



Department of Corrections

# INTERNAL MANAGEMENT POLICY & PROCEDURE

**Applicability:**  ADULT Operations Only  JUVENILE Operations Only  DEPARTMENT-WIDE

---

IMPP #: 14-111A

PAGE #: 1 of 9

**PAROLE SERVICES: Offender Risk Management and Classification Levels**

Original Date Issued: 03-28-18 Replaces IMPP Issued: 12-31-18 **CURRENT EFFECTIVE DATE: 04-09-21**

Approved By:  Secretary

Next Scheduled Review: April 2022

---

## POLICY

The Parole Services Division is to manage offenders in the community based on risk levels, determined by a classification system. The classification level assigned is to be based on the offender's assessed risk/need score and other objective risk management factors outlined in this policy. Offender classification may include the use of a risk screener, an LSI-R assessment, the WRNA or other tools as specified in this policy or approved by the Deputy Secretary of Juvenile and Adult Community-Based Services. LSI-R interviews and assessments are to be completed in accordance with IMPP 11-113D as well as the directives of this policy.

Classification levels are to be reviewed periodically and updated when needed to ensure that the assigned risk level is consistent with the risk level of the offender. The classification of offenders and supervision levels are to be consistent with principles of risk, need, responsivity, all aimed at public safety and risk reduction. Interventions used during supervision are to be based on dynamic risk factors and prioritized based on the offender's risk to re-offend. Each offender is to be assigned to one (1) of four (4) supervision levels: high, moderate, low moderate, or low. Offenders classified as low moderate and low risk may be managed using an automated telephone reporting system.

## DEFINITIONS

Acute: An assessment that evaluates dynamic risk factors for sexual offenders. The Acute focuses on risk factors that can change rapidly, over a period of days or weeks.

Assessment: A process by which relevant information is synthesized to establish the overall internal and external traits of the offender to assist in the development of an individualized case management plan.

Automated Telephone Reporting (ATR) System: An automated telephone system used to collect and verify information from offenders. Information may also be provided to offenders via the system.

Case Management: Comprehensive approach to post-conviction supervision of offenders to reduce risk and support reintegration by; assessment, development and implementation of programs & interventions.

Classification: A process of assessing, evaluating and categorizing offenders to facilitate effective case management.

Intervention: A measure taken to influence offender behavior. The goal of imposing an intervention is to increase the likelihood of successful offender re-entry by addressing an offender's risk or need, or in making progress under his or her case plan. An intervention can include any of the options set out on the Behavior Response Guide, or other strategies that may affect a behavioral change in the desired direction. Interventions may be imposed either proactively or in response to a violation.

Level of Service Inventory-Revised (LSI-R): The LSI-R is an objective, 54-item risk/needs assessment instrument composed of 10 subcomponents that contain both static and dynamic risk factors. The instrument is a quantitative

survey of attributes of offenders and their situations relevant to level of service decisions. The LSI-R provides a consistent and valid method of predicting risk to re-offend and a reliable means of measuring offender change over time through reassessment.

Multidisciplinary Team (MDT): Professionals who represent an agency or program and are involved in providing services or support to an individual under the supervision of KDOC and meet and collaborate and identify areas of focus for case management. The MDT process encourages regular communication and the consideration of all perspectives. Collateral sources and the offender may be invited to attend MDT meetings, as appropriate.

For the Sexually Violent Predator process, MDT refers to professionals selected by the Secretary of Corrections from a variety of state and private sources for the express purpose of assessing whether or not an individual in KDOC custody meets the definition of a sexually violent predator.

Need: The requirement for some type of intervention to reduce the likelihood of criminal behavior.

Risk: The potential for criminal behavior.

Risk Screener: A classification tool designed to determine risk level based on factors related to an offender's personal circumstances and criminal history.

Significant Event: An action, behavior or circumstance which, when factored into the LSI-R assessment instrument, may change the offender's supervision level by raising it or lowering it. Examples of significant events are loss of employment, gaining sustained employment, relapse in substance abuse, completing a significant period of sobriety, change in accommodation, change in family circumstances such as marriage or divorce, new conviction or discovery of new conviction information, or completion of one or more significant goals of the offender's case plan.

