

Standards Committee Meeting Minutes

ACA 138th Congress of Corrections
New Orleans
August 8, 2008

Members present:

Harley G. Lappin, Chairperson, Washington D.C.
David Haasenritter, Virginia
Robert Hofacre, Ohio
Brian Fischer, New York
Brad Livingston, Texas
Robert Kennedy, New York
Daniel Craig, Iowa
Lannette Linthicum, Texas
Robert Garvey, Massachusetts
Cheryl K. Townsend, Nevada
James LeBlanc, Louisiana
Vicky Myers, Missouri
Ron Budzinski, Illinois
Steve Gibson, Montana
Kathleen Dennehy, Massachusetts
Patricia Caruso, Michigan

Members absent:

Mary Livers, Louisiana
Stanley Glanz, Oklahoma

Staff:

Mark Flowers, Director, Standards and Accreditation
Jeffrey Crawford, Accreditation Specialist
Cecil Patmon, Accreditation Specialist
Leslee Hunsicker, Health Care Administrator

Welcoming Remarks:

Mr. Lappin called the meeting to order at 7:30 a.m. He welcomed everyone and acknowledged the many cards and notes of sympathy sent to the Federal Bureau of Prisons on the loss of Officer Jose Rivera. Mr. Lappin introduced new committee members, Brian Fisher, New York, James LeBlanc, Louisiana, Stanley Glanz, Oklahoma, and Mary Livers, Louisiana. The committee members and guests introduced themselves. Mr. Lappin gave an overview of the agenda.

Open Hearing:

Ronald Budzinski, Chair, Noise Level Sub-Committee and Russ Olson, Acoustical Design Group provided oral testimony regarding the noise level standards. This standard proposal is posted below.

Steve Gibson, Chair, Juvenile Sub-Committee provided oral testimony and provided a proposed standard regarding Standard 4-ALDF-2A-37, confinement of juveniles under the age of 18. The standard proposal is posted below.

Mr. Lappin introduced James Gondles, ACA Executive Director. Mr. Gondles commented on how much he appreciates the Standards Committee for their dedication and service. He announced the upcoming inauguration of the newly elected officers including Harold Clark, President; Patricia Caruso, Vice president; Christopher Epps, Treasurer. He mentioned ACA's response to the PREA Commission's proposed standards and the public meeting held by the Commission at the ACA offices. ACA's submitted response prepared by Rod Miller and Mark Flowers included recommending the standards be presented in an outcome-based format and designating the proposed compliance checklists as guides to implementation.

Robert Garvey announced the five panels of Commissioners on Accreditation will be conducting 177 hearings on accreditation during this Congress. He identified the Commissioners as hardworking and fair and encouraged the Committee to remember that revising a standard is a serious process not to be taken lightly. He recommended the use of the currently available avenues such as discretionary compliance and waivers to mitigate compliance concerns that do not adversely affect life, health, and safety.

Mark Flowers, Director of Standards and Accreditation, reported that field testing of the Core Jail Standards is proceeding. One jail has been accredited and additional audits have been scheduled. He reported that the Juvenile Correctional Facility Performance-Based Standards were at the printers and the proposed Adult Probation and Parole Field Services Standards would be presented at this meeting for consideration for field testing.

Standards Committee Meeting Convened

Issue: Approval of Standards Committee Meeting Minutes 2008 Winter Conference, January 11, 2008, Grapevine, Texas.

Action: Motion to approve by Robert Garvey; Harley Lappin seconded the motion. Motion carried.

To: American Correctional Association Standards Committee

From: Adult Probation and Parole Field Services Manual Subcommittee

Date: July 21, 2008

Re: Draft of APPFS 4th edition field test, revised

In September, 2002, the ACA Standards Committee approved the 4th edition of the Adult Probation and Parole Field Services Standards for field test. Since that time, these standards have been field tested by five agencies, with two of those agencies undergoing reaccreditation as well. Numerous comments have been collected from the field, and a sub-committee was appointed to recommend changes to these standards.

On June 23rd and 24th, 2008, a group met at ACA headquarters to review these standards. The group consisted of Carl Wicklund, American Probation and Parole Association, Jo Glazier, New York State Division of Parole, Jenny Nimer, Florida Department of Corrections, Plato Barnett, Arkansas Department of Community Corrections, and David Taylor, Montgomery County (Ohio) Adult Probation. Justin Jones, Director, Oklahoma Department of Corrections was chair of the sub-committee, but was unable to attend the meeting due to an emergency.

The focus of this meeting was to establish standards and outcome measures that are relevant, research based and meaningful to the agencies involved, focus on criminogenic risk and need factors, and allow for the optimal use of scarce resources. We also recognized the need to have a process which could be accomplished by a wide variety of agencies, large and small, which perform a variety of functions including all, or some combination of, probation, parole, and other forms of supervised release. Standards which seemed redundant were eliminated or combined, and standards which were already required by another regulatory body were generally eliminated. Finally, an effort was made to reorganize standards so that all like standards were grouped together.

The result of this effort is a total of 173 expected practices (six of them mandatory), and 59 outcome measures. Following are some of the significant changes from the first draft edition to the proposed draft edition:

Section 2A – Offender supervision

Expected Practices from Section 2A and 2D were consolidated and time frames for assessments and reviews were modified. A new EP (2A-07) was added to encourage agencies to focus on Evidence Based Practices in their supervision strategies. A standard from the 3rd edition requiring some form of 24 hour services was added back in. A large group of EP's on Interstate Compact was replaced with one, since the supervision of offenders on Interstate Compact is regulated by the Interstate Commission for Adult Offender Supervision.

Section 2D – Offenders are successful in the community

Two standards regarding employment services and the support of educational and vocational programs which had been deleted from the 4th edition were put back in. There is recognition of the importance of employment and job training on successful offender re/integration.

Section 2E – Offender compliance

A new EP was added focusing on graduated responses to compliant and non-compliant offender behavior. Agencies that use such strategies are more likely to be effective in their supervision than those that do not.

Section 3A & 3B – EP’s dealing with weapons

The group adopted the term “less lethal weapon” to include chemical agents, electronic weapons, and strike weapons, any of which may be issued by an agency. This recognizes that no weapon is considered “non-lethal” and all require training and regulation on use.

Section 3B – Safety

Two EP’s were added requiring agencies to develop safety plans for the office and for the field. Additionally, a previous 3rd edition standard for the search of offenders and the custody of contraband was added back in.

Section 3E – Treatment of staff, interns, and volunteers

Two EP’s from the first draft required the prohibition of sexual harassment and unlawful discrimination. The group expanded these from a simple prohibition (already required by law) to one that requires agencies to develop a plan for reporting violations and training to staff in these two areas.

Section 3F – Safe and secure work environment

The requirement for an “annual safety inspection” was changed to “an annual *fire* safety inspection” to add clarity and consistency with other manuals.

Section 3G – Protection from harm

An EP requiring “special supervision reports” was deleted and it was vague, and seemed to be covered under the EP for Critical Incidents.

Outcome Measures

In the area of Outcome Measures, the group focused on what data agencies could reasonably collect and what measures would provide meaning to these agencies. All outcome measures that required the collection of data on offenders after they were off supervision were eliminated, as were those that required the collection of community surveys. Some of these previous OM’s were impossible to collect, while others were simply beyond the resources of most agencies. By reducing the outcome measures by approximately half, it is hoped that agencies will be able to collect data that they will be able to use to improve their primary mission of supervising offenders and protecting the community.

The group is grateful to ACA for allowing us the opportunity to review, and hopefully improve, this manual of standards. We look forward to participating in the next round of field testing and to the eventual enactment of performance-based standards for our field.

**Performance Based Standards for
Adult Probation and Parole Field Services
(APPFS),**

June 2008

1. COMMUNITY

GOAL: *A safe and vital community where the public feels safe and lives free of the risk of crime.*

PERFORMANCE STANDARD

1A. Members of the community are protected from crime.

Outcome Measures:

- (1) Number of offenders who were arrested for any offense in the past 12 months divided by the total agency caseload in the past 12 months
- (2) Number of offenders who were convicted of any offense in the past 12 months divided by the total agency caseload in the past 12 months

EXPECTED PRACTICES

4-APPFS-1A-01 (New) The agency works with the community to define the concept and practice of community justice. The agency actively participates in partnerships with individuals, organizations, and agencies to prevent victimization, provide conflict resolution, and promote public safety.

Comment: Partnerships should be explored with the full range of "stakeholders" in the public and private sectors, including, but not limited to: criminal justice agencies and entities (law enforcement, prosecution, defense bar, judiciary, corrections); human service providers; victim(s) organizations; advocacy groups; service organizations; all levels of government (elected officials, appointed officials, staff); business; education; health care; faith community; organized labor; employment and training agencies; and offender families.

Protocols: Written policy and procedure.

Process Indicators: Documentation of collaboration with community (meeting notes, media articles, memoranda of understanding, letters, etc.)

4-APPFS-1A-02 (New) The agency engages in collaborative problem-solving efforts with the community to promote public safety through the sharing of information (consistent with applicable law), and education.

Comment: None.

Protocols: Written policy and procedure. Information-sharing protocols. Data collection and analysis procedures and report formats. Public education curricula

and resource materials.

Process Indicators: Reports. Documentation of sharing of information (meeting notes/minutes, correspondence, media coverage). Staff interviews.

4-APPFS-1A-03 (Ref. 3-3148) The agency supports efforts to develop community resources that prevent crime.

Comment: Community resources may include intelligence sharing with law enforcement agencies, task forces, and neighborhood watch.

Protocols: Written policy and procedure. Crime prevention plan.

Process Indicators: Documentation of crime prevention activities. Documentation of offender re-entry activities. Offender records.

Victim(s) Notification

4-APPFS-1A-04 (Ref. 3-3195) When an offender is under the supervision of the agency for a crime of violence, consistent with the law of the jurisdiction, and if the victim(s) requests, there is a system for providing notification to the registered victim(s) that includes, but is not limited to:

- prior to any type of hearing regarding the offender's sentence
- prior to any release from confinement or supervision of the offender
- immediately after the offender escapes from custody or supervision.

Follow-up notification is communicated to victim(s) when the offender is apprehended and returned to custody after an escape.

Comment: Custody may include halfway house, work release, treatment facility or electronic supervision.

Protocols: Written policy and procedure. Notification procedures. Notification forms.

Process Indicators: Documentation of notification efforts. Staff interviews. Agency records (victim(s) notification logs).

PERFORMANCE STANDARD

1B. Sentencing recommendations promote protection of the public and lawful offender behavior.

Outcome Measures: None

EXPECTED PRACTICES

Pre-Sentence Investigations

4-APPFS-1B-01 (Ref. 3-3213) The pre-sentence investigation process is governed by written procedures.

Comment: None.

Protocols: Written policy and procedure. Pre-sentence investigation forms,

formats and instructions.

Process Indicators: Offender records (pre-sentence investigation reports).

4-APPFS-1B-02 (Ref. 3-3212) The agency provides resources to ensure the submission of pre-sentence investigations within the time frames ordered by the sentencing court.

Comment: None.

Protocols: Written policy and procedure. Agency staffing plan. Job descriptions.

Process Indicators: Pre-sentence investigation reports and court records. Offender records. Staff interviews.

4-APPFS-1B-03 (Ref. 3-3211) Pre-sentence investigations and reports provide the sentencing court with timely, relevant and accurate data so that it may select the most appropriate disposition.

Comment: At a minimum, pre-sentence investigations typically include the following information: victim(s)'s statement if given by the victim(s); defendant's prior record, educational background and family history; employment; health; accurate restitution information; circumstances of the instant offense; and a proposed supervision plan (where applicable) for the defendant.

Protocols: Written policy and procedure. Pre-sentence investigation report forms, formats and instructions.

Process Indicators: Offender records. Interviews with court officials.

4-APPFS-1B-04 (Ref. 3-3214) Victim(s) are contacted and a victim(s) statement is obtained, if the victim(s) elect to make a statement. The statement is contained in the pre-sentence investigation and report.

Comment: None.

Protocols: Written policy and procedure. Pre-sentence investigation report forms, formats and instructions.

Process Indicators: Offender records (pre-sentence investigations). Interviews with victim(s).

4-APPFS-1B-05 (Ref. 3-3218) When expected by the court, recommendations are developed during the pre-sentence investigation and are included as part of the pre-sentence investigation and report.

Comment: The agency should adopt uniform conditions that may be recommended for some categories of offenders based on risk and needs.

Protocols: Written policy and procedure. Pre-sentence investigation report forms, formats and instructions. Uniform conditions. Description of available sentencing options.

Process Indicators: Offender records (pre-sentence investigation reports).

4-APPFS-1B-06 (Ref. 3-3219) Probation officers consider sentencing alternatives that match offender characteristics and needs and balance those needs with the primary mission of public safety.

Comment: None.

Protocols: Written policy and procedure. Pre-sentence investigation report forms, formats and instructions. Description of available sentencing options.

Process Indicators: Offender records (pre-sentenced investigation reports). Staff interviews. Interviews with court officials. Interviews with prosecutors and defense bar.

4-APPFS-1B-07 (Ref. 3-3225) All pre-sentence investigations and recommendations are subject to review and approval by a supervisor prior to submission to the court.

Comment: None.

Protocols: Written policy and procedure. Pre-sentence investigation report forms, formats and instructions.

Process Indicators: Offender records. Documentation of supervisor review of pre-sentence reports.

4-APPFS-1B-08 (Ref. 3-3215) The pre-sentence investigation process is reviewed by the agency periodically in consultation with the court.

Comment: None.

Protocols: Written policy and procedure. Pre-sentence investigation report forms, formats and instructions. List of sentencing options.

Process Indicators: Documentation of administrator's review of investigations. Documentation of annual review of process.

4-APPFS-1B-9 (Ref. 3-3227) The agency promptly transmits pre-sentence investigations and reports to other criminal justice agencies when the offender is transferred to them for confinement consistent with applicable law and regulations.

Comment: None.

Protocols: Written policy and procedure. Transmission forms.

Process Indicators: Offender records.

4-APPFS-1B-10 (Ref. 3-3226) The confidentiality of pre-sentence investigations and reports

is safeguarded consistent with law and privacy policies.

Comment: None.

Protocols: Written policy and procedure. Pre-sentence investigation report forms, formats and instructions. Copies of laws.

Process Indicators: Staff interviews. Offender records. Offender interviews.

PERFORMANCE STANDARD

1C. The agency is a responsible member of the community.

Outcome Measures:

- (1) Number of individual volunteers who provided services in the past 12 months

- (2) Total number of volunteer hours delivered in the past 12 months.
- (3) Total number of hours of community service delivered by offenders in the past 12 months
- (4) Total number of hours of community service delivered by offenders in the past 12 months divided by the average number of active offenders supervised in the past 12 months
- (5) Number of community entities (committees, boards, etc.) on which agency staff served in the past 12 months
- (6) Number of presentations (speeches, panels, etc.) provided to the community by agency staff in the past 12 months

EXPECTED PRACTICES

Public Information

4-APPFS-1C-01 (Ref. 3-3027, 3-3028) The agency has a public information process that fosters contact with the public and the media. Employees and media representatives are informed of the process.

Comment: At a minimum, the process should include the following: the identification of areas in the agency that are accessible to media representatives; the contact person for routine requests for information; identification of data and information protected by federal or state privacy laws, or federal and state freedom of information laws; special events coverage; news release policy; and the designation of individuals or positions within the agency authorized to speak with the media on behalf of the agency.

