



**DEPARTMENT OF CORRECTIONS
PROBATION AND PAROLE DIVISION
OPERATIONAL PROCEDURE**

Procedure No.: PPD 1.5.506	Subject: PRE-SENTENCE INVESTIGATION (PSI) and REPORT/POST-SENTENCE INVESTIGATION	
Reference: PPD 1.8.100; PPD 3.1.2400; 46-14-301, MCA; 46-18-111 through 113, MCA; 46-18-242, MCA	Page 1 of 6	
Effective Date: 02/11/16	Revision Dates: 07/18/16	
Signature / Title: /s/ Kevin Olson, Probation and Parole Division Administrator		

I. PURPOSE:

Probation and Parole Division employees will comply with District Court orders for pre-sentence investigations and reports and follow standardized procedures when preparing and distributing these reports.

II. DEFINITION:

P&P Regional Intelligence Liaison – An individual appointed by the Deputy Chief to track street gang activity within a specific region/city and is the liaison to the Montana Analysis and Technical Information Center and Rocky Mountain Information Network.

PPD-Probation and Parole Division – The Division oversees the Probation & Parole regional offices, interstate transfers and the facilities providing assessments and sanctions, training, prerelease, and treatment services.

PSI-Pre-Sentence Investigation and Report – A confidential and official court document designed to provide essential information on a defendant and assist District Court judges in determining an appropriate sentence for the defendant. The report also guides the Board of Pardons and Parole and Probation and Parole Division programs/facilities in the management of the offender and in developing a case plan for the offender.

Predisposition Investigation – A confidential and official court document prepared similarly to the PSI for defendants found not guilty pursuant to §46-14-301, MCA.

III. PROCEDURES:

A. PREDISPOSITION INVESTIGATION

1. Pursuant to §46-14-301, MCA, when a defendant is found not guilty for the reason that due to a mental disease or disorder the defendant could not have a particular state of mind that is an essential element of the offense charged, the court shall order a predisposition investigation in accordance with §46-18-112 and §46-18-113, MCA, which must include an investigation of the present mental condition of the defendant.
2. The Probation & Parole (P&P) Officer assigned to complete the predisposition investigation will use *PPD 1.5.506(B) Pre-Sentence Investigation (PSI)* form to provide the appropriate information, but will delete the Defendant's Statement section. The Officer will consult with his/her supervisor and amend the PSI form further as necessary, indicating that it is being used for a predisposition investigation.

Procedure No.: 1.5.506	Chapter: Administration and Management	Page 2 of 6
Subject: PRE-SENTENCE INVESTIGATION (PSI) and REPORT/POST-SENTENCE INVESTIGATION		