Override: A process that allows for the review of an offender's classification level and may allow an offender to be supervised at a supervision level other than that prescribed by the risk/need assessment tool score because of other aggravating or mitigating risk attributes, factors or behaviors.

Stable: An assessment instrument for sexual offenders that measures dynamic risk factors. The Stable focuses on risk factors that are potentially changeable but may endure for months or years.

Static 99: A brief actuarial instrument designed to estimate the probability of sexual and violent recidivism among adult males who have already been convicted of at least one (1) sexual offense against a child or non-consenting adult.

Women's Risk and Need Assessment (WRNA): A gender-specific risk and need assessment for use with female offenders.

## **PROCEDURES**

### **I. Related Policies**

- A. Case management of offenders through the use of the Level of Service Inventory-Revised (LSI-R) are to be accordance with IMPP 11-113A Level of Service Inventory – Revised Risk and Needs Assessment.
- B. The carrying out of effective supervision of offenders released under parole, conditional release, post-release and interstate compact supervisions are to be in accordance with IMPP 14-117A Supervision Standards.
- C. The transfer of offenders by parole services staff are to be in accordance with IMPP 14-123A Intrastate Transfer of Offenders.
- D. The encouragement of pro-social behavior and the responses to violations are to be in accordance with IMPP 14-137A Encouraging Pro-Social Behavior and Responding to Violations.

## II. Assessment and Classification Processes

- A. The Risk Screener and LSI-R assessments must be used to identify needs, risks and guide case management. The risk score indicate by the assessment sets the supervision level unless a supervision level override is in approved and in place.
- B. Specialized assessments are to be used for designated populations, as available, to identify risks and need that may not be captured in the LSI-R assessment and are to be considered as part of case management.
  - 1. The Women's Risk and Needs Assessment (WRNA) is to be completed with all female offenders within 45 days of release/arrival for supervision.
    - a. The WRNA process must include an interview with the offender and be documented in the designated KDOC computer system.
  - 2. The Static 99, Stable and Acute assessments are to be considered for sex offenders, to identify risk that is specifically related to sexually offending.
  - 3. The Domestic Violence Screening Instrument (DVSI-R) assessment, which is completed through Batterer Intervention programming, is to be used to evaluate an offender's risk to participate in domestic violence behaviors.

## III. Risk Screener

- A. A Risk Screener is to be completed as the initial classification review, at each release, for:
  - 1. KDOC offenders who are released to supervision in Kansas;
  - 2. KDOC offenders who return to Kansas supervision from out of state residency;
  - 3. Interstate compact cases when an offender has been accepted for supervision and the offender is in Kansas and available for supervision.
    - a. A Risk Screener may be completed prior to the acceptance of supervision, for offenders who are in Kansas and being supervised on Reporting Instructions.
- B. The Risk Screener is to be completed within the first 15 calendar days of the offender's supervision period and be documented in the designated computer system.
  - 1. The risk screeners process is to include an interview with the offender whenever possible, to gather and confirm information for the scoring process.
    - a. The interview may be conducted before the resident is released to supervision, as part of the release planning process.
    - b. The interview may be waived if case material or case knowledge is sufficient to accurately score the instrument, or barriers exist to having a conversation with the offender within the required time frame. For example, offenders who are released to detainers in remote geographic areas or those who are released to supervision after a revocation and previously had a risk screener completed.
- C. The Risk Screener score sets the risk/supervision level, as indicated below.
  - 1. Score:
    - a. 0 – Low
    - b. 1 – Low Moderate

- c. 2 – 4 Moderate.
  - d. 5 – 6 High.
2. Cases that score in the Low or Low Moderate range are to be supervised at that level and do not require a LSI-R assessment.
- a. When the Risk Screener scores one (1) or two (2) and specialized assessments or other information indicates that a higher supervision level is necessary an LSI-R must be completed within 45 days of the offender's release date, or within 45 days of acceptance/arrival for supervision if an interstate compact case.
  - b. Upon completion, the LSI-R assessment sets the supervision level. If a different supervision level is necessary, a supervision level override is to be requested.
- D. Offenders whose Risk Screener score is in the Moderate or High ranges must be supervised at that level until an LSI-R assessment is completed.
- 1. The LSI-R assessment must be completed within 45 days of the offender's release to supervision, or acceptance for supervision if an interstate compact case.