Protocols: Written policy and procedure. Public information program/plan. Public information materials. Media notification list.

Process Indicators: Interviews with media representatives. Documentation of public and media contact. Staff interviews.

4-APPFS-1C-02 (Ref. 3-3030) The agency investigates all citizen complaints regarding offenders. The complainant is informed of findings and if appropriate, of action taken.

Comment: None.

Protocols: Written policy and procedure. Investigation procedures and forms.

Process Indicators: Documentation of investigations and subsequent communication with complainant(s).

Citizen Involvement and Volunteers

Program Coordination

4-APPFS-1C-03 (Ref. 3-3117) The agency provides for volunteer and intern involvement in programs.

Comment: None.

Protocols: Written policy and procedure. Job descriptions. Volunteer/intern

recruiting plan.

Process Indicators: Volunteer/intern rosters and time records. Staff interviews.

4-APPFS-1C-04 (Ref. 3-3118) There is a system for recruitment, selection, training, term of service, termination of service, and definition of tasks, responsibilities, accountability, and authority of volunteers and interns.

Comment: None.

Protocols: Written policy and procedure. Volunteer/intern selection procedures and forms. Volunteer/intern training curricula. Volunteer/intern orientation materials. Volunteer/intern job descriptions.

Process Indicators: Volunteer/intern records. Documentation of training.

Recruitment, Screening and Selection

4-APPFS-1C-05 (Ref. 3-3120) The agency recruits volunteers and interns from all cultural and socioeconomic segments of the community.

Comment: None.

Protocols: Written policy and procedure. Volunteer/intern recruiting plan.

Process Indicators: Volunteer/intern records. Documentation of outreach activities.

Orientation and Training

4-APPFS-1C-06 (Ref. 3-3122) Prior to assignment, each volunteer and intern completes a documented orientation and/or training program.

Comment: None.

Protocols: Written policy and procedure. Volunteer/intern training curricula. Volunteer/intern orientation materials.

Process Indicators: Volunteer/intern records. Documentation of training.

4-APPFS-1C-07 (Ref. 3-3123) Volunteers and interns agree in writing to abide by all agency policies.

Comment: None.

Protocols: Written policy and procedure. Volunteer/intern agreement forms.

Process Indicators: Volunteer/intern records.

4-APPFS-1C-08 (Ref. 3-3124) The agency provides against liability or tort claims in the form of insurance or other legal provisions valid in the jurisdiction, when authorized by law.

Comment: None.

Protocols: Written policy and procedure. Risk management plan. Copies of laws.

Process Indicators: Insurance policies and other documentation of coverage.

2. OFFENDER

GOALS:

- *Offenders become law-abiding, productive members of the community.*
- *Maintain order with clear expectations of behavior and systems of accountability while treating offenders fairly and respecting their legal rights.*
- *Promote offender employment and educational / vocational readiness.*
- *Improve offender behaviors and competencies that contribute to immediate and long-term success in the community.*

PERFORMANCE STANDARD

2A. Offenders behave lawfully while under the supervision of the agency.

Outcome Measures:

Same as those described for Performance Standard 1A, *and*

- (1) Number of offenders who successfully completed supervision in the past 12 months divided by the number of offenders removed from supervision in the past 12 months (discharged and revoked). (Comment: “discharged and revoked” includes offenders successfully and unsuccessfully terminated from supervision)

EXPECTED PRACTICES

Assessment

4-APPFS-2A-01 (Ref. 3-3125) The agency's mission statement affirms that the supervision program is to provide necessary services to the offender with the goal of reducing the probability of continued criminal behavior on the part of the offender.

Comment: None.

Protocols: Written policy and procedure. Mission statement.

Process Indicators: Staff interviews.

4-APPFS-2A-02 (Ref. 3-3130) The agency has an objective assessment process that identifies offender programming needs, risk of reoffending and level of supervision. There are provisions for regular review. The assessment process includes the following:

- **an initial assessment of each offender using a standardized and validated assessment**
- **tool;**
- **additional assessments or evaluations**
- **personal interview with the offender**
- **development of objectives that address community safety and offender needs**
- **assessment or reassessment results are recorded in the case file and**
- **communicated with the offender.**

Comment: Additional assessments or evaluations may include such things as mental health and substance abuse screening tools. Regular reviews should be

consistent with the complexity of the offender's program and the length of supervision.

Protocols: Written policy and procedure. Assessment forms and procedures.

Process Indicators: Assessment records.

4-APPFS-2A-03 (Ref. 3-3130, 3-3131) Offenders are placed in the appropriate supervision category within 45 days of the offender being placed on supervision. Offenders are reassessed as needed and reassessment reviews are documented in chronological order. Adjustments to the individual plan are made based on reassessment, and are made in accordance with the offender's performance in the community.

Comment: None.

Protocols: Written policy and procedure. Assessment forms and procedures.

Process Indicators: Assessment records. Offender records.

4-APPFS-2A-04 (Ref. 3-3210) Upon receiving notification that a high risk offender has been placed on community supervision, an officer initiates contact with the offender within two working days, and conducts an initial supervision interview within five working days or prior to release from confinement. An initial interview for all other offenders shall be conducted within 30 days of being placed on community supervision.

Comment: Agencies should determine what constitutes a "high risk offender".

Protocols: Written policy and procedure.

Process Indicators: Offender records.

4-APPFS-2A-05 (Ref. 3-3133) Consistent with law in the jurisdiction, there is policy defining when and how victim input is sought before a probation/parole officer requests the court or the releasing authority to add, remove, or modify any of the court-ordered special conditions of supervision.

Comment: None.

Protocols: Written policy and procedure. Victim(s) notification procedures and forms.

Process Indicators: Documentation of victim(s) notification.

Targeted Interventions

4-APPFS-2A-06 (New) Offenders are provided with interventions targeted to factors that relate to their individual criminal behavior and attitudes.

Comment: None.

Protocols: Written policy and procedure. Offender case management and program planning forms and procedures.

Process Indicators: Documentation of program planning.

4-APPFS-2A-07 (New) The agency supports supervision strategies and programs that have been scientifically demonstrated to enhance compliance with court or releasing authority ordered conditions, and to reduce criminal behavior.

Comment: There is a growing body of research that supports the use of "evidence based practices" and that some supervision strategies are more effective than others at changing offender behavior. With resources scarce, agencies should focus their efforts on those strategies that are most likely to be effective in promoting public safety and offender integration.

Protocols: Written policy and procedure. Offender case management and program planning forms and procedures.

Process Indicators: Documentation of program planning.

Supervision/Service Plan

4-APPFS-2A-08 (Ref. 3-3132 and 3-3136) An individualized supervision plan is developed for each offender. This plan is reviewed and approved by a supervisor. The offender receives a copy of the plan. The plan includes as appropriate:

- **conditions of supervision;**
- **the appropriate level of supervision as determined by the offender's risk and need;**
- **objectives to be met by the offender and the field officer; and**
- **services that address the offenders' needs.**

Comment: higher risk offenders should have a more comprehensive supervision plan.

Protocols: Written policy and procedure. Assessment forms and procedures.

Process Indicators: Review of individualized supervision plans (offender records).

4-APPFS-2A-09 (New) Staff and offender jointly develop and complete the individualized supervision plan within 60 days of disposition. The plan includes measurable criteria of expected behavior and accomplishments, a time schedule for achieving specific goals, and scheduled progress reviews. The plan is documented with staff and offender signatures.

Comment: To provide individualized care, a personalized plan for each offender should be developed. Offenders should have input into planning, problem solving, and decision making related to their participation in the program.

Protocols: Written policy and procedure. Format for offender supervision plan. Offender handbook/rules.

Process Indicators: Signed offender supervision plans. Offender records. Documentation of offender participation.

4-APPFS-2A-10 (New) Any change in a individualized supervision plan is reviewed and discussed with the offender. This review is dated and documented by staff and offender signatures.

Comment: None.

Protocols: Written policy and procedure. Offender handbook/rules.

Process Indicators: Signed and dated review documentation.

4-APPFS-2A-11 (Ref. 3-3138, 3-3139) Agency policy governs the time frame for the review, re-assessment and modification of the individualized plan and level of supervision. The offender's progress in achieving objectives is documented.

Comment: Higher risk offenders should be reviewed more frequently than lower risk cases. Supervisory review should be dependant of risk level or complications.

Protocols: Written policy and procedure. Assessment forms and procedures.

Process Indicators: Documentation of review with offender.

Supervision

4-APPFS-2A-12 (Ref. 3-3137) When specific services ordered by the court or releasing authority are not available, field staff notifies the court or releasing authority and request guidance.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Offender records.

4-APPFS-2A-13 (Ref. 3-3144) A closing summary or a final progress report is prepared that summarizes the performance of the offender during the entire period of supervision. The closing summary or final progress report remains in the offender's supervision file.

Comment: None.

Protocols: Written policy and procedure. Format for final report/summary.

Process Indicators: Offender records.

4-APPFS-2A-14 (Ref. 3-3145) If permitted by law, early termination may be recommended to the court or releasing authority, when there is compliance with the conditions of supervision.

Comment: None.

Protocols: Written policy and procedure. Format for recommendation.

Process Indicators: Offender records.

4-APPFS-2A-15 (Ref. 3135) There is agency staff available twenty-four hours a day. Offenders should be made aware of how to access the twenty-four-hour services.

Comment: Effective supervision of offenders requires that some level of services be available at all time.

Protocols: Policy and Procedure.

Process Indicators: Agency records. Offender records.

Interstate Compact(s)

4-APPFS-2A-16 (Ref. 3-3180 - 3-3191) The transfer of supervision of offenders to and from other jurisdictions is governed by policies that are in accordance with the Interstate Compact for Adult Offender Supervision.

Comment: None.

Protocols: Written policy and procedure. Interstate Compact Agreement.

Process Indicators: Agency records. Offender records.

PERFORMANCE STANDARD

2B. Offenders comply with conditions ordered by the sentencing court or releasing authority.

Outcome Measures:

- (1) Number of offenders found in violation of a new offense during the past twelve months, divided by the total agency caseload during the past twelve months.
- (2) Number of offenders found in violation of a technical violation only during the past twelve months, divided by the total agency caseload during the past twelve months.
- (3) Number of offenders who absconded during the past 12 months, divided by the number of offenders who were under supervision in the past 12 months.

EXPECTED PRACTICES

Conditions of Supervision

4-APPFS-2B-01 (Ref. 3-3134) Conditions of supervision are furnished in writing to offenders. Offenders are required to sign the conditions, indicating understanding and willingness to comply with them. The conditions are explained by an officer. If a communication problem (illiteracy, foreign language) prevents an offender from understanding the conditions, an officer assists in explaining the conditions. Conditions are translated to the language spoken by the offender.

Comment: Every effort should be made to provide the offender written conditions in the language spoken by the offender.

Protocols: Written policy and procedure. Form/format for conditions. Acknowledgement form.

Process Indicators: Offender records.

Investigation of Violations

4-APPFS-2B-02 (Ref. 3-3157) All alleged violations of the conditions are investigated and the results are documented in the case record. Substantiated violations are reviewed by the supervisor or as indicated by agency policy.

Comment: None.

Protocols: Written policy and procedure. Violations forms.

Process Indicators: Offender records. Documentation that supervisor has reviewed violations.

4-APPFS-2B-03 (Ref. 3-3156, 3-3158 and 3-3159) In accordance with law and with authorization of the court or releasing authority, agency policy dictates what types of violations must be reported to the court or releasing authority and what types may be resolved internally.

Comment: Serious crimes and other major violations should be reported to the court or releasing agency. The least egregious violations should allow for officer discretion.

Protocols: Written policy and procedure.

Process Indicators: Offender records. Staff interviews.

Violation Warrants

4-APPFS-2B-04 (Ref. 3-3174 and 3-3173) Warrants for the arrest and detention of offenders are only requested upon adequate evidence of:

- serious and/or repetitive violation of the conditions; or
- commission of a new offense, or
- risk to public safety posed by the offender's continued presence in the community.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Offender records.

Probable Cause Hearings

Timing

4-APPFS-2B-05 (Ref. 3-3160) When an offender is arrested and detained on a probation or parole warrant, or the warrant is lodged as a detainer on pending criminal charges, a Probable Cause Hearing (PCH) is held within 14 calendar days of the arrest or lodging of the detainer. The PCH is not required if there has been a conviction or finding of probable cause by a court on the new charge.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Offender records. Agency records.

Location

4-APPFS-2B-06 (Ref. 3-3161) The Probable Cause Hearing is held in or near the community where the offense is alleged to have occurred, or where the offender was taken into custody.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records. Offender records.

Postponement or Waiver

4-APPFS-2B-07 (Ref. 3-3162) The Probable Cause Hearing may be postponed for

good cause. The offender may waive the hearing if informed of due process rights pertaining to the hearing and the consequences of the waiver.

Comment: None.

Protocols: Written policy and procedure. Waiver form.

Process Indicators: Offender records. Agency records.

Notice

4-APPFS-2B-08 (Ref. 3-3165) The offender is notified in writing of the Probable Cause Hearing at least three days in advance. The notice includes the time and place of the

hearing, and the offender's right to:

- disclosure of evidence;
- present evidence and favorable witnesses;
- confront adverse witnesses;
- effective assistance of counsel, appointed if indigent; and
- request postponement of the hearing.

Comment: Every effort should be made to provide the offender written hearing documentation in the language spoken by the offender.

Protocols: Written policy and procedure. PCH Notice Form.

Process Indicators: Offender records. Agency records.

Hearing Officer

4-APPFS-2B-09 (Ref. 3-3163 and 3-3164) Administrative staff or a field officer may, at the request of the releasing authority, conduct the Probable Cause Hearing and make findings as to the probable cause for revocation.

Comment: It is preferable that the individual conducting the hearing has no prior involvement with the case understanding that this may not be possible in smaller departments.

Protocols: Written policy and procedure.

Process Indicators: Agency records.

Preliminary Findings

4-APPFS-2B-10 (Ref. 3-3166) The hearing officer conducting the Probable Cause Hearing determines whether there is probable cause to revoke and hold the offender for final processing. When authorized by the releasing authority, the hearing officer may make the provisional revocation decision, or may report the findings and make a recommendation to the releasing authority. The hearing officer issues a verbal decision or recommendation immediately after the hearing and provides a written notice of decision to the offender within 21 days of the hearing.

Comment: None.

Protocols: Written policy and procedure. PCH Decision Notice Form.

Process Indicators: Offender records. Agency records.

Sanctioning Violations

4-APPFS-2B-11 (Ref. 3-3168 and 3-3167) When violations occur, alternatives to revocation and incarceration are considered and utilized to the extent that public safety allows.

Comment: None.

Protocols: Written policy and procedure. List of alternatives.

Process Indicators: Offender records. Agency records. Staff interviews.

Absconders

4-APPFS-2B-12 (Ref. 3-3171) When permitted by law, absconders who have committed no new crimes and who do not pose an undue public safety risk, may be continued under supervision in the community.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Offender records. Agency records.

PERFORMANCE STANDARD

2C. Parole and Post Release Supervision from Prison (Applicable only to agencies that perform these functions)

Outcome Measures: None

EXPECTED PRACTICES

4-APPFS-2C-01 (Ref. 3-3194) The supervising agency requests pertinent information about a prospective releasee in advance of the release date.

Comment: None.

Protocols: Written policy and procedure. Releasee notification procedures.

Process Indicators: Agency records (requests for information). Offender records.

