

 <p style="text-align: center;">KENTUCKY CORRECTIONS Policies and Procedures</p>	Policy Number	Total Pages
	Date Filed	Effective Date by memo
Authority/References	Subject	
<p>KRS 17.169, 17.170, 17.175, 17.510, 196.035, 439.3401, 439.470, 439.480(2), 439.550, 533.020, 533.030 P&P ACA 2A-02, 2A-03, 2A-04, 2A-08, 2A-15, 2B-01, 2G-02</p>	<p>INITIAL INTERVIEW AND INTAKE OF NEW CASE</p>	

I. DEFINITION

“Business days” means 8:00 a.m. to 4:30 p.m., Monday through Friday, excluding holidays.

“DNA sample” or “deoxyribonucleic acid sample” is defined by KRS 17.169.

“Initial interview” means the first face-to-face meeting between the officer and the offender.

“Violent offender” is defined by KRS 439.3401.

II. POLICY and PROCEDURE

A. High Risk Offenders

Upon receiving notice of a high risk offender released to community supervision, an officer shall initiate contact with the high risk offender within two (2) working days. The contact shall be documented in the offender management system.

1. The initial supervision interview shall be conducted within five (5) working days or prior to release from confinement.
2. A high risk offender for this purpose shall be considered a violent offender as defined by KRS 439.3401. (2A-04)

B. The initial interview shall be conducted within fourteen (14) business days of an offender being released to community supervision. During the initial interview of a new offender, the officer shall:

1. Retain a signed copy of the parole certificate or order of probation in the offender record.

Policy Number	Effective Date	Page
27-12-03	July 29 th , 2020	2

2. Read and discuss the conditions of supervision document, including any special conditions ordered by the releasing authority or officer and provide the offender a signed copy. (2B-01)
3. Advise the offender how to access 24-hour supervision services and how to contact the officer in an emergency or as needed during off duty hours. (2A-15)
4. Advise the offender of the next scheduled report day and office hours.
5. Explain the releasee report document to the offender.
6. Explain the available community resources, if needed, and make any referrals as ordered by the releasing authority or stipulated by the officer in the Conditions of Supervision document.
7. Advise the offender of the Division of Probation and Parole grievance procedure. (Refer to CPP 27-12-06 (Grievance Procedures for Offenders) for specifics of grievable and non-grievable issues and time limitations.) (2G-02)
8. Obtain an offender photograph. The photograph shall be updated annually and with any substantial change in appearance of the offender.
9. Enter the offender information into the offender management system within three (3) business days following the initial interview.

C. DNA Sample Collection

1. If applicable pursuant to KRS 17.170, the officer shall collect a DNA sample.
 - a. At the intake of a case, the officer shall determine if the offender is convicted of a felony on or after March 27, 2009.
 - b. Prior to collection, the officer shall verify that the offender has not previously submitted a DNA sample.
 - c. The DNA sample shall be collected, sealed, and secured by the officer and submitted to the Kentucky State Police Forensic Laboratory for analysis.
 - d. Collection of the DNA sample shall be documented in the offender management system.

Policy Number	Effective Date	Page
27-12-03	July 29 th , 2020	3

2. An offender required under law to provide a DNA sample who refuses to provide a sample may be referred to the local county attorney for prosecution pursuant to KRS 17.170(7).
3. Pre-trial diversion offenders may be referred to KRS 17.175(5) for expungement information.
4. The following may be subject to administrative disciplinary procedures or prosecution in accordance with KRS 17.170(8) or 17.175(4) or (8):
 - a. Tampering with or attempting to tamper with a DNA sample.
 - b. Unlawful dissemination or use of DNA identification records.

D. Case Management Plan and Risk and Needs Assessment

1. The case management plan and risk and needs assessment shall be completed according to timelines outlined in CPP 29.1 (Risk and Needs Assessment) and CPP 29.2 (Case Planning).
2. The officer shall complete the initial risk and needs assessment or update the existing risk and needs assessment according to CPP 29.1 (Risk and Needs Assessment). The assessment results shall be recorded in the case record and communicated to the offender. The interview and assessment results shall guide development of the case plan, programming needs, and level of supervision. (2A-02; 2A-03)
 - a. If the initial assessment has not been completed, the offender shall be placed on a high level of supervision and the case supervised accordingly until the initial assessment is completed.
 - b. If an offender is unavailable for supervision due to being in a treatment facility or incarcerated, the officer shall take adequate steps to contact the offender in writing and by telephone, and advise the offender to report immediately upon his release. Attempts to contact the offender shall be documented in the offender management system. The offender may be placed on an administrative level of supervision until available for supervision, at which time the risk and needs assessment shall be completed.
 - c. If an offender is probated and required to serve jail time as a condition of probation, the officer shall add the offender to his caseload and conduct the initial interview with the offender while the offender is still in custody.

Policy Number 27-12-03	Effective Date July 29 th , 2020	Page 4
---------------------------	--	-----------

- d. If the offender is currently serving a period of incarceration concurrently with a period of probation, the case shall be carried on an inactive caseload due to unavailability for supervision. The appropriate probation custody document shall be completed.
 3. The officer shall develop an individualized case management plan with the offender according to CPP 29.2 (Case Planning). The case management plan shall be based on the risks and needs identified by the offender's assessment. The officer shall review the case plan with the offender. The offender shall receive a signed copy of the case plan. The case plan shall include the following:
 - a. Level of supervision
 - b. Conditions of supervision
 - c. Objectives to be met by the offender
 - d. Programming needs and services that address the offender's needs. (2A-08)
- E. Interstate Compact Cases
 1. If an out-of-state offender is accepted for transfer to Kentucky and reports to the Probation and Parole office, the officer shall follow the procedures outlined in this policy.
 2. For a new offender transferring outside of Kentucky, the officer shall initiate the Interstate Compact transfer per CPP 27-14-01 (Interstate Compact). The offender shall sign conditions and be given reporting instructions. The full risk and needs assessment shall not be required on out-going cases.