and in the community.
- New Probation and Parole Officers and Classification and Treatment Officers are trained in Motivational Interviewing techniques, cognitive behavioral programming, validated risk and needs assessment and case management planning as part of their basic academy.
- Programs implemented in probation and parole districts to support evidence-based practices.
- Implementation of an array of evidence-based programs in prisons throughout the state.
- Change to program assignment process to ensure the offenders with medium and high risks receive targeted interventions.
- Since implementation of a validated risk and need assessment tool across the corrections system, all current Probation and Parole and Classification and Treatments officers are trained.

House Bill 463 defines the “evidence-based practices” as supervision policies, procedures, treatment and intervention programs, and practices that scientific research demonstrates reduce recidivism among inmates and individuals on probation, parole or other form of post-release supervision when implemented competently. For purposes of this report, the Department of Corrections is adhering to this definition and considering supervision practices like the use of Motivational Interviewing as an evidence-based practice as well as offender participation in programs like Moral Reconciliation Therapy as an evidence-based practice. Evidence-based programs and evidence-based practices may be used interchangeably throughout the report.

Validated Risk and Needs Assessment and Case Planning

The foundation of the reentry process is the implementation of a validated risk and needs assessment tool. Prior to July 2010, offenders were often assigned to programs at their request. Programs were not designated as evidence-based or considered a promising practice. In many cases, the offenders that actively participated in programs were low risk.

The implementation of the Level of Service / Case Management Inventory was a significant investment in both our staff and offenders. Staff is required to participate in three-day training and pass two exams. One exam focuses on the practical aspect of interviewing the offender, analyzing information and determining an overall risk level. One exam focuses on the theory and content of the assessment. The risk and needs assessment is conducted prior to the offender's release from prison on parole, home incarceration, mandatory reentry supervision or completion of sentence. The tool is used to identify the offender's criminogenic needs, and determine their risk of recidivism based on those needs. The results enable corrections staff to create opportunities to address the needs and reduce the risk.

The criminogenic needs identified by the assessment tool are:

- Anti-social attitude - history of poor attitude / beliefs about the law and fails to accept responsibility for their criminal behavior
- Anti-social companions – lacks stable relationships with non-criminal friends
- Anti-social personality or temperament – lacks the ability to experience guilt or empathy, may often have anger management issues
- Family and/or marital issues – history of family issues, including pro-criminal family members
- Substance Abuse – history of substance use and abuse
- Employment / Education – lack of a basic education and/or stable work history
- Leisure and/or recreation – lack participation in pro-social activities (for example: church, organized sports leagues, volunteer efforts)
- Criminal History- history of antisocial behavior and ongoing involvement with the criminal justice system

During FY 2016 the Department of Corrections completed 48,979 assessments. The analysis of these assessments shows common themes. In local jails and halfway house assessments, offenders have the following criminogenic needs: leisure / recreation, anti-social companions, employment/ education and criminal history. In prisons, offenders have the following common needs: leisure/recreation, anti-social companions and criminal history. In the community, offenders on probation or parole have an issue with leisure/recreation. It is clear that criminal behavior becomes a factor when individuals lack appropriate, structured time. Additionally, offenders that have strong relationships with other individuals involved in the criminal justice will factor into ongoing criminal behavior.

Overall risk levels for assessments conducted in prisons for FY 2016

- 10% of the population score very low or low
- 43% of the population score medium
- 38% of the population score high
- 8% of the population score very high

Overall risk levels for assessments conducted in local jails or halfway houses for FY 2016

- 9% of the population score very low or low
- 46% of the population score medium
- 37% of the population score high
- 8% of the population score very high

Overall risk levels for assessments conducted in the community for offenders on probation or parole for FY 2016

- 24% of the population score very low or low
- 48% of the population score medium
- 26% of the population score high
- 3% of the population score very high

**Percentages may not equal 100 due to rounding*

These outcomes are appropriate when considering that the assessments have been normed on a similar population. Additionally, offenders in the community are more likely to be probationers with a shorter criminal history than those offenders housed in jails, halfway houses or prisons.

While the assessment process is the foundation of the reentry process, the next step is the development of a case management plan. The case management plan is developed with the offender based on the results of the assessment. The offender is given the opportunity to self-identify strengths, which may be as simple as I am motivated to attend vocational school. The offender and case manager (either Probation and Parole Officer or Classification and Treatment Officer) then work together to determine the first criminogenic need to address. For example, the offender may have a high need in the Leisure/Recreation area and the case manager and offender may develop a goal to become involved in pro-social activities. The team then develops tasks that will assist the offender in achieving the goal. The tasks are specific, measurable, achievable, reasonable and time-limited. The offender also identifies individuals or agencies in the community that are supportive of their reentry. This may include a sponsor or mentor, or a case manager from a community-based agency.