4-APPFS-2C-02 (Ref. 3-3193) As permitted by law, agency policy specifies that no inmate is released until the agency has verified the individual plan for the inmate's release. The plan is reviewed and approved by the supervisor.

Comment: None.

Protocols: Written policy and procedure. Format for individual plan.

Process Indicators: Offender records. Agency records.

4-APPFS-2C-03 (Ref. 3-3199) Supervising officers may approve releasees' reasonable delays en route to approved programs.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Offender records.

4-APPFS-2C-04 (Ref. 3-3197) The supervising agency participates in programs that include provisions for graduated or partial release when allowable.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Offender records.

4-APPFS-2C-05 (Ref. 3-3200) The supervising agency encourages the use of community residential centers for pre-release programs and for crisis situations.

Comment: None.

Protocols: Written policy and procedure. Agency budget.

Process Indicators: Financial records. Offender records.

4-APPFS-2C-06 (Ref. 3-3205) The supervising agency provides assistance and services to offenders who have been discharged and who request such help.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Offender records. Offender interviews.

PERFORMANCE STANDARD

2D. Offenders are successful in the community during their sentences and after discharge.

Outcome Measures:

- (1) Number of offenders who were employed on a specified day in the past 12 months (single day count), divided by the total agency active caseload on that day
- (2) Number of offenders who were employed upon discharge in the past 12 months divided by the number of offenders discharged in the past 12 months
- (3) Number of offender substance abuse tests for which the results were negative in the past 12 months divided by the number of tests administered in the past 12 months
- (4) Number of offenders who showed improvement as measured by the objective assessment instrument prior to release from supervision in the past 12 months divided by the total agency caseload in the past 12 months (improvement from initial assessment to final assessment)
- (5) Number of offenders referred for drug treatment in the past 12 months, divided by the
number of offenders who successfully completed drug treatment in the past 12 months.
- (6) Number of offenders referred to education programs in the past 12 months
- (7) Number of offenders referred to behavioral programs in the past 12 months, divided

by the number of offenders successfully completing behavioral programs in the past 12 months

EXPECTED PRACTICES

4-APPFS-2D-01 (Ref. 3-3150) The agency maintains a current inventory of community agencies that provide financial and other assistance to offenders. This inventory is readily available to field staff and offenders.

Comment: None.

Protocols: Written policy and procedure. Agency inventory. Evaluation criteria.

Process Indicators: Observation. Agency records. Staff interviews.

Education/Employment

4-APPFS-2D-02 (Ref. 3-3152) The agency devotes specific resources to assist employable offenders in finding suitable employment.

Comment: Since employment is correlated with reduced offending, agencies should assist offenders who are able to work in finding employment.

Protocols: Written policy and procedure. Agency inventory.

Process Indicators: Observation. Agency records. Staff interviews.

4-APPFS-2D-03 (Ref. 3-3154) The agency supports the enrollment and support of offenders in educational programs and vocational training.

Comment: None

Protocols: Written policy and procedure. Agency inventory.

Process Indicators: Observation. Agency records. Staff interviews.

Drug Testing

4-APPFS-2D-04 (New) If the agency conducts drug testing, policies are provided for the collection, processing and disposal of samples, the interpretation of results, and the response to violations. The policy should include chain of custody and preservation of evidence procedures.

Comment: None.

Protocols: Written policy and procedure. Written instructions.

Process Indicators: Offender records.

PERFORMANCE STANDARD

2E. Offenders comply with all conditions of the court or releasing authority.

Outcome Measures:

- (1) Number of offenders who had “stay away from” or “no contact with” or “no violence toward” orders in the past 12 months, divided by the number of offenders who violated these orders in the past 12 months

- (2) Amount of restitution collected in the past 12 months
- (3) Amount of restitution ordered in the past 12 months
- (4) Number of offenders whose cases were closed with total restitution paid in the past 12 months divided by the number of offenders whose cases were closed with restitution ordered in the past 12 months

EXPECTED PRACTICES

4-APPFS-2E-01 (New) The agency has a series of graduated responses to address compliance and non-compliance with conditions of supervision. These include proportionate incentives for compliance and sanctions for non-compliance with conditions of supervision.

Comment: None.

Protocols: Written policy and procedure. Offender handbook/rules.

Process Indicators: Offender interviews. Offender records.

PERFORMANCE STANDARD

2F. Offenders take responsibility for their actions.

Outcome Measures:

- (1) Amount of court costs, fines, and fees collected in the past 12 months, divided by the number of offenders who had court cost, fine, and fee obligations in the past 12 months
- (2) Number of offenders whose cases were closed with total costs, fees, and fines paid in the past 12 months, divided by the number of offenders whose cases were closed with costs, fees, and fines ordered in the past 12 months.
- (3) Total number of hours of community service performed by offenders in the past 12 months divided by the total number of offenders ordered to perform community service work for the past 12 months
- (4) Total number of offenders who performed community service work in the past 12 months divided by the total number of active offenders supervised for the past 12 months
- (6) Total number of offenders who participated in victim(s) awareness programs in the past 12 months divided by the total number of active offenders supervise for the past 12 months

See also Outcome Measures for 2E

EXPECTED PRACTICES

4-APPFS-2F-01 (New) The agency provides services and opportunities that encourage offenders to take responsibility for their actions. Opportunities are based upon victim(s) and community input and are fashioned in a way that seeks to ameliorate the harm done.

Comment: Opportunities may include paying restitution, performing community service hours, and paying court obligations such as fines and court costs.

Protocols: Written policy and procedure. Offender handbook/rules. Restorative justice program.

Process Indicators: Offender records. Documentation of restitution paid, community service provided. Documentation of satisfaction of offender obligations (e.g. fines, court costs, family support).

4-APP-2F-02 (New) The agency places priority on services and opportunities that encourage offenders to make restitution to the victim(s) of their crime(s) and/or to the community.

Comment: None.

Protocols: Written policy and procedure. Restorative justice program.

Process Indicators: Offender records. Documentation of restitution paid. Documentation of community service provided.

PERFORMANCE STANDARD

2G. Offenders are treated fairly.

Outcome Measures:

- (1) Number of offender grievances regarding discrimination in the past 12 months divided by the total agency case load in the past 12 months
- (2) Number of offender grievances regarding discrimination resolved in favor of offenders in the past 12 months divided by the total number of offender grievances filed regarding discrimination in the past 12 months
- (3) Number of other offender grievances filed in the past 12 months divided by the total agency caseload in the past 12 months
- (4) Number of other offender grievances resolved in favor of offenders in the past 12 months divided by the total number of other grievances filed in the past 12 months
- (5) Number of adverse judgments or consent decrees against the agency by offenders in the past 12 months

EXPECTED PRACTICES

4-APPFS-2G-01 (New) Agency policy prohibits harassment and discrimination of offenders based on race, religion, national origin, gender, sexual orientation, disability, or political views.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Interviews. Grievances.

4-APPFS-2G-02 (Ref. 3-3179) A grievance procedure that includes at least one level of appeal is available to all offenders. The grievance procedure is evaluated at least annually to determine its efficiency and effectiveness. The quantity and

nature of offender grievances are aggregated and analyzed annually. All offenders are informed of the grievance program available to them at the time of the initial interview.

Comment: A grievance procedure is an administrative means for the expression and resolution of offender problems. Analysis of grievances allows the facility to identify problem areas and to take corrective action in order to prevent grievances.

Protocols: Written policy and procedure. Offender handbook/rules. Grievance procedures.

Process Indicators: Offender records. Documentation of grievances. Documentation of annual review and analysis.

3. AGENCY

GOAL: Administer and manage the agency in a professional and responsible manner, consistent with legal requirements.

PERFORMANCE STANDARD

3A. Staff, contractors, interns, and volunteers perform duties properly.

Outcome Measures:

- (1) Number of grievances against staff alleging improper conduct that were upheld or found valid in the past 12 months divided by the number of formal complaints against staff that were filed in the past 12 months
- (2) Number of court decisions that found staff had acted improperly in the past 12 months
- (3) Number of administrative decisions that found staff had acted improperly in the past 12 months
- (4) Number of hours of professional development attended by staff in the past 12 months, divided by the number of full-time equivalent professional staff in the past 12 months

EXPECTED PRACTICES

Qualifications

4-APPFS-3A-01 (Ref. 3-3049) An entry-level probation or parole officer possesses a minimum of a bachelor's degree or has completed a career development program that includes work-related experience, training, or college credits providing a level of achievement that is equivalent to a bachelor's degree.

Comment: None.

Protocols: Written policy and procedure. Job descriptions.

Process Indicators: Staff records.

Criminal Record Check

4-APPFS-3A-02 (Ref. 3-3058) In accordance with state and federal laws, a criminal record check is conducted on all new or prospective employees, contract personnel, interns, and volunteers to ascertain whether there may be criminal convictions that would affect job performance or delivery of services.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Staff/contractor/intern/volunteer records.

Physical Examination

4-APPFS-3A-03 (Ref. 3-3059) Employees whose jobs involve use of force or include power of arrest receive a physical examination prior to job assignment.

Comment: None.

Protocols: Written policy and procedure

Process Indicators: Staff records

Orientation

4-APPFS-3A-04 (Ref. 3-3082) All new, full-time employees receive at least 40 hours of orientation before undertaking their assignments. Orientation includes at a minimum the following: orientation to the mission goals, policies, and procedures of the agency; working conditions and regulations; office and field safety; employees' rights and responsibilities; code of ethics; an overview of the criminal justice system; and the particular job requirements.

Comment: None.

Protocols: Written policy and procedure. Orientation curriculum and materials.

Process Indicators: Staff interviews.

Training and Staff Development

Coordination and Supervision

4-APPFS-3A-05 (Ref. 3-3072) The agency's training program for all employees is specifically planned, coordinated, and supervised by a qualified employee at the supervisory level, and is reviewed annually.

Comment: None.

Protocols: Written policy and procedure. Job descriptions.

Process Indicators: Agency records. Documentation of annual review.

4-APPFS-3A-06 (Ref. 3-3073) Training programs are based on needs assessment and a job/task analysis, incorporate measurable performance-based learning objectives, and are updated annually.

Comment: None.

Protocols: Written policy and procedure. Job/task analysis format.

Process Indicators: Agency records. Documentation of annual review.

4-APPFS-3A-07 (Ref. 3-3074) At a minimum, agency training personnel complete a 40-hour train-the-trainers course. All persons who deliver training receive instruction in adult learning theory.

Comment: Agency personnel whose primary duty should complete the train the training course. Subject matter experts asked to conduct training should be familiar with adult learning theory.

Protocols: Written policy and procedure. Training curriculum and materials.

Process Indicators: Staff records. Training records.

4-APPFS-3A-08 (Ref. 3-3075) The training curriculum is developed based on clear, concise, and measurable written statements of intended learning outcomes. The content and instructional methods selected for a training program are consistent with the stated learning objectives, sequenced to facilitate learning, and incorporate strategies to evaluate the learning.

Comment: None.

Protocols: Written policy and procedure. Curriculum format.

Process Indicators: Agency records. Training records.

4-APPFS-3A-09 (Ref. 3-3077) The agency administrator annually assesses personnel needs and plans for recruitment, training and staff development.

Comment: None.

Protocols: Written policy and procedure. Recruitment, training and staff development plans.

Process Indicators: Agency records. Documentation of annual review.

Training

Task Analysis

4-APPFS-3A-10 (New) The agency uses a statistically-valid job/task analysis to determine the knowledge, skills and abilities needed to perform each job. This analysis is reviewed at least annually.

Comment: A job/ task analysis identifies core tasks that comprise each assessment of job within the agency. Core tasks are usually determined by the frequency that tasks are implemented and the "criticality" of each task (e.g. the consequences of improperly performing the task).

Protocols: Written policy and procedure. Job/task analysis.

Process Indicators: Agency records. Documentation of annual review.

Agency Training Plan

4-APPFS-3A-11 (New) The agency develops and implements a comprehensive training plan that describes the methods to be used to ensure that each staff

member, intern, and volunteer has the needed knowledge, skills, and abilities to perform their assigned duties. The training plan is reviewed at least annually and is updated as needed.

Comment: The training plan should identify all aspects of training, including, but not limited to: curriculum development; training methods; instructor qualifications; trainee evaluation; and required resources.

Protocols: Written policy and procedure. Training plan.

Process Indicators: Training records. Documentation of annual review.

Space and Equipment

4-APPFS-3A-12 (Ref. 3-3081) Space and equipment is available for required training and staff development programs.

Comment: None.

Protocols: Written policy and procedure. Facility plans/specifications.

Process Indicators: Observation. Staff interviews.

Training Requirements

4-APPFS-3A-13 (New) All staff, including promoted or reassigned staff, receive the training necessary to ensure that they possess the requisite knowledge, skills and abilities before assuming assigned duties.

Comment: Staff highly skilled in specific areas may need additional training, so it is important to evaluate the knowledge, skills and ability of staff.

Protocols: Written policy and procedure. Training plan(s).

Process Indicators: Training records. Staff records.

Administrative Staff

4-APPFS-3A-14 (Ref. 3-3083) All newly-appointed supervisors and managers receive 40 hours of supervisory training within one year of their appointment. This training covers at a minimum the following areas: supervisory skills, general management; labor law; employee-management relations; relationships with other service agencies, and evidence based practices for effective offender intervention. Forty hours of relevant training is received each year thereafter.

Comment: None.

Protocols: Written policy and procedure. Training curriculum and materials.

Process Indicators: Training records. Staff records.

Support Staff

4-APPFS-3A-15 (Ref. 3-3084) All clerical/support employees receive 16 hours of training during their first year of employment and at least 16 hours of training each year thereafter.

Comment: None.

Protocols: Written policy and procedure. Training curriculum and materials.

Process Indicators: Training records. Staff records.

Professional Staff

4-APPFS-3A-16 (Ref. 3-3085) All probation/parole officers and other professional employees receive 40 hours of training as soon as possible after their appointment but no later than one year, and 40 hours of training each year thereafter.

Comment: None.

Protocols: Written policy and procedure. Training curriculum and materials.

Process Indicators: Training records. Staff records.

Part-time Staff

4-APPFS-3A-17 (Ref. 3-3086) All part-time employees working less than 35 hours per week receive training appropriate to their assignment.

Comment: None.

Protocols: Written policy and procedure. Training curriculum and materials.

Process Indicators: Training records. Staff records.

Evaluation of Training

4-APPFS-3A-18 (Ref. 3-3078) The agency provides an ongoing formal evaluation of all pre-service, in-service, and specialized training programs, and completes an annual written evaluation report.

Comment: None.

Protocols: Written policy and procedure. Evaluation forms and procedures. Annual report.

Process Indicators: Training records. Staff interviews.

Staff Development

Continuing Education

4-APPFS-3A-19 (Ref. 3-3099) Employees are encouraged to continue their professional development.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Staff records. Documentation of staff education (credit hours earned).

Professional Development

4-APPFS-3A-20 (Ref. 3-3100) The agency encourages employees to attend professional meetings, seminars, and similar work-related activities and provides administrative leave and/or reimburses employees for expenses

connected with these activities.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Documentation of meetings and activities attended.

Specialized Training

Use of Firearms/Less Lethal Weapons

4-APPFS-3A-21 (Ref. 3-3087) (MANDATORY) The issuance of, and authorization to carry, firearms and/or less lethal weapons is governed in writing. This includes the requirements for an approved training course that covers the use of, safety, and care of the weapon and the constraints on its use. All personnel issued authorization to carry a firearm must demonstrate competency in its use at least annually.

Comment: The word *annually* in the practice refers specifically to a 12-month period rather than a calendar year.