B. PSI – PRE-SENTENCE INVESTIGATION AND REPORT

1. General Requirements:

- a. The PSI is primarily designed to assist judges in making appropriate sentencing decisions, including the use of alternatives to incarceration. Secondly, it is often used after the defendant enters the corrections system by correctional, treatment, and community alternative facilities to classify offenders, develop treatment plans, and make referrals. The Board of Pardons and Parole and P&P Officers also use the PSI as a basis for parole or conditional release conditions, and the Sentence Review Division of the Montana Supreme Court may also consider the PSI contents.
- b. The PSI must be accurate, concise, and understandable to a wide range of users, and the P&P Officers required to conduct and prepare the PSIs should be thoroughly familiar with the basic requirements of the applicable statutes.
- c. Upon acceptance of a defendant's plea, or upon a verdict or finding of a defendant's guilt to one or more felony offenses, the District Court orders P&P to conduct and submit a PSI pursuant to §46-18-111, MCA, unless the court finds one is unnecessary. Unless the court makes that finding, a defendant convicted of any offense not enumerated in Sections f. and g. below, which results in incarceration for one (1) year or more, may not be sentenced before a PSI is presented to and considered by the court.
- d. The court may order a PSI for a defendant convicted of a misdemeanor only if the misdemeanor was originally charged by the state as a sexual or violent offense as defined in §46-23-502, MCA.
- e. The court may require that the PSI include a physical and mental examination of the defendant.
- f. Conviction of Sexual Offense: If the defendant was convicted of an offense under §45-5-502, §45-5-503, §45-5-504, §45-5-507, §45-5-601(3), §45-5-602(3), §45-5-603(2)(b), §45-5-625, §45-5-627, §45-5-704, §45-5-705, MCA (sex offense codes), or §45-8-218, MCA (deviate sexual conduct), or §46-23-507, MCA (failure to register as sexual offender), the PSI must include a psychosexual evaluation of the defendant. This evaluation must also include a recommendation as to treatment of the defendant in the least restrictive environment, considering the risk the defendant presents to the community and the defendant's needs, unless the defendant was sentenced under §46-18-219, MCA (life sentence without possibility of release). The evaluation must be completed by a sex offender evaluator who is a member of the Montana sex offender treatment association or has comparable credentials acceptable to the Department of Labor and Industry. The psychosexual evaluation must be made available to the county attorney's office, the defense attorney, the P&P Officer, and the sentencing judge. All costs related to the evaluation must be paid by the defendant. If the defendant is determined by the District Court to be indigent, all costs related to the evaluation are the responsibility of the court and must be paid by the county or the state, or both, under Title 3, Chapter 5, Part 9, MCA. The District Court may order subsequent psychosexual evaluations at the request of the county attorney. The requestor of any subsequent psychosexual evaluations is responsible for the cost of the evaluation.
- g. Conviction of Assault on Minor (effective October 1, 2013): If the defendant was convicted of an offense under §45-5-212(2)(b) or (2)(c), MCA, the PSI may include a mental health

Procedure No.: 1.5.506	Chapter: Administration and Management	Page 3 of 6
Subject: PRE-SENTENCE INVESTIGATION (PSI) and REPORT/POST-SENTENCE INVESTIGATION		

evaluation of the defendant and a recommendation as to treatment of the defendant in the least restrictive environment, considering the risk the defendant presents to the community and the defendant's needs. The evaluation must be completed by a qualified psychiatrist, licensed clinical psychologist, advanced practice registered nurse, or other professional with comparable credentials acceptable to the Department of Labor and Industry. The mental health evaluation must be made available to the county attorney's office, the defense attorney, the P&P Officer and the sentencing judge. All costs related to the evaluation must be paid by the defendant. If the defendant is determined by the District Court to be indigent, all costs related to the evaluation are the responsibility of the District Court and must be paid by the county or the state, or both, under Title 3, Chapter 5, Part 9, MCA.

- h. Consideration of Mental Disease or Defect or Developmental Disability in Sentencing: When, pursuant to §46-14-311, MCA (consideration of mental disease or defect or developmental disability in sentencing), the court has ordered a PSI, the PSI must include a mental evaluation by a person appointed by the Director (or designee) of the Department of Public Health and Human Services. This evaluation must also include an opinion as to whether the defendant suffered from a mental disease or defect or developmental disability with the effect as described in §46-14-311(1), MCA. If the opinion concludes that the defendant did suffer from a mental disease or defect or developmental disability with the effect as described in §46-14-311(1), MCA, the evaluation must also include a recommendation as to the care, custody, and treatment needs of the defendant. The mental evaluation becomes part of the PSI and must be made available to persons and entities as provided in §46-18-113, MCA.
- i. If a PSI is ordered in a jurisdiction other than where the defendant resides or is on current supervision, the defendant's supervising P&P Officer will be responsible for completing the PSI. Exceptions may apply; therefore, the Deputy Chiefs (DC) of the jurisdictions involved will discuss the circumstances of each applicable case and make a determination.