#### **IV. LSI-R Assessments**

- A. A LSI-R assessment must be completed within 45 days of release on all offenders, unless they have a risk screener score for low or low moderate, or less than 90 days left to serve on their sentence.
- B. Scheduled reassessments must be completed for offenders on the High and Moderate supervision levels on an annual basis, 12 months after the preceding assessment.
- C. Additional LSI-R assessments must be completed for offenders on any supervision level when significant events occur that would change the supervision level of the offender.
- D. If a transfer of supervision of an offender occurs within 30 days of the due date for a parole assessment, the Parole Officer who initiates the transfer must complete the LSI-R assessment prior to transfer.
- E. LSI-R assessments or reassessments completed by KDOC contract providers or community corrections agencies and entered in the designated computer system may be used to determine parole supervision levels.
  - 1. Such assessments may be used in place of regularly scheduled parole assessments, if completed within 90 days of the parole LSI-R being due.
  - 2. Community corrections assessments used must be from an active term of concurrent probation supervision.

#### **V. LSI-R Interview and Scoring Procedures**

- A. The first community-based LSI-R assessment, upon an offender's release to the community or receipt for supervision, is to include a personal interview with the offender.
- B. Offender participation is encouraged for LSI-R reassessments; however, they may be conducted without a personal interview with the offender, if accurate and sufficient information can be gained using other means such as contacts with the offender, collateral contacts, review of case file, supervision history, etc.
- C. The use of an LSI-R interview guide is encouraged to ensure that appropriate questions are asked and are posed in a manner to elicit a detailed response.

- D. Detailed notes must be taken during the LSI-R interview/assessment process and are to be entered in the LSI-R document in the designated computer system.
1. The quality of the interview notes entered are to be such that a quality review process can effectively determine the accuracy of assessment and scoring.
  2. Notes entered during the interview are to be typed in a manner that is not disruptive to the interview process and does not detract from the quality of the interview.
  3. The LSI-R assessment must be scored using the approved LSI-R scoring guide to ensure accurate scoring.
    - a. Scoring of the assessment is not to be conducted in the presence of the offender.
- E. If an offender is unwilling or unavailable to fully participate in an LSI-R assessment interview, the assessment is to be completed by:
1. Obtaining as much information as possible from the offender;
  2. Reviewing all available criminal history sources;
  3. Reviewing the offender's case file;
  4. Utilizing collateral contacts;
  5. Utilizing official documents; and
  6. Documenting the refusal and sources used to obtain/verify information.
- F. Offenders with physical or mental disabilities must receive an assessment.
1. An offender's inability to participate due to physical or mental disabilities must be documented, and the assessor is to complete the assessment based on file information, case management knowledge of the offender, and collateral information.
  2. Offenders with hearing or speech disabilities are to be provided interpreter services by the parole office as applicable.
    - a. When using an interpreter for assessments, only a certified LSI-R assessor is to initiate interview questions for the interpreter.

**VI. Risk and Classification Levels**

- A. Offenders are considered unclassified at each release until a risk screener or LSI-R assessment has been completed and scored.
1. Offenders are to be supervised on the High supervision level until the initial classification is completed.
- B. The risk level determines the supervision level as indicated below.

1.

	Risk Screener Score	LSI-R Score
High	5 - 6	32 – 54
Moderate	2 – 4	23 – 31
Low Moderate	1	13 – 22
Low	0	0 – 12

- C. If information from a specialized risk assessment indicates that a supervision level higher than what is established by the LSI-R score is necessary, a supervision level override is to be requested.
- D. Supervision contacts and case management processes for each supervision level is occur as indicated in IMPP 14-117A.