Protocols: Written policy and procedure. Training curriculum and materials.

Process Indicators: Staff records. Training records.

4-APPFS-3A-22 (Ref 3-3087-1) All personnel authorized to carry a weapon other than a chemical agent receive a medical/physical evaluation, a mental health screening, and drug and alcohol screening prior to being issued such a weapon.

Comment: The term “mental health screening” refers to a review by a qualified, mental health professional of any history of psychological problems and examination of any current psychological problems to determine, with reasonable assurances, that the individual poses no significant risk to themselves or others.

Protocols: Written policy and procedure.

Process Indicators: Staff records

4-APPFS-3A-23 (New) Officers are trained in self defense techniques that are authorized by the agency. Training addresses the use of equipment authorized by the agency.

Comment: None.

Protocols: Written policy and procedure. Training curriculum.

Process Indicators: Staff records. Training records.

Reference Services

4-APPFS-3A-24 (Ref. 3-3080) Reference services are available to complement the training and staff development program.

Comment: Agency should make every effort to ensure officers have access to outside information.

Protocols: Written policy and procedure.

Process Indicators: Observation. Training records. Staff interviews.

Supervision

4-APPFS-3A-25 (Ref. 3-3126) There is a written workload formula that allocates work to field staff and supervisors to accomplish its stated goals.

Comment: Case load sizes will vary based on case types and job demands. Supervisor to staff ratios will be dependent on case types, staff experience and proximity of staff to supervisor.

Protocols: Written policy and procedure. Span of control criteria.

Process Indicators: Agency records.

4-APPFS-3A-26 (Ref. 3-3128) Field staff who have caseloads report to a designated supervisor who is trained in the supervisory function.

Comment: None.

Protocols: Written policy and procedure. Job descriptions. Organizational chart.

Process Indicators: Agency records.

4-APPFS-3A-27 (Ref. 3-3129) Field supervision is systematically reviewed by the supervisor from both an administrative and case management perspective. The reviews include case reviews, observation, and the provision of feedback to field staff.

Comment: Administrative management includes case files, data entry and written reports. Case management includes offender interaction and program referrals.

Protocols: Written policy and procedure. Review forms and procedures.

Process Indicators: Agency records. Offender records.

Support Services

4-APPFS-3A-28 (Ref. 3-3050) The agency provides the administrative and clerical support needed to accomplish its stated goals.

Comment: None.

Protocols: Written policy and procedure. Agency staff roster.

Process Indicators: Staff interviews.

Channels of Communication

4-APPFS-3A-29 (Ref. 3-3021) The agency has a structured communication process that facilitates the timely exchange of information with, and between, all levels of employees.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records. Staff interviews.

PERFORMANCE STANDARD

3B. Staff, contractors, interns, and volunteers are protected from harm.

Outcome Measures:

- (1) Number of injuries to staff requiring medical treatment in the past 12 months, divided by the total number of full-time equivalent staff in the past 12 months

EXPECTED PRACTICES

4-APPFS-3B-01 (Ref. 3-3092) (MANDATORY) Where officers are authorized to carry firearms and/or less lethal weapons in the performance of their duties, policy specifies those situations where agency personnel may carry and use these weapons.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records.

4-APPFS-3B-02 (Ref. 3-3088) (MANDATORY) If staff are authorized to carry firearms and/or less lethal weapons, procedures govern use, including the following:

- weapons are subjected to stringent safety regulations and inspections.
- staff to whom weapons are issued follow procedures that specify methods for ensuring the security of weapons.
- staff are instructed to use deadly force only after other actions have been tried and
- found ineffective, unless the staff believes that a person's life is immediately
- threatened.
- in the performance of their duty, staff only use firearms and/or less lethal weapons
- approved by the agency and use them only as directed by agency policy.

Comment: None.

Protocols: Written policy and procedure. Inspection forms and procedures. Training curriculum.

Process Indicators: Agency records. Staff records.

4-APPFS-3B-03 (Ref. 3-3089) (MANDATORY) Prior to issuance of a firearm and/or less lethal weapons, any staff member authorized to carry these weapons receives appropriate training. This training covers the use, safety, care, and constraints involved in the use of these weapons.

Comment: None.

Protocols: Written policy and procedure. Training curriculum.

Process Indicators: Staff records. Training records.

4-APPFS-3B-04 (Ref. 3-3090) A supervisor may revoke the authorization to carry a firearm and/or less lethal weapon when reasonable cause exists. If the weapon belongs to the agency, it is seized and secured.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Staff interviews. Agency records.

4-APPFS-3B-05 (New) Officers notify the agency of physical and pharmacological conditions that could affect the ability to perform their duties or carry a firearm and/or less lethal weapon safely. The agency takes steps consistent with law with respect to such disclosure and adopts and implements necessary procedures to safeguard such information.

Comment: It is important to realize that all staff may be at risk of injury or harm if physical and pharmacological conditions exist.

Protocols: Written policy and procedure.

Process Indicators: Staff records.

4-APPFS-3B-06 (Ref. 3-3093) All officers are trained to implement the use of force continuum/matrix that is authorized by the agency. Training addresses the practices and use of equipment authorized by the agency.

Comment: None.

Protocols: Written policy and procedure. Training curriculum.

Process Indicators: Staff records. Training records.

Office Safety

4-APPFS-3B-07 (New) The agency has an office safety plan that includes training, office configuration and public contact.

Comment: Office configuration should optimize staff safety. Public contact should include how and when offenders and other visitors may be screened for weapons or other safety considerations.

Protocols: Written policy and procedure. Training curriculum.

Process Indicators: Observation of office layout.

Field Visits

4-APPFS-3B-08 (New) The agency has a field safety plan that includes communication with

the agency and/or other law enforcement agencies.

Comment: It is important to know the whereabouts of the officers at all times and that the officers have the ability to contact immediate assistance if needed.

Protocols: Written policy and procedure. Training curriculum.

Process Indicators: Agency records

Arrest

4-APPFS-3B-09 (Ref. 3-3096) A pre-arrest briefing is conducted prior to a planned arrest, with all officers and other law enforcement agencies participating in the action.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records.

4-APPFS-3B-10 (Ref. 3-3170) The types of action required to locate and recover absconders are specified by the agency and are disseminated to all staff members.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records.

Search/Contraband

4-APPFS-3B-11 (Ref. 3-3177) Agency policy governs the search of offenders, chain of custody and disposition of seized items, and preservation of evidence.

Comment: Searches of offenders should comply with legal standards. All evidence seized should follow a prescribed chain of custody plan to ensure its value as evidence and to protect the agency and staff from allegations of wrongdoing.

Protocols: Written policy and procedure.

Process Indicators: Agency records.

PERFORMANCE STANDARD

3C. Staff, contractors, interns, and volunteers are professional, ethical and accountable.

Outcome Measures:

- (1) Number of disciplinary actions against staff in the past 12 months divided by the number of full-time equivalent staff positions in the past 12 months
- (2) Number of staff terminated for disciplinary violations in the past 12 months divided by the number of full-time equivalent staff positions in the past 12 months
- (3) [Where such testing occurs] Number of staff, contractor, intern, and volunteer substance abuse tests passed in the past 12 months divided by the number of substance abuse tests administered in the past 12 months

See also Outcome measures for 3A

EXPECTED PRACTICES

Drug Free Workplace

4-APPFS-3C-01 (Ref. 3-3060) The agency supports a drug-free workplace for all employees. The agency's drug-free workplace policy is reviewed at least annually and includes at a minimum the following:

- prohibition of the use of illegal drugs

- prohibition of possession of any illegal drug except in the performance of official duties
- the procedures to be used to ensure compliance
- the opportunities available for treatment and/or counseling for drug abuse
- the penalties for violation of the policy

Comment: None.

Protocols: Written policy and procedure. Drug-free workplace policy. Training curriculum.

Process Indicators: Staff records. Staff interviews.

Code of Ethics

4-APPFS-3C-02 (Ref. 3-3068 and 3-3069) The agency has a written code of ethics that it provides to all staff. At a minimum, the code:

- prohibits staff, contractors, interns, and volunteers from using their official positions to secure privileges for themselves or others;
- prohibits staff, contractors, interns, and volunteers from engaging in activities that constitute a conflict of interest;
- prohibits staff, contractors, interns, and volunteers from knowingly accepting any gift or gratuity from, or engaging in personal business transactions that would provide them a benefit not available to the general public or sexual relations with an offender or an offender's immediate family; and
- defines acceptable behavior in the areas of campaigning, lobbying or political activities.

All staff, contractors, interns, and volunteers are held accountable for compliance with the code of ethics.

Comment: None.

Protocols: Written policy and procedure. Code of Ethics.

Process Indicators: Staff records. Staff interviews.

Confidentiality of Information

4-APPFS-3C-03 (Ref. 3-3070) The agency ensures confidentiality of information, consistent with state and federal laws and regulations. Staff, contractors, interns, volunteers and others who work with offenders are trained in and agree, in writing, to abide by confidentiality requirements.

Comment: Agencies are encouraged to develop a privacy policy regarding information sharing. Policy should include who has access to information that is shared between agencies.

Protocols: Written policy and procedure. Confidentiality policy.

Process Indicators: Staff records. Agency records.

PERFORMANCE STANDARD

3D. The agency is administered efficiently and responsibly.

Outcome Measures:

- (1) Number of material audit findings by an independent financial auditor at the conclusion of the last audit
- (2) Number of objectives achieved in the past 12 months, divided by the number of objectives established in the past 12 months

EXPECTED PRACTICES

General Administration

4-APPFS-3D-01 (Ref. 3-3001, 3-3002) Responsibilities and functions of the agency are specified by law or are administratively defined.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records.

4-APPFS-3D-02 (Ref. 3-3003) The agency is administered by a single administrative officer whose authority, responsibility and function are specified by law or is administratively defined by the parent organization.

Comment: None.

Protocols: Written policy and procedure. Organizational chart. Job descriptions.

Process Indicators: Agency records.

Table of Organization

4-APPFS-3D-03 (Ref. 3-3016) There is an organizational chart and description that reflect the current structure of authority, responsibility, and accountability within the agency and that is reviewed at least annually and updated as needed.

Comment: None.

Protocols: Written policy and procedure. Organizational chart.

Process Indicators: Agency records. Documentation of annual review.

Policy and Goal Formulation

4-APPFS-3D-04 (Ref. 3-3008) The agency administrator ensures the preparation of a mission statement and long range goals that are reviewed at least annually and updated if needed. The agency documents practical and specific plans to achieve its long-range goals.

Comment: None.

Protocols: Written policy and procedure. Mission statement. Goals and plan.

Process Indicators: Agency records. Documentation of annual review.

4-APPFS-3D-05 (Ref. 3-3005 and 3-3007) The agency administrator, with input from staff, is responsible for ensuring the formulation of goals, establishing policies and priorities related to them, and translating the goals into measurable objectives for accomplishment by field staff. This planning process addresses the supervision and service needs of the agency.

Comment: None.

Protocols: Written policy and procedure. Plan, objectives.

Process Indicators: Agency records.

4-APPFS-3D-06 (Ref. 3-3006 and 3-3005) All levels of staff participate in the development and review of the organizational mission, goals, policies, procedures, rules and regulations.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Documentation of staff participation.

4-APPFS-3D-07 (Ref. 3-3115) There is an internal system for assessing and documenting achievement of goals and objectives. Performance is reviewed at least annually, and program changes are implemented in response to findings as necessary.

Comment: None.

Protocols: Written policy and procedure. Internal monitoring system and forms. Inspection forms.

Process Indicators: Inspection/internal audit reports. Documentation of corrective actions taken.

Monitoring and Assessment

4-APPFS-3D-08 (Ref. 3-3023) There is an internal system to monitor operations and programs at least annually through inspections and reviews by the agency administrator or designated staff.

Comment: None.

Protocols: Written policy and procedure. Internal monitoring system.

Process Indicators: Agency records. Documentation of annual review.

4-APPFS-3D-09 (Ref. 3-3024) The agency administrator publishes a report at least biennially that includes goals, objectives, outcome measurements, programs, budget, major developments, and plans. The report also describes services furnished to the courts, releasing authority, offenders and the community.

Comment: None.

Protocols: Written policy and procedure. Annual report format.

Process Indicators: Agency records (annual report).

Facilities and Equipment

4-APPFS-3D-10 (Ref. 3-3004) Field offices are located in areas, with community input, that are optimally accessible to offenders' places of residence and employment, to transportation networks and to other community agencies.

Comment: Maximum involvement with the community is vital to the success of field supervision programs. The strategic location and appropriate design of facilities

maximize staff performance and service delivery.

Protocols: Written policy and procedure.

Process Indicators: Observation. Staff interviews. Offender interviews.

4-APPFS-3D-11 (Ref. 3-3025) Staff is provided with equipment necessary to perform their assigned duties. All equipment is maintained in good working order and is replaced as needed. There is a review of needs at least annually.

Comment: None.

Protocols: Written policy and procedure. Equipment inventory.

Process Indicators: Observation. Agency records. Staff interviews. Documentation of annual review.

4-APPFS-3D-12 (Ref. 3-3026) The agency provides adequate facilities for all agency operations. Facility needs are reviewed at least annually.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Observation. Agency records. Staff interviews. Documentation of annual review.

Qualifications

4-APPFS-3D-13 (Ref. 3-3013) The qualifications, authority, tenure and responsibilities of the agency administrator are specified by law, rules or regulations, or are otherwise administratively defined.

Comment: None.

Protocols: Written policy and procedure. Administrator authority.

Process Indicators: Agency records.

4-APPFS-3D-14 (Ref. 3-3014) The qualifications of the agency administrator are specified in writing by the appointing authority and include, at a minimum, a bachelor's degree, five years of related experience, and demonstrated administrative ability and leadership.

Comment: None.

Protocols: Written policy and procedure. Job description and qualifications.

Process Indicators: Staff records.

4-APPFS-3D-15 (Ref. 3-3018) The agency collaborates with colleges and universities to provide educational opportunities, internships and research.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Documentation of collaboration.

Performance Reviews

4-APPFS-3D-16 (Ref. 3-3061) There is a written annual performance review of all employees that is based upon defined criteria and is reviewed and discussed with the employee. This review includes a review of the knowledge, skills and abilities that are required for each employee's job assessment, and identification of additional education or training that is needed.

Comment: None.

Protocols: Written policy and procedure. Performance review format and procedures.

Process Indicators: Staff records. Documentation of review with employee.

4-APPFS-3D-17 (New) Employee performance is evaluated initially after six months of employment or job assignment and at least annually thereafter.

Comment: Agencies who send new employees to an extended training academy may opt to begin the evaluation period after the employee begins his or her job assignment.

Protocols: Written policy and procedure. Employee evaluation plan and forms.

Process Indicators: Staff records.

4-APPFS-3D-18 (Ref. 3-3063) Staff are made aware of opportunities for career advancement.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Staff interviews. Agency records.

Legal Counsel

4-APPFS-3D-19 (Ref. 3-3031) Legal assistance is available to the agency for the purposes of formulating agency policy, advising on individual cases, interpreting case law and representing the agency and staff, as required, before courts and other appropriate bodies.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Staff interview. Agency records.

Fiscal Management

4-APPFS-3D-20 (Ref. 3-3037, 3-3041 and 3-3042) The agency budget is sufficient to enable the agency to meet its objectives, consistent with its mission and goals. Planning, budgeting and program management functions are interrelated, and all are linked directly with objectives. Revisions are made as necessary.

Comment: None.