The case management plan also has a component to address non-criminogenic needs. Non-criminogenic needs do not directly factor into criminal behavior, but given other issues may play a role in the successful reentry of the offender. For example, an offender may be required to pay child support, in addition to other fines and fees. Ensuring the offender maintains all financial requirements may be a goal for a non-criminogenic need, with associated tasks related to budgeting and securing a second job.

Evidence-based programs

- ***Moral Reconation Therapy***
 - This program is a cognitive-behavioral treatment approach that leads to lower recidivism, improved personality variables and enhanced treatment compliance. MRT is offered to state offenders at 30 local jails, in all Probation and Parole Districts, and at each prison in FY 16.
- ***Pathfinders***
 - A cognitive-skills program that involves team building, problem solving, life management, communication and stress management. Pathfinders is offered at each prison and may be facilitated by institutional or contract staff.
- ***Substance Abuse Treatment Program***
 - A program designed to address substance abuse and behavior modification issues to teach offenders to effectively combat their addiction. The program is offered in prisons, local jail facilities and halfway houses. It may be facilitated by institutional or contract staff based on location.
- ***Sex Offender Treatment Program***
 - Individual and group counseling geared to provide tools that offenders can use for controlling their sexually assaultive behavior. The program is offered at some prisons and in the community and is facilitated by mental health staff.
- ***Inside/Out Dads***
 - This program focuses on cognitive and attitudinal change, helping men on the path to becoming involved, responsible and committed fathers. The program is offered at all male prisons and is facilitated by institutional staff and is also offered at 9 local jails.
- ***24/7 Dads***
 - This is the community component to the Inside/Out Dads institutional program. 24/7 Dads is offered in some supervision districts in the community and is facilitated by Probation and Parole staff.
- ***Thinking for a Change***
 - This program helps offenders examine their attitudes, beliefs and thinking patterns. This program is endorsed by the National Institute of Corrections and is offered at two prisons and is facilitated by institutional staff. Some supervision districts are able to offer this program in the community and it is facilitated by Probation and Parole staff.
- ***Emergency Medical Technician***
 - This program is a training program for individuals interested in medical services offered at Kentucky State Reformatory for minimum security inmates. The program is facilitated by certified EMT instructors.

- ***Seeking Safety***
 - This is a trauma-informed care group that supports individuals that have experienced trauma in their lives and lack the coping skills to effectively manage their feelings. It is offered at the Kentucky Correctional Institution for Women and is facilitated by contract staff.

- ***Educational /Vocational***
 - These programs are offered throughout the prison system, including prisons, halfway houses and local jails. The programs may be taught by institutional or contract staff.
 - Braille Transcribing Program
 - Career Readiness Program
 - College Program
 - Commercial Driver's License Program
 - Computer Literacy / Microsoft Office
 - Culinary Arts Program
 - Basic education classes (GED, literacy, etc.)
 - Recycling / Materials Management Program
 - Xerox Program
 - Audio / Video Program
 - Auto Technology / Small Engine Repair
 - Business Studies
 - Cabling / Networking
 - Carpentry
 - Computer Aided Design
 - Collision Repair
 - Construction Management
 - Electrical
 - Entrepreneurship
 - Facility Maintenance
 - Heating and Air
 - Horticulture
 - Industrial Coating
 - Insulating
 - Masonry
 - National Career Readiness Certificate
 - Plumbing
 - Tutor Certification Program
 - Upholstery
 - Vocational Technology Fundamentals
 - Water Treatment
 - Welding

Evidence-based Practices

- ***Motivational Interviewing***
 - A cognitive behavioral interviewing technique that enhances offender engagement in supervision and retention. All Probation and Parole Officers and Supervisors have been trained in Motivational Interviewing techniques. Additionally, Classification and Treatment Officers have been trained in Motivational Interviewing techniques. New staff are trained as part of their basic academy curriculum.
 - In 2016, in an effort to establish some measures of quality assurance and training outcomes, Probation and Parole Training staff launched a Motivational Interviewing project aimed at understanding staff's knowledge and day-to-day use of the principles of Motivational Interviewing. 1% of Probation and Parole officers were asked to record sessions with their offenders during normal report days. Those sessions were then rated using a scale developed from a Cognitive Behavioral Treatment program called Effective Practices in Community Supervision. This scale measures how well staff use components of MI to interact with their offenders. The outcome reports shall be available in early 2017.
 - The hope is that this research will provide Training staff with feedback to pursue future curriculum and staff development in regards to Motivational Interviewing.