## **VII. Classification and Supervision Level Exceptions**

- A. Offenders whose convictions are designated as a Jessica's Law case in the OMIS sentence record are not to be supervised at less than the Moderate supervision level.
  - 1. Exceptions may be made if approved for placement on the Low Moderate supervision level though the Low by Exception process.
- B. Offenders who are determined by a judicial proceeding to be a sexually violent predator pursuant to K.S.A. 59-29a01 must be managed at the High supervision level and do not require completion of a risk screener or LSI-R assessment.
- C. For offenders managed as sex offenders, additional information to be considered in determining the risk to reoffend and corresponding supervision level is to include, if available:
  - a. Results of the Static 99, the Stable, Acute or other validated tools that identify risk to reoffend;
  - b. Axis I and II diagnoses;
  - c. The Clinical Services Report and/or the Multi-disciplinary team rating from the SVP process; and
  - d. Programs/Treatment staff recommendations.
- D. Offenders whose crime involved the loss of a human life must not be supervised below the Low Moderate level unless approved for placement on the Low supervision level through the Low by Exception process.
- E. If an offender's risk score is in the Low or Low Moderate range and he/she is required to participate in a structured program (BIP, SAP, SOP, MRT, T4C, etc.), the use of a multi-disciplinary team process is encouraged to review the case and help determine whether or not an increased level of supervision is needed for case management and to enhance the programmatic process.
- F. Classification assessments are not required for offenders who are deported from the United States.

## **VIII. Supervision Level Overrides**

- A. Parole Officers may request an override (Attachment A) to a level of supervision other than that prescribed by the LSI-R score if a review of all available information indicates the need for higher or lower supervision level and the most current LSI-R assessment includes the issues or behaviors that are the rationale for override consideration. Factors to consider include the following:
  - 1. Current risk factors or public safety concerns.
  - 2. Any mental health or special management needs.
  - 3. Level of compliance while on supervision.
  - 4. Information gained from community resources, law enforcement agencies or treatment providers.
  - 5. Information from specialized risk assessment tools that provide information about the offender's risk to reoffend, needs, and elated case management factors.

- B. A Parole Officer requesting an override to a higher or lower supervision level is to complete the Supervision Level Override form in the designated computer system.
1. The override request is to be reviewed or approval/disapproval by the Parole Supervisor.
    - a. If the supervisor does not concur with the Parole Officer's supervision level determination, the appropriate level is to be negotiated based upon available information and discussion.
  2. If the proposed level of supervision is higher than the assessed risk, the Parole Officer may supervise the offender at the higher level until the override request has been reviewed by the Parole Supervisor.
  3. If an override is being requested to supervise an offender at a lower supervision level than indicated by the LSI-R, the offender must be supervised at the level prescribed by the LSI-R until the override is approved by the Parole Supervisor.
  4. Once the override is approved by the Parole Supervisor, the appropriate supervision level is to automatically be reflected in OMIS and the designated computer system.
  5. Override requests and supervisory responses are to be documented in the Supervision Level Override form in the designated computer system.
- C. Supervision level overrides are to be removed when no longer valid or necessary.

#### **IX. Automated Telephone Reporting**

- A. Offenders on the Low Moderate and Low supervision levels are to be supervised through the automated telephone reporting system, except during the first 90 days of supervision.
1. Newly released offenders and those who arrive for supervision from another state, whose risk score falls in the Low or Low Moderate risk range, are to have personal contacts at least once monthly during their first 90 days on supervision.
  2. Enrollment in automated telephone reporting is to be delayed until after the first 90 days of supervision and the assigned Parole Officer is to use the Opt-Out feature in OffenderLink to reflect the 90-day delay in enrollment.
- B. After the initial 90 days on supervision, or when an offender who has been on supervision for more than 90 days is placed on the Low Moderate or Low supervision level, the offender is to be enrolled in automated telephone reporting.
1. At the time of enrollment in the telephone reporting system, the offender is to be provided with an explanation of process and requirements, including use of the designated enrollment letter and a wallet card.
- C. Offenders are to be removed from the automated telephone reporting system when:
1. The offender is moved to the Moderate or High supervision level, based on a LSIR assessment and/or supervision level override.
  2. The case is closed due to sentence expiration or other reasons.

#### **X. Low By Exception Review Process**

- A. Offenders who are restricted from the Low Moderate and/or Low supervision levels due to their offense categories may be approved for a lower supervision level through the Low By Exception Review Process. All Low By Exception reviews and the approvals or denials are to be documented using the Low by Exception Review Form (Attachment B).