Protocols: Written policy and procedure. Budget.

Process Indicators: Agency records (budget and budget development process).
Staff interviews. Documentation of revisions.

4-APPFS-3D-21 (Ref. 3-3038) The agency administrator is responsible for budget control and preparation, including expenditures and monitoring.

Comment: None.

Protocols: Written policy and procedure. Job description.

Process Indicators: Agency records.

4-APPFS-3D-22 (Ref. 3-3039) The agency's fiscal activities and responsibilities include, at a minimum: internal controls, petty cash, indemnification, signature control of checks, and employee expense reimbursement.

Comment: None.

Protocols: Written policy and procedure. Fiscal procedures.

Process Indicators: Agency records.

Budget Preparation

4-APPFS-3D-23 (Ref. 3-3040) The agency administrator participates in budget hearings and presents justification to support the budget request.

Comment: None.

Protocols: Written policy and procedure. Budget format.

Process Indicators: Agency records (budget). Documentation of administrator efforts to justify the budget request.

Cash Management

4-APPFS-3D-24 (Ref. 3-3043) When funds are collected from offenders, the agency administrator ensures the appropriate collection, safeguarding and disbursement of all monies, consistent with law, policies, and directives. Staff is trained in these processes and they are reviewed annually.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records. Staff interviews. Documentation of annual review.

Independent Audit

4-APPFS-3D-25 (Ref. 3-3044) Internal audits of the agency's fiscal activities are conducted at least annually and independent audits are conducted at a time period stipulated by applicable law, but not to exceed three years.

Comment: None.

Protocols: Written policy and procedure. Applicable law.

Process Indicators: Audit reports.

Insurance and Indemnification

4-APPFS-3D-26 (Ref. 3-3046) Employee insurance coverage and indemnification is provided to include, at a minimum: workers' compensation, civil liability, liability for agency vehicles, blanket bond, and group medical.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Insurance policies and other documentation of coverage. Staff records.

Case Record Management

4-APPFS-3D-27 (Ref. 3-3101) Record management practices include, but are not limited to: the establishment, utilization, content, privacy, security, preservation, and a schedule for retention of inactive case records and destruction.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records. Observation.

4-APPFS-3D-28 (Ref. 3-3102) The agency maintains written and/or electronic records of case plan decisions, events and activities regarding offenders.

Comment: None.

Protocols: Written policy and procedure. Record-keeping forms, formats and protocols.

Process Indicators: Agency records. Offender records.

4-APPFS-3D-29 (Ref. 3-3103) Contents of case records are separated and identified according to an established format.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Offender records.

Information Systems

4-APPFS-3D-30 (Ref. 3-3104) The agency has access to, and uses, an organized system of information retrieval and review that is part of an overall management, planning, and research capacity.

Comment: None.

Protocols: Written policy and procedure. Information system forms, format and protocols.

Process Indicators: Agency records. Documentation of use of information for management, planning and research.

4-APPFS-3D-31 (Ref. 3-3105) The agency administrator ensures that field services

data is collected, recorded, organized, processed and reported for information management purposes. These policies are reviewed at least annually.

Comment: None.

Protocols: Written policy and procedure. Data collection forms and protocols.

Process Indicators: Agency records. Documentation of participation and annual review.

4-APPFS-3D-32 (Ref. 3-3106) At a minimum, quarterly reports from those individuals in charge of the information system and research program are forwarded to the agency administrator.

Comment: None.

Protocols: Written policy and procedure. Quarterly reports.

Process Indicators: Agency records (quarterly reports.)

Sharing of Information

4-APPFS-3D-33 (Ref. 3-3107) Consistent with law and regulations, the agency collaborates with other justice system agencies and human service agencies in information gathering, exchange and standardization. Agency policy dictates what information can be accessed and disseminated.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records. Documentation of collaboration.

Research

4-APPFS-3D-34 (Ref. 3-3109) The agency encourages research relevant to its programs.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Staff interviews. Agency records.

The following Expected Practices apply to agencies that conduct research.

Conduct of Research

4-APPFS-3D-35 (Ref. 3-3110) The agency administrator and designated staff participate with researchers in deciding questions to be addressed, data to be gathered, and provide input into how that data should be presented.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records. Documentation of participation.

4-APPFS-3D-36 (Ref. 3-3111, 3112 and 3113) The agency administrator reviews and approves all research projects prior to their implementation. The agency administrator approves a plan for the security and privacy of the information

and data collection system, including verification, and access to and protection of the data. The plan ensures routine data protection. The method for dissemination of research findings is specified in writing.

Comment: None.

Protocols: Written policy and procedure. Information security plan. Dissemination plan.

Process Indicators: Agency records.

4-APPFS-3D-37 (Ref. 3-3114) The agency has a written definition of recidivism, that is understood and used by all agency personnel who use such data.

Comment: None.

Protocols: Written policy and procedure. Definition of recidivism.

Process Indicators: Interviews with staff. Review of agency reports.

PERFORMANCE STANDARD

3E. Staff, contractors, interns, and volunteers are treated fairly.

Outcome Measures:

- (1) Number of grievances filed by staff against the agency or its representative in the past 12 months divided by the number of full-time equivalent staff positions in the past 12 months.
- (2) Number of staff grievances decided in favor of staff in the past 12 months divided by the total number of staff grievances filed in the past 12 months
- (3) Total number of years of staff members' experience in the field as of the end of the last calendar year
- (4) Number of staff terminated or demoted in the past 12 months divided by the number of full-time equivalent staff in the past 12 months
- (5) Number of staff who left employment for any reason in the past 12 months divided by the number of full-time equivalent staff positions in the past 12 months

EXPECTED PRACTICES

Working Conditions

4-APPFS-3E-01 (New) Staff, contractors, interns, and volunteers are provided with a safe, healthful, and comfortable work setting.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Observation. Staff interviews.

Personnel

Personnel Policy Manual

4-APPFS-3E-02 (Ref. 3-3047) There is a personnel policy manual that covers the following subjects as a minimum:

- **organizational chart**
- **recruitment procedures**
- **equal employment opportunity provisions**
- **job qualifications, descriptions and responsibilities**
- **basis for determining salaries**
- **benefits, holidays, leave and work hours**
- **personnel records**
- **employee evaluation**
- **staff development including in-service training**
- **sexual harassment and hostile work environment**
- **promotion**
- **physical fitness policy**
- **retirement, resignation and termination**
- **laws relating to political activities**
- **employee-management relations**
- **disciplinary procedures**
- **grievance procedures**
- **insurance and professional liability requirements**

A copy of this manual is available to each employee. The manual is reviewed at least annually and changes are provided to all employees.

Comment: The manual may be made available to employees in various ways, such as giving a copy to each employee, placing copies in a staff library, and posting the manual on an internal website or intranet.

Protocols: Written policy and procedure. Personnel policy manual.

Process Indicators: Observation (availability to staff). Agency records.

4-APPFS-3E-03 (Ref. 3-3048) The agency administrator reviews the agency's internal personnel policies annually and submits recommended changes to the governing authority or parent agency.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Documentation of annual review and recommendations.

Equal Employment Opportunity

4-APPFS-3E-04 (Ref. 3-3051) There is a mechanism to process requests for reasonable accommodation to the known physical and/or mental impairments of a qualified individual with a disability, either an applicant or an employee. The accommodation need not be granted if it would impose an undue hardship or direct threat.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records.

4-APPFS-3E-05 (Ref. 3-3052) Equal employment opportunities exist for all positions.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records. Staff interviews. Staff grievances.

4-APPFS-3E-06 (Ref. 3-3053) Policy and procedure specifically prohibits sexual harassment and specifies the process and designated staff to whom incidents of sexual

harassment should be reported. Regular training is provided to staff.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Staff interviews. Agency records. Staff grievances.

4-APPFS-3E-07 (Ref. 3-3053) Policy and procedure specifically prohibits unlawful discrimination and specifies the process and designated staff to whom incidents of unlawful discrimination should be reported. Regular training is provided to staff.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Staff interviews. Agency records. Staff grievances.

4-APPFS-3E-08 (Ref. 3-3054) When permitted by law, employment of qualified ex-offenders is not prohibited.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Staff records.

Selection and Promotion

4-APPFS-3E-09 (Ref. 3-3055) Selection, retention and promotion of all personnel is consistent with law and governed by written procedure.

Comment: None.

Protocols: Written policy and procedure. Personnel policy manual.

Process Indicators: Agency records.

4-APPFS-3E-10 (Ref. 3-3056) Hiring and promotional practices are structured to select the best suited candidate. There are no artificial barriers to lateral entry.

Comment: None.

Protocols: Written policy and procedure. Personnel policy manual.

Process Indicators: Staff records. Agency records.

Compensation and Benefits

4-APPFS-3E-11 (Ref. 3-3064) Salary levels and employee benefits for all field agency personnel are competitive with those of other components of the justice system as well as with comparable occupational groups.

Comment: None.

Protocols: Written policy and procedure. Compensation plan.

Process Indicators: Staff interviews. Compensation records. Comparative compensation data.

4-APPFS-3E-12 (Ref. 3-3065) Employees are reimbursed for all approved expenses incurred in the performance of their duties.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records.

Personnel Files

4-APPFS-3E-13 (Ref. 3-3066) The agency maintains a current, accurate, confidential personnel record on each employee as allowed by law. Information obtained as part of a required medical examination (and/or inquiry) regarding the medical condition or history of applicants and employees is collected and maintained on separate forms and in separate medical files and treated as a confidential medical record.

Comment: None.

Protocols: Written policy and procedure. Format for personnel records.

Process Indicators: Staff records. Observation (provisions for confidentiality).

4-APPFS-3E-14 (Ref. 3-3067) Employees have access to and are permitted to challenge information in their personnel file and have it corrected or removed if it is proven inaccurate.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Staff interviews. Staff records.

Employee Assistance Program

4-APPFS-3E-15 (Ref. 3-3071) The agency provides an employee assistance program.

Comment: None.

Protocols: Written policy and procedure. Description of employee assistance program.

Process Indicators: Agency records. Staff records.

Grievances

4-APPFS-3E-16 (Ref. 3-3062) Employees have the right to request and exhaust grievance and appeals procedures as outlined in personnel policies, including an open and formal hearing, prior to their final termination or demotion or other

adverse personnel action in accordance with applicable state/federal law or regulations to ensure fairness.

Comment: None.

Protocols: Written policy and procedure. Personnel policy manual.

Process Indicators: Agency records.

Employee Discipline

4-APPFS-3E-17 (New) Employee disciplinary procedures include provisions for corrective action, progressive discipline, and limited due process.

Comment: None.

Protocols: Written policy and procedure. Employee discipline procedure.

Process Indicators: Agency records. Staff records.

4-APPFS-3E-18 (New) Consistent with applicable laws and regulations termination or demotion is permitted only for a good cause and, if requested, subsequent to a formal hearing on specific charges.

Comment: None.

Protocols: Written policy and procedure. Grievance procedure. Personnel rules and regulations.

Process Indicators: Staff records. Documentation from hearings.

PERFORMANCE STANDARD

3F. A safe and secure setting is provided for staff, contractors, interns, and volunteers.

Outcome Measures:

- (1) Number of fires that resulted in property damage in the past 12 months
- (2) Dollar amount of property damage from fire in the past 12 months
- (3) Number of code violations cited in the past 12 months

EXPECTED PRACTICES

4-APPFS-3F-01 (New) Emergencies are analyzed and the results used to initiate or revise policy and/or procedure to prevent future occurrences.

Comment: None.

Protocols: Written policy and procedure. List of key indicators for which data is collected. Data collection forms and procedures.

Process Indicators: Analysis of data. Records of actions taken to prevent future events.

4-APPFS-3F-02 (MANDATORY) (New) There is a written emergency plan, that includes an evacuation plan, to be used in the event of a major emergency. The plan is reviewed annually and tested as provided in agency policy and updated if

necessary. The plan includes the following:

- **location of building/room floor plan**
- **use of exit signs and directional arrows that are easily seen and read**
- **publicly posted evacuation routes.**

Comment: The evacuation plan also should specify evacuation routes, and provision for medical care or hospital transportation for injured offenders or staff.

Protocols: Written policy and procedure. Facility plan/specifications. Written emergency plan.

Process Indicators: Certification of emergency plan approval. Documentation of annual review.

4-APPFS-3F-03 (MANDATORY) (New) The agency secures an annual fire safety inspection by the authority having jurisdiction or other qualified person(s).

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Copy of annual inspection.

PERFORMANCE STANDARD

3G. Staff, contractors, interns, and volunteers are protected from harm. Physical force is used only in instances of self-protection, protection of the offender or others, and the prevention of property damage.

Outcome Measures:

- (1) Number of grievances against staff alleging improper use of force upheld or found valid in the past 12 months divided by the total agency caseload for the past 12 months
- (2) Number of grievances against staff alleging improper use of force upheld or found valid in the past 12 months divided by the number of grievances alleging improper use of force filed in the past 12 months
- (3) Number of court decisions against staff alleging improper use of force upheld or found valid in the past 12 months divided by the total agency caseload for the past 12 months
- (4) Number of court decisions that found staff had used improper force in the past 12 months divided by the number of court decisions alleging improper use of force filed in the past 12 months
- (5) Number of administrative decisions finding that staff used improper force in the past 12 months divided by the total agency caseload for the past 12 months
- (6) Number of injuries that required medical attention resulting from staff use of force in the past 12 months divided by the total agency caseload for the past 12 months

EXPECTED PRACTICES

4-APPFS-3G-01 (Ref. 3-3175) Physical force is used only in instances of justifiable self-defense, protection of others, and in accordance with appropriate statutory

authority. Only the minimum force necessary is employed.

Comment: None.

Protocols: Written policy and procedure.

Process Indicators: Agency records. Incident reports. Staff and offender interviews.

4-APPFS-3G-02 (Ref. 3-3176) All incidents involving use of physical force are reported fully, promptly, and in writing to administrative staff for their information and review. All injuries are treated promptly and reported in writing.

Comment: None.

Protocols: Written policy and procedure. Report form.

Process Indicators: Agency records.

Transporting Offenders

4-APPFS-3G-03 (Ref. 3-3097) When probation/parole officers transport offenders, the officers are equipped with authorized restraining and vehicle safety equipment and are trained in transport procedures before being allowed to transport.

Comment: This includes agency provided and personal vehicles.

Protocols: Written policy and procedure. Equipment inventory. Training curriculum.

Process Indicators: Staff records. Agency records. Training records.

Critical Incident Protocol

4-APPFS-3G-04 (Ref. 3-3098) The agency has a process for immediate response, investigation, and further action and support in the event of a critical incident involving any employee.

Comment: The agency should determine its own definition for "critical incident."

Protocols: Written policy and procedure. Critical incident report form.

Process Indicators: Agency records. Documentation of response, investigation and action.

PERFORMANCE STANDARD

3H. Agency vehicles are maintained and operated in a manner that prevents harm to the community, staff and offenders.

Outcome Measures:

- (1) Number of motor vehicle accidents resulting in property damage in the past 12 months divided by the total number of miles driven in the past 12 months
- (2) Number of motor vehicle accidents resulting in injuries requiring medical treatment for any party in the past 12 months divided by the total number of miles driven in the

past 12 months

EXPECTED PRACTICES

4-APPFS-3H-01 (New) An annual safety inspection of all agency owned or leased vehicles used in the field service operation of the agency is conducted in accordance with state laws, or by a qualified individual.

Comment: None.

Protocols: Written policy and procedure. Vehicle log format. Maintenance record format.