- ***SMART*** (Supervision, Motivation, Accountability, Responsibility, and Treatment)
 - A high-intensity supervision program, modeled after the HOPE Probation (Hawaii's Opportunity Probation with Enforcement). Offenders in the SMART program receive swift, certain and immediate sanctions for each violation. The program is provided in: Allen/Simpson, Casey/Adair, Campbell, Jefferson, Knott/Magoffin, Lincoln/Pulaski/Rockcastle, Shelby/Spencer/Anderson Pike, and Kenton counties.

- ***Carey Guides***
 - These brief intervention tools are short, situational, versatile, user-friendly tools designed to help corrections professionals to effectively address key skill deficits in short, structured interventions. These tools will be used by Probation and Parole Officers. The Carey Guides are utilized in: Paducah, Hopkinsville, London, Harlan, Barbourville, Pikeville, Maysville, Catlettsburg, and Monticello.

- ***CORE CORRECTIONAL PRACTICES***
 - A supervision strategy that teaches probation and parole officers how to apply principles of effective interventions with offenders, including relationship and communication skills, identification of thinking errors, and restructuring of thought patterns by using effective reinforcement and effective use of authority. 10 facilitators were certified through the University of Cincinnati Criminal Justice Research Center in May 2014. Every probation and parole officer received this seven-hour curriculum through the 2014 in-service training and is also part of basic academy for all new staff.

Promising Practices

Promising practices are programs that show promise for reducing recidivism but need formal research to confirm their impact.

- ***PORTAL New Direction***
 - Programs designed to address non-criminogenic barriers to reentry for community offenders. The program is facilitated in both Probation and Parole Offices, Adult Institutions, and some local jails. All 19 supervision districts and all 12 institutions have implemented PORTAL New Direction.

- ***Phoenix Program***
 - Phoenix is a residential, integrated, dual-diagnosis treatment program for men with mental illness and addiction located in Unit C at KSR. Components of the integrated program include a therapeutic community, motivational enhancement therapy, cognitive behavioral therapy, medication management, and twelve-step involvement. The program is facilitated by mental health staff.

- ***Challenges***
 - This is a program for inmates with mental illness. It is intended to help them lead a more pro-social lifestyle by thinking more realistically and exhibiting healthier behaviors. This program is offered at the Kentucky State Reformatory. It is facilitated by mental health staff.

TABLE 4 – PROBATION AND PAROLE PROGRAMMING SUMMARY-

Trained Facilitators

<i>(*) Good Time Credit</i>	<i>24/7 Dads (*)</i>	<i>Moral Reconation Therapy (*)</i>	<i>PORTAL New Direction (*)</i>	<i>The Carey Guides</i>	<i>Thinking for a Change (*)</i>
District 1	X	X	X		X
District 2	X	X	X	X	X
District 3	X	X	X		X

District 4					
District 5	X	X	X		X
District 6	X	X	X		X
District 7	X	X	X		X
District 8	X	X	X		X
District 9	X	X	X		X
District 10	X	X	X	X	
District 11	X	X	X		X
District 12	X	X	X		X
District 13	X	X	X		X
District 14	X	X	X		X
District 15	X	X	X	X	X
District 16	X	X	X		X
District 17	X	X	X		X
District 18		X	X		X
District 19	X	X	X		X
District 20	X	X	X	X	X

Totals:
PORTAL New Direction 491 Successful Completions
4 Districts with The Carey Guides
24/7 Dads 33 Successful Completions
Thinking for a Change 36 Successful Completions
Moral Reconciliation Therapy 82 Successful Completions

**Adjustments were made in the compilation of community program completions to provide a more accurate number for FY16.*

Program participation and Completion

The Department of Corrections tracks program participation and completion in the Kentucky Offender Management System (KOMS). KY DOC began more thorough tracking of

program participation and completions in 2013. KY DOC is currently tracking program participation for each program offered within prison facilities, Probation and Parole, and community led programs by private providers for those offenders on supervision. KY DOC tracks programs of all types including those that are Evidence Based and Promising Practices.