2. PSI Procedures and Responsibilities:

- a. Pursuant to §46-18-112, MCA, and within 60 days or as so otherwise ordered by the court, a PSI writer will inquire into and report upon:
 - i. the defendant's characteristics, circumstances, needs, and potentialities;
 - ii. the defendant's criminal record, social history;
 - iii. the circumstances of the offense;
 - iv. time of the defendant's detention for the offenses charged;
 - v. the harm caused to the victim, victim's immediate family, and the community;
 - vi. the defendant's assets; and
 - vii. the victim's pecuniary loss.
- b. Within three (3) days of assignment, the PSI writer will:
 - i. Enter the defendant into OMIS under Pre-Adjudication status and provide:
 - 1) the Officer Assignment,
 - 2) a sentencing date and/or a PSI due date, and
 - 3) a picture of the defendant.
 - ii. give *PPD 1.5.506(D) Pre-Sentence Investigation Questionnaire and Medical Screening* to defendant to complete; and

Procedure No.: 1.5.506	Chapter: Administration and Management	Page 4 of 6
Subject: PRE-SENTENCE INVESTIGATION (PSI) and REPORT/POST-SENTENCE INVESTIGATION		

- iii. schedule a date for an interview with defendant. Defendant is to return the completed *Questionnaire* at the interview unless otherwise approved by the PSI writer. Completed *Questionnaire* is placed in defendant's file.
 - c. If defendant does not appear for the interview and return *Questionnaire*, PSI writer will:
 - i. attempt to contact defendant by phone; and
 - ii. reschedule the interview.
 - iii. If defendant again fails to appear for interview, PSI writer will notify the court, county attorney, and defense attorney, and request a bench warrant.
 - d. *PPD 1.5.506(B) Pre-Sentence Investigation* and *PPD 1.5.506(C) Instructions for the Pre-Sentence Investigation Report* will be used to fulfill statutory requirements. A PO Tech, under the guidance and direction of the PSI writer, may assist with gathering the information.
 - i. The investigation must include evaluations of the defendant under guidelines established in section B.1. above.
 - ii. Complete *PPD 1.5.506(G) Transcript Request/Release Form* to request high school or high school equivalency education information from the Office of Public Instruction and/or transcripts from other educational institutions.
 - iii. Complete *PPD 3.1.2400(A) STG/Street Gang Activity Questionnaire* and forward to appropriate P&P Regional Intelligence Liaison. If defendant is not new to Department and has a current file, place copy of *Questionnaire* in offender's file and make OMIS STG chronological entry noting completion of form. The *Questionnaire* is not made part of the PSI unless the defendant's crime is related to gang activity (see *PPD 3.1.2400 Security Threat Group and Street Gang Identification and Management*).
 - iv. When obtaining information from a victim(s), the P&P Officer will provide the following to the victim:
 - 1) *PPD 1.5.506(E) Affidavit of Victim's Pecuniary Loss*, which specifically describes the pecuniary loss and replacement value in dollars. *Affidavit* is attached to PSI if submitted by the victim.
 - 2) *DOC 1.8.1(Attachment) Victim Notification Request and Registration Information* that gives information about VINE and other Department programs that may be appropriate (see *PPD 1.8.100 Victim Services*).
 - v. Indicate all fines, fees and restitution ordered by the court and/or required by statute by listing each as separate conditions or completing chart at the end of the PSI.
 - e. Pre-Sentence Investigation Fee (in effect for offenses committed after July 1, 2005): Pursuant to §46-18-111, MCA, the defendant shall pay to the Department, by money order, a \$50 fee one week prior to the submission of the PSI to the court, unless the court determines the defendant is not able to pay the fee within a reasonable time. These fees are forwarded to the DOC's Accounting Bureau and will be used to fund offender day reporting programs.
 - f. The PSI report will be reviewed by a supervisor during a PSI writer's probationary period, after which PSI writers are encouraged to have another staff member review the report prior to submission to the court.
 - g. The PSI is distributed upon completion to the following:
 - i. Sentencing court (original);
 - ii. Prosecuting attorney;
 - iii. Defendant's attorney;