Process Indicators: Inspection reports. Completed vehicle logs. Maintenance records and receipts. Reports of vehicle problems/requests for repair or maintenance. Credentials of inspector.

4-APPFS-3H-02 (New) Safety repairs to agency vehicles are completed immediately. Agency vehicles are not used again until repairs are made.

Comment: None.

Protocols: Written policy and procedure. Maintenance record format.

Process Indicators: Maintenance records and receipts. Reports of vehicle problems/requests for repair or maintenance. Documentation that repairs were completed.

4-APPFS-3H-03 (New) Vehicles and drivers are insured in conformance with state laws.

Comment: None.

Protocols: Written policy and procedure. Copies of state laws.

Process Indicators: Proof of insurance.

		ADULT PROBATION AND PAROLE FIELD SERVICES		
Standard	Outcome Measure	Numerator/Denominator	Value	Calculated O.M
1A	(1)	Number of offenders who are arrested for any offense in the past 12 months		
	divided by	Total agency caseload in the past 12 months		
	(2)	Number of offenders who were convicted of any offense in the past 12 months		
	divided by	Total agency caseload in the past 12 months		
1B		None		
1C	(1)	Number of individual volunteers who provided services in the past 12 months		
	(2)	Total number of volunteer hours delivered in the past 12 months		
	(3)	Total number of hours of community service delivered by offenders in the past 12 months		
	(4)	Total number of hours of community service delivered by offenders in the past 12 months		
	divided by	Total number of active offenders supervised in the past 12 months		
	(5)	Number of community entities (committees, boards, etc.) on which agency staff served in the past 12 months		
	(6)	Number of presentations (speeches, panels, etc.) provided to the community by agency staff in the past 12 months		
2A	(1)	Number of offenders who successfully completed supervision in the past 12 months		
	divided by	Number of offenders removed from supervision in the past 12 months (Discharged and Revoked)		
2B	(1)	Number of offenders found in violation of a new offense during the past 12 months		
	divided by	Total agency caseload in the past 12 months		

	(2)	Number of offenders found in violation of a technical violation only in the past 12 months		
	divided by	Total agency caseload in the past 12 months		
	(3)	Number of offenders who absconded during the past 12 months		
	divided by	Number of offenders who were under supervision in the past 12 months		
2C		None		
2D	(1)	Number of offenders who were employed on a specified day in the past 12 months (One day count)		
	divided by	Total agency active caseload on that specified day		
	(2)	Number of offenders who were employed upon discharge in the past 12 months		
	divided by	Number of offenders discharged in the past 12 months		
	(3)	Number of offender substance abuse tests for which the results were negative in the past 12 months		
	divided by	Number of tests administered in the past 12 months		
	(4)	Number of offenders who showed improvement as measured by the objective assessment instrument prior to release from supervision in the past 12 months		
	divided by	Total agency caseload in the past 12 months		
	(5)	Number of offenders referred to drug treatment in the past 12 months		
	divided by	Number of offenders who successfully complete drug treatment in the past 12 months.		
	(6)	Number of offender referred to education programs in the past 12 months		
	(7)	Number of offenders referred to behavioral programs in the past 12 months.		
	Divided by	Number of offenders successfully completing behavioral programs in the past 12 months.		
2E	(1)	Number of offenders who had "stay away from" or "no contact with" or "no violence toward" orders during the past 12 months		
	divided by	number of offenders who violated these orders in the past 12 months		
	(2)	Amount of restitution collected in the past 12 months		

	(3)	Amount of restitution ordered in the past 12 months		
	(4)	Number of offenders whose cases were closed with total restitution paid in the past 12 months.		
	Divided by	Number of offenders whose cases were closed with restitution ordered in the past 12 months.		
2F	(1)	Amount of court costs, fines, and fees collected in the past 12 months		
	divided by	Number of offenders who had court cost, fine, and fee obligations in the past 12 months		
	(2)	Number of offenders whose cases were closed with total costs, fines, and fees paid in the past 12 months.		
	divided by	Number of offenders whose cases were closed with costs, fines, and fees ordered in the past 12 months		
	(3)	Total number of hours of community service preformed by offenders in the past 12 months		
	divided by	Total number of offenders ordered to perform community service in the past twelve months.		
	(4)	Total number of offenders who preformed community service work in the past 12 months		
	divided by	Total number of active offenders supervised in the past 12 months		
	(5)	Total number of offenders who participated in victim(s) awareness programs in the past 12 months		
	divided by	Total number of active offenders supervised in the past 12 months		
2G	(1)	Number of offender grievances regarding discrimination filed in the past 12 months		
	divided by	Total agency caseload in the past 12 months		
	(2)	Number of offender grievances regarding discrimination resolved in favor of offenders in the past 12 months		
	divided by	Total number of offender grievances filed regarding discrimination in the past 12 months		
	(3)	Number of other offender grievances filed in the past 12 months		
	divided by	Total agency caseload in the past 12 months		
	(4)	Number of other offender grievances resolved in favor of offenders in the past 12 months		
	divided by	Total number of offender grievances filed in the past 12 months		

	(5)	Number of adverse judgments or consent decrees against the agency by offenders in the past 12 months		
3A	(1)	Number of formal complaints against staff alleging improper conduct that were upheld or found valid in the past 12 months		
	divided by	Number of formal complaints against staff that were filed in the past 12 months.		
	(2)	Number of court decisions that found staff had acted improperly in the past 12 months		
	(3)	Number of administrative decisions finding that staff acted improperly in the past 12 months		
	(4)	Number of hours of professional development attended by professional staff in the past 12 months		
	divided by	Number of full-time equivalent professional staff positions in the past 12 months		
3B	(1)	Number of injuries to staff requiring medical treatment in the past 12 months		
	divided by	Total number of full-time equivalent staff in the past 12 months		
3C	(1)	Number of disciplinary actions against staff in the past 12 months		
	divided by	Number of full-time equivalent staff positions in the past 12 months		
	(2)	Number of staff terminated for disciplinary violations in the past 12 months		
	divided by	Number of full-time equivalent staff positions in the past 12 months		
	(3)	Number of staff, contractor, intern, and volunteer substance abuse tests passed in the past 12 months		
	divided by	Number of substance abuse tests administered in the past 12 months		
3D	(1)	Number of material audit findings by an independent financial auditor at the conclusion of the last audit		
	(2)	Number of objectives achieved in the past 12 months		
	divided by	Number of objectives established for the past 12 months		
3E	(1)	Number of grievances filed by staff against the agency or its representatives in the past 12 months		
	divided by	Number of full-time equivalent staff positions in the past 12 months.		
	(2)	Number of staff grievances decided in favor of staff in the past 12 months		

	divided by	Total number of staff grievances filed in the past 12 months		
	(3)	Total number of years of staff members' experience in the agency as of the end of the last calendar year		
	divided by	Number of staff at the end of the last calendar year		
	(4)	Number of staff terminated or demoted in the past 12 months		
	divided by	Number of full-time equivalent staff in the past 12 months.		
	(5)	Number of staff who left employment for any reason in the past 12 months		
	divided by	Number of full-time equivalent staff positions in the past 12 months		
3F	(1)	Number of fires that resulted in property damage in the past 12 months		
	(2)	Dollar amount of property damage from fire in the past 12 months		
	(3)	Number of code violations cited in the past 12 months		
3G	(1)	Number of grievances against staff alleging improper use of force upheld or found valid in the past 12 months		
	divided by	Total agency caseload for the past 12 months		
	(2)	Number of grievances against staff alleging improper use of force upheld or found valid in the past 12 months		
	divided by	Number of grievances alleging improper use of force filed in the past 12 months		
	(3)	Number of court decisions against staff alleging improper use of force upheld or found valid in the past 12 months		
	divided by	Total agency caseload for the past 12 months		
	(4)	Number of court decisions that found staff had used improper force in the past 12 months		
	divided by	Number of court decisions alleging improper use of force filed in the past 12 months		
	(5)	Number of administrative decisions finding that staff used improper force in the past 12 months		
	divided by	Total agency caseload for the past 12 months		
	(6)	Number of injuries to offenders or others that required medical attention resulting from staff use		

		of force in the past 12 months		
	divided by	Total agency caseload for the past 12 months		
3H	(1)	Number of motor vehicle accidents resulting in property damage in the past 12 months		
	divided by	Total number of miles driven in the past 12 months		
	(2)	Number of motor vehicle accidents resulting in injuries requiring medical treatment for any party in the past 12 months		
	divided by	Total number of miles driven in the past 12 months		

Note: The term “total agency caseload” includes offenders who are absconders. The term “active offenders” refers to offenders who are not on absconder status.

Manual: Adult Local Detention Facilities

Edition: 4th Edition

Standard Number(s): 4-ALDF-2A-37

Type of Proposal: Revision

Existing Standard: Confinement of juveniles under the age of 18 is prohibited.

Proposal: Confinement of juveniles under the age of 18 is prohibited unless convicted as an adult and required by state statute to be confined in an adult facility.”

Action taken by the standards committee:

The Standards Committee accepted an amended proposal at the meeting.

Confinement of juveniles under the age of 18 is prohibited unless a court finds that it is in the best interest of justice and public safety that a juvenile awaiting trial or other legal process be treated as an adult for the purposes of prosecution, or unless convicted as an adult and required by statute to be confined in an adult facility.

Approved as amended

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals: None

Manual: All applicable manuals

Edition: All applicable editions

Standard Number(s): TBD

Type of Proposal: Revision

Existing Standard: Noise levels in housing units do not exceed 70dBA (A Scale) in daytime and 45dBA (A Scale) at night. Measurements are documented by qualified, independent source and checked not less than once per accreditation cycle.

Proposal: Noise levels in housing areas (i.e. dayrooms with adjacent cells or dorms) shall not exceed the following:

Unoccupied - Shall not exceed 45dba (A Scale), building service systems shall be in normal operating condition. Mid frequency average reverberation time (T 60) must be less than (1.0 sec.)

Occupied - Shall not exceed 70 dba (A Scale) for a minimum of 15 seconds of continuous average measurement.

All monitoring shall be conducted in close proximity to the Correctional Officers post. Measurements shall be conducted a minimum of once per accreditation cycle by a qualified source.

Comment: Noise levels in housing areas should be contained to achieve a safe and secure environment for staff and inmates. Building service systems noise within housing areas are sometimes constant and may be difficult to eliminate, consideration should be given to maintenance of the building systems and use of absorptive treatment materials that meet applicable fire codes. Control of operational noise (i.e. televisions, recreation and group activities, etc.) should be accomplished administratively.

Action taken by the standards committee:

The Standards Committee accepted an amended proposal at the meeting that would affect facilities that fall under the new construction definition only, thus creating a new standard. The original standard as currently published in the 2008 Standards Supplement remains in effect for existing facilities that are not deemed new construction, and the proposed revision for those existing facilities has been tabled.

The new standard will read as follows:

Noise levels in housing areas (i.e. dayrooms with adjacent cells or dorms) shall not exceed the following:

Unoccupied - 45dba (A Scale), building service systems shall be on and in normal operating condition. Mid frequency average reverberation time (T 60) must be less than (1.0 sec.)

Occupied - 70 dba (A Scale) for a minimum of 15 seconds of continuous average measurement in normal operating conditions.

All monitoring shall be conducted in close proximity to the Correctional Officers post. If a correction officer's post is not identified then monitoring shall be conducted at a location considered best to monitor housing noise levels. Measurements shall be conducted a minimum of once per accreditation cycle by a qualified source. (New Construction Only)

Comment: Noise levels in housing areas should be contained to achieve a safe and secure environment for staff and inmates. Building service systems noise within housing areas are sometimes constant and may be difficult to eliminate, consideration should be given to maintenance of the building systems and use of absorptive treatment materials that meet applicable fire codes. Control of operational noise (i.e. televisions, recreation and group activities, etc.) should be accomplished administratively.

Approved as amended for new construction only.
Tabled for existing construction facilities.

FOR ACA STAFF USE ONLY

The above proposed revision also affects the following manuals and will add a new standard as follows:

ALDF	4-ALDF-1A-18-1
ACI	4-4150-1
JCF	3-JTS-2D-03-1
JBC	1-JBC-2D-02-1
ABC	1-ABC-2D-02-1

Manual: Standards for Adult Correctional Institutions

Edition: 4th Edition

Standard Number(s): 4-4393

Type of Proposal: Revision

Existing Standard: Unless prohibited by state law, offenders (under staff supervision) may perform familial duties commensurate with their level of training. These duties may include:

- peer support and education
- hospice activities
- assist impaired offenders on a one-on-one basis with activities of daily living
- suicide companion or buddy if qualified and trained through a formal program that is part of suicide prevention plan

Offenders are not to be used for the following duties:

- performing direct patient care services
- scheduling health care appointments
- determining access of other offenders to health care services
- handling or having access to surgical instruments, syringes, needles, medications, or health records
- operating diagnostic or therapeutic equipment except under direct supervision (by specially trained staff) in a vocational training program

Proposal: Unless prohibited by state law, offenders (under staff supervision) may perform familial duties commensurate with their level of training. These duties may include:

- peer support and education
- hospice activities
- assist impaired offenders on a one-on-one basis with activities of daily living
- suicide companion or buddy if qualified and trained through a formal program that is part of suicide prevention plan
- handling dental instruments for the purpose of sanitizing and cleaning, when directly supervised and in compliance with applicable tool control policies, while in a dental assistants training program certified by the state department of education or other comparable appropriate authority

Offenders are not to be used for the following duties:

- performing direct patient care services
- scheduling health care appointments
- determining access of other offenders to health care services
- handling or having access to surgical instruments, syringes, needles, medications, or health records
- operating diagnostic or therapeutic equipment except under direct supervision (by specially trained staff) in a vocational training program

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:

PBHCACI 1-HC-2A-18

ALDF 4-ALDF-6B-06

Manual: Performance Based Standards for Adult Local Detention Facilities

Edition: 4th Edition

Standard Number(s): 4-ALDF-4D-19

Type of Proposal: Revision

Existing Standard: Health care encounters, including medical and mental health interviews, examinations, and procedures are conducted in a setting that respects the inmates' privacy. Female inmates are provided a female escort for encounters with a male health care provider.

Proposal: Health care encounters, including medical and mental health interviews, examinations, and procedures are conducted in a setting that respects the inmates' privacy. Female inmates are provided a female escort for interviews, examinations and/or procedures conducted by a male health care provider.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:

TBD

Manual: TBD

Edition: TBD

Standard Number(s): TBD

Type of Proposal: New Standard

Proposal: Written policy, procedure and practice, in general, prohibit the use of restraints on female offenders during active labor and the delivery of a child. Any deviation from the prohibition requires approval by, and guidance on, methodology from the Medical Authority and is based on documented serious security risks. The Medical Authority provides guidance on the use of restraints on pregnant offenders prior to active labor and delivery.