Counting rules have changed in FY15 to reflect a data set that includes a count of the number of Job/Program completions that occurred. This is regardless of assignment date or length of program participation.

For institutional programming, the following information represents program participation and completion for FY 16 within Evidence Based Programs:

TABLE 5 – INSTITUTIONAL PROGRAMMING SUMMARY

Program Type	# Completed
GED/ABE	174
Vocational Tech	408
College	490
Pathfinders – Pathfinders Mentor	377
Inside Out Dads	388
SAP/SAP Mentor	707
SOTP	109
EMT	1
Thinking for a Change	92
Moral Reconciliation Therapy	554
MRT Mentor	107
MRT – Anger Management	364
MRT – Parenting Men/Women	83
MRT – Thinking for Good	204
MRT Behavioral Modification	150
Challenge Journaling	8
MRT – Veterans	42
Totals:	4258

**Note – Last year’s numbers reflected SAP in the county jails in error.*

Funding the Effort

The Kentucky Department of Corrections has worked diligently to ensure that evidence-based projects are cost effective. With this endeavor, the Department has secured nearly \$3,000,000 in federal funds to support implementation of the validated risk and needs assessment tool, train staff in evidence-based practices and programs, and provide materials for evidence-based programs.

In Fiscal Year 2015, the Department used over \$22.4 million in funds to support evidence-based programs, including education and vocational programs, substance abuse treatment and sex offender treatment programs. In Fiscal Year 2016, the Department used over \$21.3 million in funds to support evidence based programs.

TABLE 6 – FY16 EBP EXPENDITURES

FY16 Evidence Based Program Expenditures				
Program	General Fund	Federal Fund	SB192 Fund	KCIC/Canteen
Substance Abuse	\$ 13,387,440	\$ 287,874	\$ 278,524	
Sex Offender Treatment Program	\$ 2,015,644			
Education	\$ 5,845,435	\$ 86,994		\$ 298,160
MRT	\$ 21,796			\$ 506,724
Pathfinders	\$ 7,348			\$ 280,030
PORTAL	\$ 13,624	\$ 2,750		
T4C				\$ 37,658
24/7 Dads				
Total	\$ 21,291,288	\$ 377,618	\$ 278,524	\$ 1,122,572

The Department also utilized Kentucky Centralized Inmate Commissary, Inc. (KCICI) funds to support educational programs, Moral Reconciliation Therapy, and Pathfinders in FY 16.

Funding allowed inmates to participate in college courses, complete GED testing, utilize additional academic supplies, and engage in the developmental math program. Additionally, incentives for passing the GED were funded through KCICI. It provided \$1,122,572 in funds to support continued implementation of these programs during FY 16.

Policy Changes

During this report period, Corrections Policy and Procedures 29.1 and 29.2 were amended to change the time frame to complete an initial risk/needs assessment from fourteen working days to thirty working days. This change will allow the Officer to have more time to interview the client, and address case management plan options that are conducive to the client's success of Re-Entry. Probation and Parole is also drafting into policy provisions to ensure that those on mandatory re-entry supervision shall make reasonable efforts toward paying court ordered restitution, pursuant to KRS 439.3406(6).

A procedure put into place to help clients find stable housing and be able to participate in programming, is to allow for clients to attend programming classes in other states; if programming is a condition ordered by the Parole Board and it is offered in that other state. See previous reports regarding past revisions.

Collaboration at Every Level

The simple fact is that the Department of Corrections cannot solve the challenges of offender reentry alone. The Department must work with key stakeholders at the local, state and

federal levels to address the barriers to reentry that offenders face. The Department has been successful in addressing several needs through collaboration with other agencies. For example, while every effort has been made to enable offenders to secure photo identification upon release from prison, few counties had been willing to recognize Department of Corrections or Parole Board paperwork as an identification document for the offender. As part of 2009 legislation, offenders with birth certificates and specific Department of Corrections' paperwork can secure their driver's license or state identification card at any county circuit court clerk's office. Offenders are now strongly encouraged to secure their birth certificate as part of their transition from prison to the community to make the identification process smoother upon release.

The Governor signed an Executive Order on April 15, 2009 to establish the Governor's Reentry Task Force, a council of more than 50 key policymakers, lawmakers and stakeholders. The first organizational meeting was held during the November, 2009 during the reentry conference. The Executive Committee of this Task Force meets semi-annually to review the work of the Steering Committee that meets six times per year. The Reentry Task Force will guide the reentry process by ensuring that state and local agencies collaborate to serve the offender needs throughout the state. For the 2014 legislative session, the Steering Committee, with approval of the Executive Committee submitted specific legislative proposals to address housing, employment, treatment (medical, mental health and substance abuse) and other needs related to offender reentry. The Steering Committee will submit additional legislative proposals for the 2016 legislative session. The final meeting of the Governor's Reentry Task Force was held in November of 2015 and recommendations were submitted for the 2016 session.