Procedure No.: 1.5.506	Chapter: Administration and Management	Page 5 of 6
Subject: PRE-SENTENCE INVESTIGATION (PSI) and REPORT/POST-SENTENCE INVESTIGATION		

- iv. Defendant;
 - v. Agency or institution to which the defendant is committed; and
 - vi. Field file.
- h. Upon submission to the court, the PSI will also be uploaded into OMIS following directions given in *Computer User Guides, Document Upload-PSI*. This guide includes direction for amending or appending the PSI.
- i. Pursuant to §46-18-113, MCA, the sentencing court may permit other access to the PSI as it considers necessary. A motion or petition requesting such access must be filed with the court.

C. POST-SENTENCE INVESTIGATION (Post-PSI)

1. If a PSI was not ordered on a defendant placed on supervision with the Department, a P&P Officer in the committing county will be assigned to complete *PPD 1.5.506(F) Post-Sentence Investigation* on the offender within two (2) weeks of case assignment.
2. An offender must have a *Post-PSI* completed prior to any transfer. The *Post-PSI* will serve as a resource to other P&P Officers and entities within the Department; therefore, Officers must ensure all pertinent information is detailed. The *Post-PSI* information will include:
 - a. *PPD 1.5.506(D) Pre-Sentence Investigation Questionnaire and Medical Screening*.
 - b. Relevant Police Report(s) of current offense;
 - c. Affidavit to File Information Direct or pertinent County Attorney Information;
 - d. Plea Agreement;
 - e. Court Order (read for full understanding of conditions);
 - f. Victim Information;
 - g. NCIC or CJIN Criminal Record Check
3. Officers are required to complete the first two (2) pages of this report including the Criminal History section, but are strongly encouraged to complete the entire *Post-PSI* form, which includes family, medical, etc. If the officer chooses to complete the entire form, he/she will be given full PSI points on the monthly workload report.
4. The completed *Post-PSI* will be uploaded into OMIS by following directions given in *Computer User Guides, Document Upload-PSI*. This guide includes direction for amending or appending the *Post-PSI*.
5. If an offender coming in on an interstate transfer does not have a PSI in his/her file, a *Post-PSI* is not required; however, the P&P Officer will have the offender complete *PPD 1.5.506(D) Pre-Sentence Investigation Questionnaire and Medical Screening* for placement in the offender's file.
6. Pursuant to *PPD 3.1.2400 Security Threat Group and Street Gang Identification and Management*, if *PPD 3.1.2400(A) STG/Street Gang Activity Questionnaire* has not yet been completed with the offender, the P&P Officer will complete one when interviewing the offender for the *Post-PSI*. The *Questionnaire* is forwarded to the appropriate P&P Regional Intelligence Liaison and is not made part of the *Post-PSI* unless the offender's crime is related to gang activity. Copy of *Questionnaire* is placed in offender's file and an OMIS STG chronological entry is made noting completion of form.

Procedure No.: 1.5.506	Chapter: Administration and Management	Page 6 of 6
Subject: PRE-SENTENCE INVESTIGATION (PSI) and REPORT/POST-SENTENCE INVESTIGATION		

IV. CLOSING

Questions concerning this procedure shall be directed to the Deputy Chief or POII.

V. FORMS

PPD 1.5.506 (B)	Pre-Sentence Investigation
PPD 1.5.506 (C)	Instructions for Pre-Sentence Investigation Report
PPD 1.5.506 (D)	Pre-Sentence Investigation Questionnaire & Medical Screening
PPD 1.5.506 (E)	Affidavit of Victim's Pecuniary Loss
PPD 1.5.506 (F)	Post-Sentence Investigation
PPD 1.5.506 (G)	Transcript Request/Release Form
PPD 3.1.2400 (A)	STG/Street Gang Activity Questionnaire
DOC 1.8.1 Attachment	Victim Notification Request and Registration Information