Comment: Restraints on pregnant offenders during active labor and the delivery of a child should only be used in extreme instances and should not be applied for more time than is absolutely necessary. Restraints used on pregnant offenders prior to active labor and delivery should not put the pregnant offender nor the fetus at risk.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:

New Standard:

ACI 4-4353-1

ALDF 4-ALDF-4C-13-1

PBHCACI 1-HC-1A-10-1

ABC 1-ABC-4E-40-1

Core Jail 1-CJ-4C-07-1

JCF 3-JTS-4C-35-1 and 4-JCF-4C-47-1

JDF 3-JDF-4C-33-2

SJDF 1-JDC-4C-43

Manual: Administration of Correctional Agencies

Edition: 2nd Edition

Standard Number(s): 2-CO-5E-01

Type of Proposal: Revision

Existing Standard: Written agency policy provides for religious programming for inmates/juveniles/residents, including:

- program coordination and supervision
- opportunities to practice one's faith individually and corporately as authorized
- possession of authorized religious symbols and/or items essential for faith practice
- purchased through authorized vendors at the inmates'/juveniles'/residents' expense
- availability of religious program information to offenders
- access to approved publications related to religious beliefs and practices
- the observance of authorized religious diets, holy day ceremonies, work restrictions, and authorized communal sacramental rites (providing such rites do not conflict with existing procedures/policies or jeopardize the security and orderly running of the facility)
- distribution of resources among faith groups authorized to meet, commensurate
- with their representation within the population, to include the use of religious
- facilities and equipment
- accessibility by staff chaplains to all areas of the facility
- visitation of clergy/spiritual advisor to occur through established visiting procedures
- use of community resources to include the use of religious volunteers, consistent
- with the safety and security of the facility

Proposal: Written agency policy provides for religious programming for inmates/juveniles/residents, including:

- program coordination and supervision
- opportunities to practice one's faith individually and corporately as authorized
- possession of authorized religious symbols and/or items essential for faith practice obtained from appropriate community sources
- purchased through authorized vendors at the inmates'/juveniles'/residents' expense
- availability of religious program information to offenders
- access to approved publications related to religious beliefs and practices
- the observance of authorized religious diets, holy day ceremonies, work restrictions, and authorized communal sacramental rites (providing such rites do

- not conflict with existing procedures/policies or jeopardize the security and orderly running of the facility)
- distribution of resources among faith groups authorized to meet, commensurate with their representation within the population, to include the use of religious facilities and equipment
- accessibility by staff chaplains to all areas of the facility
- visitation of clergy/spiritual advisor to occur through established visiting procedures
- use of community resources to include the use of religious volunteers, consistent with the safety and security of the facility

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None

Manual: Adult Correctional Boot Camp Programs

Edition: 1st Edition

Standard Number(s): 1-ABC-5A-02

Type of Proposal: Revision

Existing Standard: Written policy, procedure, and practice require that all able-bodied offenders work unless assigned to an approved education or training program.

Proposal: Written policy, procedure, and practice can require all eligible inmates to work unless assigned to an approved education or training program. Inmates have the option of refusing to participate in any rehabilitation or treatment program except adult basic education and programs required by statute or ordered by the sentencing court or paroling authority.

Action taken by the standards committee:

The Standards Committee accepted an amended proposal at the meeting.

1-ABC-5A-02

Written policy, procedure, and practice require that all eligible offenders work unless assigned to an approved education or training program.

Approved as amended

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:

ACI 4-4449

Written policy, procedure, and practice can require all eligible inmates to work unless assigned to an approved education or training program. Inmates have the option of refusing to participate in any rehabilitation or treatment program except adult basic education and programs required by statute or ordered by the sentencing court or paroling authority.

Manual: Correctional Training Academies

Edition: 1st Edition

Standard Number(s): 1-CTA-3B-02

Type of Proposal: Revision

Existing Standard: Written policy and procedure govern the control and use of tools, training equipment, and keys.

Proposal: Written policy and procedure govern the control and use of tools.

Written policy and procedure govern the control and use of training equipment (this needs further clarification as to WHAT constitutes 'training equipment').

Written policy and procedure govern the control and use of keys.

General Comments: The existing standard encompasses three distinctly different issues & in some instances, three different areas of responsibility & function. Therefore, the multiple items being assessed should be broken down more finitely, thus allowing the facility to have a standard that pertains to EACH, individually, rather than as a collectively grouped. In sum this proposed revision takes one standard and makes it three. No additional work, just better clarification & direction.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:

None

Manual: Adult Correctional Institution

Edition: 4th Edition

Standard Number(s): 4-4006 and 4-4007

Type of Proposal: Revision & Deletion

Existing Standard:

4-4006: Written policy, procedure, and practice provide that each institution is headed by a warden/superintendent who is in charge of all inmates, personnel, volunteers, programs, and activities connected with the institution.

4-4007: The warden/superintendent is appointed by the administrator or governing board of the parent agency.

Proposal:

4-4006: Written policy, procedure, and practice provide that each institution is headed by a warden/superintendent, appointed by the administrator or governing board of the parent agency, who is in charge of all inmates, personnel, volunteers, programs, activities connected with the institution.

4-4007: Deleted

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None

Manual: Adult Correctional Institution

Edition: 4th Edition

Standard Number(s): 4-4021 and 4-4022

Type of Proposal: Revision & Deletion

Existing Standard:

4-4021: Written policy, procedure, and practice establish the facility's commitment to informing the public and the media of events within the facility's areas of responsibility. The procedures address emergency and nonemergency responses to the media and, at a minimum, include the following:

- the identification of areas in the facility that are accessible to media representatives
- the contact person for routine requests for information
- identification of data and information protected by federal or state privacy laws, or federal and state freedom of information laws
- special events coverage
- news release policy
- the designation of individuals or positions within the facility authorized to speak with the media on behalf of the facility

4-4022: Written policy, procedure, and practice grant representatives of the media access to the institution consistent with preserving inmates' right to privacy and maintaining order and security.

Proposal:

4-4021: Written policy, procedure, and practice establish the facility's commitment to informing the public and the media of events within the facility's areas of responsibility. The procedures address emergency and nonemergency responses to the media and, at a minimum, include the following:

- the identification of areas in the facility that are accessible to media representatives, consistent with preserving inmates' right to privacy and maintaining order and security
- the contact person for routine requests for information
- identification of data and information protected by federal or state privacy laws, or federal and state freedom of information laws
- special events coverage
- news release policy
- the designation of individuals or positions within the facility authorized to speak with the media on behalf of the facility

4-4022 Deleted

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:

1-ABC-1A-19 Deleted

1-ABC-1A-20 Written policy, procedure, and practice establish the facility's commitment to informing the public and the media of events within the facility's areas of responsibility. The procedures address emergency and nonemergency responses to the media and, at a minimum, include the following:

- identification of data and information protected by federal and state privacy laws or federal and state freedom of information laws
- facility tours
- special events coverage
- news release policy
- designation of individuals or positions within the facility authorized to speak with the media on behalf of the facility
- provide representatives of the media with access to the facility consistent with offenders' rights to confidentiality and privacy and the maintenance of order and security

Manual: Adult Correctional Institutions

Edition: 4th Edition

Standard Number(s): 4-4255

Type of Proposal: Revision

Existing Standard: There is a sanctioning schedule for institutional rule violations. Continuous confinement for more than 30 days requires the review and approval of the warden/superintendent. Inmates held in disciplinary detention for periods exceeding 60 days are provided the same program services and privileges as inmates in administrative segregation and protective custody.

Proposal: There is a sanctioning schedule for institutional rule violations. Continuous confinement for more than 30 days requires the review and approval of the warden/superintendent or designee. Inmates held in disciplinary detention for periods exceeding 60 days are provided the same program services and privileges as inmates in administrative segregation and protective custody.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:

4-ALDF-2A-50	There is a sanctioning schedule for rule violations. The maximum sanction for rule violations is no more than 60 days for all violations arising out of one incident. Continuous confinement for more than 30 days requires the review and approval of the facility administrator or designee.
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Manual: Adult Correctional Institutions

Edition: 4th Edition

Standard Number(s): 4-4265

Type of Proposal: Revision

Existing Standard: Written policy, procedure, and practice provide that whenever an inmate in segregation is deprived of any usually authorized item or activity a report of the action is filed in the inmate's case record and forwarded to the chief security officer.

Comment: The report should identify the inmate, item or activity deprived of, and the reasons for the action. The report should be forwarded to the chief security officer as soon as possible; approval for removing all of an inmate's personal items should be obtained in advance from the warden/superintendent or designee. No item or activity should be withheld for the purpose of punishment or for longer than necessary to ensure the safety and well-being of the inmate and others.

Proposal: Written policy, procedure, and practice provide that whenever an inmate in segregation is deprived of any usually authorized item or activity a report of the action is recorded and the chief security officer is notified.

Comment: The report should identify the inmate, item or activity deprived of, the reasons for the action and when the chief security officer was notified. The chief security officer should be notified as soon as possible; approval for removing all of an inmate's personal items should be obtained in advance from the warden/superintendent or designee. No item or activity should be withheld for the purpose of punishment or for longer than necessary to ensure the safety and well-being of the inmate and others.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None

Manual: Adult Correctional Institutions

Edition: 4th Edition

Standard Number(s): 4-4428

Type of Proposal: Interpretation

Existing Standard: There is a social service program that provides a range of resources appropriate to the needs of inmates, including individual and family counseling, family planning, parental education, and community services.

Proposal: There is a social service program that provides a range of resources appropriate to the needs of inmates, including individual and family counseling, family planning, parental education, and community services.

Interpretation: This standard is applicable to all facilities. For reception and diagnostic centers, this standard only applies as follows: 1. To reception and diagnostic centers with an average offender length of stay of 90 days or longer. 2. To reception and diagnostic centers with a cadre of offenders who are expected to serve more than 90 days of confinement within the facility or for those sentenced offenders awaiting transfer to another facility whose stay exceeds 90 days.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None

Manual: Adult Correctional Institutions

Edition: 4th Edition

Standard Number(s): 4-4432

Type of Proposal: Interpretation

Existing Standard: The social services program is administered and supervised by a qualified, trained person with a minimum of a bachelor's degree in the social or behavioral sciences or a related field.

Proposal: The social services program is administered and supervised by a qualified, trained person with a minimum of a bachelor's degree in the social or behavioral sciences or a related field.

Interpretation: This standard is applicable to all facilities. For reception and diagnostic centers, this standard only applies as follows: 1. To reception and diagnostic centers with an average offender length of stay of 90 days or longer. 2. To reception and diagnostic centers with a cadre of offenders who are expected to serve more than 90 days of confinement within the facility or for those sentenced offenders awaiting transfer to another facility whose stay exceeds 90 days.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None

Manual: Adult Correctional Institutions

Edition: 4th edition

Standard Number(s): 4-4470

Type of Proposal: Revision

Existing Standard: Written policy, procedure, and practice provide that the academic and vocational education programs are recognized, certified, or licensed by the state department of education or other recognized agency having jurisdiction. Programs up to the completion of high school and/or the GED are available at no cost to inmates. Provision is made for formal recognition of specific educational accomplishments.

Proposal: Written policy, procedure, and practice provide that the academic and/or vocational education programs are recognized, certified, or licensed by the state department of education or other recognized agency having jurisdiction. Where an academic program exists, programs up to the completion of high school and/or the GED are available at no cost to inmates.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
TBD

Manual: Adult Correctional Institutions

Edition: 4th edition

Standard Number(s): 4-4471

Type of Proposal: Revision

Existing Standard: Written policy, procedure, and practice provide for a system whereby the academic and vocational training programs are assessed against stated objectives by qualified individuals, professional groups, and trade association; this assessment is done at least every three years.

Proposal: Written policy, procedure, and practice provide for a system whereby the academic and/or vocational training programs are assessed against stated objectives by qualified individuals, professional groups, and trade association; this assessment is done at least every three years.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
TBD

Manual: Adult Correctional Institutions

Edition: 4th edition

Standard Number(s): 4-4472

Type of Proposal: Revision

Existing Standard: All academic and vocational education personnel are certified by a state department of education or other comparable authority.

Proposal: All academic and/or vocational education personnel are certified by a state department of education or other comparable authority.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
TBD

Manual: Adult Correctional Institutions

Edition: 4th edition

Standard Number(s): 4-4473

Type of Proposal: Revision

Existing Standard: Academic and vocational personnel policies and practices are comparable to local jurisdictions or other appropriate jurisdictions.

Proposal: Academic and/or vocational personnel policies and practices are comparable to local jurisdictions or other appropriate jurisdictions.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
TBD

Manual: Adult Correctional Institutions

Edition: 4th edition

Standard Number(s): 4-4474

Type of Proposal: Revision

Existing Standard: Written policy, procedure, and practice provide for a system of academic and vocational counseling as well as initial screening, assessment, and evaluation to determine each inmate's educational needs.

Proposal: Written policy, procedure, and practice provide for a system of academic and/or vocational counseling as well as initial screening, assessment, and evaluation to determine each inmate's educational needs.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
TBD

Manual: Adult Correctional Institutions

Edition: 4th edition

Standard Number(s): 4-4475

Type of Proposal: Revision

Existing Standard: Provision is made to meet the educational and vocational needs of inmates who require special placement because of physical, mental, emotional or learning disabilities.

Proposal: Provision is made to meet the educational and/or vocational needs of inmates who require special placement because of physical, mental, emotional, or learning disabilities.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
TBD

Manual: Adult Correctional Institutions

Edition: 4th Edition

Standard Number(s): 4-4481

Type of Proposal: Interpretation

Existing Standard: Written policy, procedure, and practice provide for a comprehensive recreational program that includes leisure-time activities and outdoor exercise.

Proposal: Written policy, procedure, and practice provide for a comprehensive recreational program that includes leisure-time activities and outdoor exercise.

This standard is applicable to all facilities. For reception and diagnostic centers, this standard only applies as follows: 1. To reception and diagnostic centers with an average offender length of stay of 90 days or longer. 2. To reception and diagnostic centers with a cadre of offenders who are expected to serve more than 90 days of confinement within the facility or for those sentenced offenders awaiting transfer to another facility whose stay exceeds 90 days.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None

Manual: Adult Correctional Institutions

Edition: 4th Edition

Standard Number(s): 4-4482

Type of Proposal: Interpretation

Existing Standard: The education and experience of the recreation program supervisor are taken into consideration by the appointing authority in determining appointment to the position. These include education, correctional experience, training in recreational and/or leisure activities and the ability to supervise the program. In institutions with more than 100 inmates this position is full-time.

Proposal: The education and experience of the recreation program supervisor are taken into consideration by the appointing authority in determining appointment to the position. These include education, correctional experience, training in recreational and/or leisure activities and the ability to supervise the program. In institutions with more than 100 inmates this position is full-time.

This standard is applicable to all facilities. For reception and diagnostic centers, this standard only applies as follows: 1. To reception and diagnostic centers with an average offender length of stay of 90 days or longer. 2. To reception and diagnostic centers with a cadre of offenders who are expected to serve more than 90 days of confinement within the facility or for those sentenced offenders awaiting transfer to another facility whose stay exceeds 90 days.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None

Manual: Adult Local Detention Facilities

Edition: 4th Edition

Standard Number(s): 4-ALDF-1A-09

Type of Proposal: Revision

Existing Standard: Single cells provide at least 35 square feet of unencumbered space. At least 70 square feet of total floor space is provided when the occupant is confined for more than 10 hours per day.