The Department has worked with local communities across the state to establish and support 11 reentry councils. These councils involve stakeholders from areas including: criminal

courts, corrections, parole board, mental health agencies, public health services, veteran's affairs, housing agencies, employers and employment services, social service agencies, faith-based groups and average citizens. The work of these councils is amazing! For example, the Bluegrass Council put together a statewide meet and greet of all the councils to come together and network. This meeting allowed other councils to find out what is working in their area and ideas to help boost attendance.

The following reentry councils meet monthly, with the exception of Northeast and Green River that moved to a temporary online format, represent communities throughout the Commonwealth:

- Northeast Kentucky Reentry Council
- Green River Reentry Council
- Western Kentucky Reentry Council
- Southeast Kentucky Reentry Task Force
- Southern Kentucky Reentry Council
- Central Kentucky Reentry Council
- Greater Louisville Reentry Coalition
- Bluegrass Reentry Council
- Eastern Kentucky Reentry Council
- Northern Kentucky Reentry Team
- FIVCO Reentry Council

Individuals interested in participating may sign up through www.kentuckyreentry.org for meeting notification information.

The Department has developed a reentry newsletter, The Toolbox, designed to provide information to staff, stakeholder, and offenders about reentry efforts in the state. This newsletter is available on the reentry portion of the Department of Corrections website at www.corrections.ky.gov.

2017 Expectations

While significant changes are underway within the Department of Corrections, we must continue to develop strategies to address offender reentry, increase public safety and reduce recidivism. These strategies for FY 2017 include:

- Implementation of additional evidence-based programs for offenders in the prisons and increase the options for jails, halfway houses, and community.
- Continue to monitor and improve tracking of offender participation and completion of all programs.
- Ensure programs are delivered with fidelity to the model through quality assurance.
- Committee established to explore the risk and needs assessment tool and programs with validation against a Kentucky specific population.
- Continue to monitor recidivism rates in light of program participation to see if changes are necessary.
- Monitor effectiveness of identified evidence-based programming for the restrictive housing population.

Recommendations

The Department of Corrections has been able to secure significant federal funding that supports evidence-based projects throughout the state. Federal funds have typically supported pilot programs with specific target populations, and federal funding will end. In order to expand these efforts, additional funding will be necessary. If additional funds are made available, the Department seeks to create specific staff positions in prisons and the community that would facilitate offender programming. Current staff to offender ratios do not allow for program implementation at all levels of the corrections system. This would enable the department to enhance program offerings through implementation of new evidence-based programs and expansion of current evidence-based programs. The Department would like to increase enrollment and program completion by 10% for community offenders. With current staffing

patterns, the responsibility of programming falls primarily on Probation and Parole officers who supervise caseloads and perform a number of other duties. In order to be more effective and consistent, the Department would like to explore utilizing dedicated personnel to increase services to offenders in the community.

The Department will also explore with community agencies and local jail facilities to expand existing substance abuse treatment program slots. While offenders may not enter prison with a drug offense, oftentimes substance abuse is a factor in the criminal behavior. Expansion of substance abuse treatment slots will enable the Department to meet the treatment needs of our current offender population and provide affordable substance abuse treatment for probationers and parolees.

Summary

The Department of Corrections has made every effort to implement evidence-based practices to impact the overall reentry process. From assessment to case planning to targeted interventions using proven supervision practices, the Department is confident that the Commonwealth will see a reduction in recidivism as evidence of their work.

In response to House Bill 463 and the four primary drivers of the population, realistically corrections can only impact the number of parolees returning to prison for technical violations and the services provided to offenders with substance abuse issues. The Department has implemented a violation matrix with graduated sanctions to address offenders that have technical violations. Graduated sanctions are an alternative to incarceration and may be used when deemed appropriate for public safety. Additionally, all Probation and Parole Officers and Supervisors have been trained in motivational interviewing techniques and supervision strategies

through Core Correctional Practices that support more positive interactions with offenders. As evidence of our support, we continue to participate in communities that have the court-based SMART Project, an intervention that provides swift, certain interventions when the offender has failed to comply with program requirements.