- B. Offenders may only be approved for Low By Exception by the Deputy Secretary of Juvenile and Adult Community-Based Services or designee.
  - 1. Offenders being reviewed for Low by Exception are not to be placed on the proposed supervision level until an approval is received from the Deputy Secretary or designee.
- C. Two (2) categories of offenders are eligible for this review process;
  - 1. Offenders whose current offense involved the loss of a human life may be reviewed and approved for the Low supervision level.
  - 2. Jessica's law cases who meet the criteria below may be reviewed and approved for the Low Moderate supervision level.
    - a. Has been on supervision for at least three (3) years.
    - b. Has been substantially compliant during the supervision period.
    - c. Has completed a sex offender treatment program.
    - d. His/her assessed risk to re-offend sexually is low.
- D. When an offender in a Low By Exception category meets criteria and is considered an appropriate candidate for a lower supervision level, the Parole Officer is to create a Low By Exception Review Form and submit it to the Parole Supervisor for review.
- E. The Parole Supervisor is to review the form, indicate his/her recommendation for approval or denial and a rationale. The form is then to be provided to the Parole Director for review.
- F. The Parole Director or designee is to review the request and indicate approval or denial and a rationale.
- G. If the request is denied by the Parole Director the decision is final and the process ends at this stage.
- H. Reviews that are approved by the Parole Director are to be forwarded to the Deputy Secretary of Juvenile and Adult Community-Based Services for review.
- I. The Deputy Secretary of Juvenile and Adult Community-Based Services or designee is to review the request and provide an approval or denial along with a rationale.
  - 1. The response is to be forwarded to the Parole Officer and any supervision level changes that have been approved are to be implemented.

**NOTE:** The policy and procedures set forth herein are intended to establish directives and guidelines for staff, resident and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees, residents or offenders, or an independent duty owed by the Department of Corrections to employees, residents, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure are not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

## **REPORTS**

None.



**REFERENCES**

K.S.A. 59-29a01  
IMPP 11-113A, 14-117A, 14-123A, 14-137A  
Risk Screener

**HISTORY**

03-28-18 Original  
12-31-18 Rev. 1

**ATTACHMENTS**

<b>Attachments</b>	<b>Title of Attachments</b>	<b>Page Total</b>
A	Parole Services Override Request Form	1 page
B	Low By Exception Review Form	1 page

**Kansas Department of Corrections  
Parole Services Override Request Form**

**Override Request**

Offender Name and Number: \_\_\_\_\_

LSI-R Score: \_\_\_\_\_ Assessment Type: Initial  Reassessment

Current Classification Level: Low  Low Moderate  Moderate  High

Override Type: Add  Remove

Override Category: Jessica's Law  Risk Management  Program Participation  Other

Override Description/Reason for the Override Request:

---

---

Classification Recommendation: Low  Low Moderate  Moderate  High

\_\_\_\_\_  
Parole Officer

\_\_\_\_\_  
Date

**Override Approval/Removal**

Override Decision: Approved  Disapproved

Decision Made By: \_\_\_\_\_ Date: \_\_\_\_\_

Override Decision Comments \_\_\_\_\_

---

**Low by Exception Request Form**

Name and Number: \_\_\_\_\_

- Type of Exception:      Jessica's Law case, for placement on the Low Moderate supervision level.  
                               Crime that took a human life, for placement on the Low supervision level.

Current LSIR score: \_\_\_\_\_     Current supervision Level: \_\_\_\_\_

Is a supervision level override required to place the offender on the requested supervision level?   Yes    No

Date Supervision Began: \_\_\_\_\_     Date of Discharge/Sentence Expiration: \_\_\_\_\_

Summarize the offender's progress during the supervision period and reason for the request. Include the status of any required programs and special conditions: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Describe any moderate and high-risk factors and how they have been addressed during supervision. For Jessica's law cases, include information about assessments related to the risk to reoffend sexually.  
\_\_\_\_\_  
\_\_\_\_\_

Describe the offender's employment status: \_\_\_\_\_

Describe the status of supervision fees, court costs, restitution, child support owed and payment plans.  
\_\_\_\_\_  
\_\_\_\_\_

Submitted by Parole Officer \_\_\_\_\_     Date \_\_\_\_\_

**Review and Approval**

Parole Supervisor recommendation:            approved            denied

Comments: \_\_\_\_\_

Parole Director recommendation:            approved            denied

Comments: \_\_\_\_\_

Deputy Secretary:                            approved            denied

Comments: \_\_\_\_\_