Proposal: Single cells in general population provide at least 35 square feet of unencumbered space. At least 70 square feet of total floor space is provided when the occupant is confined for more than 10 hours per day.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None

Manual: Adult Local Detention Facilities

Edition: 4th Edition

Standard Number(s): 4-ALDF-4C-09

Type of Proposal: Revision

Existing Standard: If infirmatory care is provided onsite, it includes, at a minimum, the following:

- definition of the scope of infirmatory care services available
- a physician on call or available 24 hours per day
- health care personnel have access to a physician or a registered nurse and are on duty 24 hours per day when patients are present
- all inmates/patients are within sight or sound of a staff member
- an infirmatory care manual that includes nursing care procedures
- an infirmatory record that is a separate and distinct section of the complete medical record
- compliance with applicable state statutes and local licensing requirements

Proposal: If infirmatory care is provided onsite, it includes, at a minimum, the following:

- definition of the scope of infirmatory care services available
- a physician on call or available 24 hours per day
- health care personnel have access to a physician or a licensed nurse and are on duty 24 hours per day when patients are present
- all inmates/patients are within sight or sound of a staff member
- an infirmatory care manual that includes nursing care procedures
- an infirmatory record that is a separate and distinct section of the complete medical record
- compliance with applicable state statutes and local licensing requirements

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
TBD

Manual: Adult Local Detention Facilities

Edition: 4th Edition

Standard Number(s): 4-ALDF-7B-11

Type of Proposal: Revision

Existing Standard: Facility management and supervisory staff receive at least 40 hours of management and supervision training during their first year and at least 24 hours of management training each year thereafter.

Proposal: Facility management and supervisory staff receive at least 40 hours of management and/or supervisory training during their first year of employment/promotion and at least 24 hours of additional training relevant to their position each year thereafter.

General Comments: None

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
TBD

Manual: Adult Local Detention Facilities

Edition: 4th Edition

Standard Number(s): 4-ALDF-7B-16

Type of Proposal: Revision

Existing Standard: All security personnel are trained in self-defense and the use of force to control inmates.

Proposal: All security personnel, with on going direct contact with inmates, receive periodic training in use of force/self defense to control inmates.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
TBD

Manual: Juvenile Community Residential Facilities

Edition: 3rd Edition

Standard Number(s): 3-JCRF-3D-04-2

Type of Proposal: New Standard

Existing Standard: N/A

Proposal: Written policy, procedure and practice ensure that information is provided to juveniles about sexual abuse/assault including:

- prevention/intervention
- self-protection
- reporting sexual abuse/assault
- treatment and counseling

The information is communicated orally and in writing, in a language clearly understood by the juvenile, upon arrival at the facility.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None.

Manual: Juvenile Community Residential Facilities

Edition: 3rd Edition

Standard Number(s): 3-JCRF-3D-04-3

Type of Proposal: New Standard

Existing Standard: N/A

Proposal: Juveniles are screened within 24 hours of arrival at the facility for potential vulnerabilities or tendencies of acting out with sexually aggressive behavior. Housing assignments are made accordingly.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None.

Manual: Juvenile Community Residential Facilities

Edition: 3rd Edition

Standard Number(s): 3-JCRF-3D-04-4

Type of Proposal: New Standard

Existing Standard: N/A

Proposal: Written policy, procedure and practice require that an investigation is conducted and documented whenever a sexual assault is alleged, threatened or occurs.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None.

Manual: Juvenile Community Residential Facilities

Edition: 3rd Edition

Standard Number(s): 3-JCRF-3D-04-6

Type of Proposal: New Standard

Existing Standard: N/A

Proposal: Written policy, procedure and practice require that juveniles identified as at risk for sexual victimization are assessed by a mental health or other qualified professional. Such juveniles are identified, monitored and counseled.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None.

Manual: Juvenile Community Residential Facilities

Edition: 3rd Edition

Standard Number(s): 3-JCRF-3D-04-7

Type of Proposal: New Standard

Existing Standard: N/A

Proposal: Written policy, procedure and practice ensure that sexual conduct between staff and juveniles, volunteers, or contract personnel and juveniles, regardless of consensual status, is prohibited and subject to administrative and criminal disciplinary sanctions.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None.

Manual: Juvenile Community Residential Facilities

Edition: 3rd Edition

Standard Number(s): 3-JCRF-3D-04-8

Type of Proposal: New Standard

Existing Standard: N/A

Proposal: Victims of sexual assault are referred under appropriate security provisions to a community facility for treatment and gathering of evidence. If these procedures are performed in-house, the following guidelines are used:

- a history is taken by health care professionals who conduct an examination to document the extent of physical injury and to determine if referral to another medical facility is indicated. With the victim's consent, the examination includes collection of evidence from the victim, using a kit approved by the appropriate authority.
- provision is made for testing for sexually transmitted diseases (for example, HIV, gonorrhea, hepatitis, and other diseases) and counseling, as appropriate
- prophylactic treatment and follow-up for sexually transmitted diseases are offered to all victims, as appropriate
- following the physical examination, there is availability of an evaluation by a mental health professional to assess the need for crisis intervention counseling and long-term follow-up
- a report is made to the facility or program administrator or designee to assure separation of the victim from his or her assailant

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None.

Manual: Juvenile Community Residential Facilities

Edition: 3rd Edition

Standard Number(s): 3-JCRF-3D-04-9

Type of Proposal: New Standard

Existing Standard: N/A

Proposal: Written policy, procedure, and practice provide that juveniles who are victims of sexual abuse have the option to report the incident to a designated staff member other than an immediate point-of-contact line staff member.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None.

Manual: Juvenile Community Residential Facilities

Edition: 3rd Edition

Standard Number(s): TBD

Type of Proposal: New Standard

Existing Standard: N/A

Proposal: Written policy, procedure and practice provide that all case records associated with claims of sexual abuse and/or assault, including incident reports, investigative reports, juvenile information, case disposition, medical and counseling evaluation findings, and recommendations for post-release treatment and/or counseling are retained in accordance with an established schedule.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None.

Manual: All adult manuals

Edition: All Editions

Standard Number(s): TBD

Type of Proposal: New Standard

Existing Standard: N/A

Proposal: Whenever temperature exceeds 85 degrees Fahrenheit in a facility for the infirm, there shall be air conditioning. Whenever the temperature goes below 60 degrees Fahrenheit, there shall be sufficient heat to keep the facility above this temperature. All new facilities must have this standard for the entire facility.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None.

Manual: All manuals

Edition: All Editions

Standard Number(s): TBD

Type of Proposal: New Standard

Existing Standard: N/A

Proposal: A copy of the ACA accreditation standards must be available in the institutional library for the use of inmates.

General Comments: International CURE receives many requests to obtain the ACA accreditation standards from those incarcerated.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
None.

Manual: All manuals

Edition: All Editions

Standard Number(s): N/A

Type of Proposal: Revision of definition of new construction.

Existing Definition: ALDF Manual: New construction is for final plans approved after January 1, 1992.

ACI Manual: New construction is for final plans approved after January 1, 1990.

Proposed Definition: New construction is for final plans approved after January 1, 2000 and for final plans approved every ten years thereafter.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
TBD

Manual: All manuals

Edition: All Editions

Standard Number(s): N/A

Type of Proposal: Revision or Interpretation of definition of inter-system transfer and intra-system transfer.

Existing Definition: 2008 Supplement Glossary:

Intra-system transfer – transfers from facility to facility within a correctional system.

Inter-system transfer – transfers from one distinct correctional system to another.

Proposed Definition: Intra-system transfer – transfers from facility to facility within a correctional system. This only applies to contractual relationships if the contracting agency is ACA accredited.
Inter-system transfer – transfers from one distinct correctional system to another.

Action taken by the standards committee:

Approved

Denied

Tabled

FOR ACA STAFF USE ONLY

The above proposed revision, addition, or deletion would also affect the following manuals:
All manuals and all revisions.

Proposals that do not require action by the Standards Committee

During the Standards Committee meeting held at the ACA Conference in January 2008, in Grapevine, Texas, a motion was made, and approved, to grant the Director of Standards the latitude to administratively change standards as follows. For each standard proposal approved, the Director of Standards will review the approved revisions for applicability to other standards manuals and make revisions to standards from those manuals as appropriate. The following standards proposals were submitted for the 138th Congress of Correction in New Orleans, Louisiana and do not require action by the Standards Committee. They will be administratively changed and published in the 2010 supplement and do not require any comments from the field. As with any change made by the Standards Committee, facilities may utilize the revision of the standard if it is to their benefit. Facilities will not be held accountable for any revision not officially published in a supplement manual.

Manual: Adult Correctional Boot Camp Programs

Edition: 1st Edition

Standard Number(s): 1-ABC-1C-13

Type: Revision

Standard: Written policy, procedure, and practice provide that employees who have direct contact with inmates receive a physical examination prior to job assignment. All other employees receive a medical screening prior to job assignment. Employees receive re-examinations according to a defined need or schedule.

Manual: Adult Correctional Boot Camp Programs

Edition: 1st Edition

Standard Number(s): 1-ABC-1D-12

Type: Revision

Standard: Written policy, procedure, and practice provide that all support employees who have regular or daily contact with inmates receive 40 hours of training in addition to orientation training during their first year of employment and 40 hours of training each year thereafter.

Manual: Adult Correctional Boot Camp Programs

Edition: 1st Edition

Standard Number(s): 1-ABC-1G-02

Type: Deletion

Standard: N/A

Manual: Adult Correctional Boot Camp Programs

Edition: 1st Edition

Standard Number(s): 1-ABC-1G-03

Type: Revision

Standard: Written policy and procedure specify who is responsible for operating a citizen involvement and volunteer service program, and their lines of authority, responsibility, and accountability.

Manual: Adult Correctional Boot Camp Programs

Edition: 1st Edition

Standard Number(s): 1-ABC-3A-20

Type: Revision

Standard: (Mandatory) Written policy, procedure, and practice govern the control, inventory and use of tools, culinary and medical/dental instruments and supplies (syringes, needles and other sharps).

Manual: Adult Correctional Boot Camp Programs

Edition: 1st Edition

Standard Number(s): 1-ABC-3B-12

Type: Revision

Standard: (Mandatory) All institution personnel are trained in the implementation of written emergency plans. Work stoppage plans are communicated only to appropriate supervisory or other personnel directly involved in the implementation of those plans.

Manual: Adult Correctional Boot Camp Programs

Edition: 1st Edition

Standard Number(s): 1-ABC-4E-15

Type: Revision

Standard: Unless prohibited by state law, offenders (under staff supervision) may perform familial duties commensurate with their level of training. These duties may include the following:

- peer support and education
- hospice activities
- assisting impaired offenders on a one-on-one basis with activities of daily living
- serving as a suicide companion or buddy if qualified and trained through a formal program that is part of a suicide prevention plan

Offenders are not to be used for the following duties:

- performing direct patient care services
- scheduling health care appointments
- determining access of other offenders to health care services
- handling or having access to surgical instruments, syringes, needles, medications, or health records
- operating diagnostic or therapeutic equipment except under direct supervision (by specially trained staff) in a vocational training program

Manual: Correctional Training Academies

Edition: 1st Edition

Standard Number(s): 1-CTA-3A-22

Type: Revision

Standard: Written policy, procedure and practice provide that correctional officers assigned to an emergency unit have at least one year of corrections and 40 hours of specialized training

before undertaking their assignments. Other staff must have at least one year of experience in their specialty within a correctional setting. The specialized training may be part of their first year training program. Officers and staff assigned to emergency units receive 40 hours of training annually, at least 16 of which are specifically related to emergency unit assignment.

Manual: Performance Based Standards for Correctional Healthcare in Adult Correctional Institutions

Edition: 1st Edition

Standard Number(s): 1-HC-3A-13-7

Type: Deletion

Standard: N/A

Manual: Standards for Juvenile Community Residential Facilities

Edition: 3rd Edition

Standard Number(s): 3-JCRF-3D-04-1

Type: Addition

Standard: Written policy, procedure, and practice provide for the reporting of all instances of child abuse and/or neglect consistent with appropriate state law or local laws.

Manual: Standards for Juvenile Community Residential Facilities

Edition: 3rd Edition

Standard Number(s): 3-JCRF-3D-04-5

Type: Addition

Standard: Written policy, procedure, and practice require that juveniles identified as high risk with a history of assaultive behavior are assessed by a mental health or other qualified professional. Such juveniles are identified, monitored, counseled, and provided appropriate treatment.

Note: As a result of the published **Performance-Based Standards for Health Care in Adult Correctional Institutions** standards in the **2008 Supplement**, the following **Standards for Adult Correctional Institutions** standards are also revised and will be officially published in the **2010 Supplement**. As with any change made by the Standards Committee, facilities may utilize the revision of the standard if it is to their benefit. Facilities will not be held accountable for any revision not officially published in a supplement manual.

4-4346 Revised January 2006.

There is a process for all offenders to initiate requests for health services on a daily basis. These requests are triaged daily by qualified health care professionals or health trained personnel. A priority system is used to schedule clinical services. Clinical services are available to offenders in a clinical setting at least five days a week and are performed by a health care practitioner or other qualified health care professional.

Comment: A priority system addresses routine, urgent, and emergent complaints and conditions. Health care request forms must be readily available to all offenders. Clinical services include sick call, nursing assessments and chronic care.

Protocols: Written policy and procedure. Sick call request form.

Process Indicators: A health record. Sick call request forms. Clinical provider schedules. Observation. Interviews.

4-4347 Revised January 2006

Continuity of care is required from admission to transfer or discharge from the facility, including referral to community-based providers when indicated. Offender health care records should be reviewed by the facility's qualified health care professional upon arrival from outside health care entities including those from inside the correctional system.

4-4348 Revised January 2006

Offenders who need health care beyond the resources available in the facility, as determined by the responsible health care practitioner, are transferred under appropriate security provisions to a facility where such care is available. There is a written list of referral sources to include emergency and routine care. The list is reviewed and updated annually.

4-4349 Revised January 2006

A transportation system that assures timely access to services that are only available outside the correctional facility is required. Such a system needs to address the following issues:

- Prioritization of medical need
- Urgency (for example, ambulance vs. standard transport)
- Use of medical escort to accompany security staff, if indicated
- Transfer of medical information

The safe and timely transportation of offenders for medical, mental health, and dental clinic appointments, both inside and outside the correctional facility (for example, hospital, health care provider, or another correctional facility), is the joint responsibility of the facility or program administrator and the health services administrator.

4-4350 Revised January 2006

A written individual treatment plan is required for offenders requiring medical supervision, including chronic and convalescent care. This plan includes directions to health care and other personnel regarding their roles in the care and supervision of the patient, and is developed by the appropriate health care practitioner for each offender requiring a treatment plan.

4-4351 (Mandatory) Revised January 2006

There is a written plan for access to twenty-four-hour emergency medical, dental, and mental health services availability. The plan includes:

- on-site emergency first aid and crisis intervention
- emergency evacuation of the offender from the facility
- use of an emergency medical vehicle
- use of one or more designated hospital emergency rooms or other appropriate health facilities
- emergency on-call or available 24-hours per day, physician, dentist, and mental health professional services when the emergency health facility is not located in a nearby community
- security procedures providing for the immediate transfer of offenders when appropriate

4-4352 Revised January 2006

Offenders are provided access to infirmary care either within the correctional setting or off site. If infirmary care is provided onsite, it includes, at a minimum, the following:

- definition of the scope of infirmary care services available
- a physician on call or available twenty-four hours per day
- health care personnel have access to a physician or a registered nurse and are on duty twenty-four hours per day when patients are present
- all offenders/patients are within sight or sound of a staff member

- an infirmary care manual that includes nursing care procedures
- compliance with applicable state statutes and local licensing requirements

Comment: An infirmary, within the correctional setting or a specific area of a health care facility separate from other housing areas, where offenders are housed and provided health care. Admission and discharge from this area is controlled by medical orders or protocols.

Protocols: Written policy or procedures. Nursing manual. Licensing requirements and regulations.

Process Indicators: Admission and inpatient records. Staffing schedules. Documentation of compliance with licensing requirements and regulations. Observation. Interviews.

4-4354 (Mandatory) Revised January 2006

There is a written program to address the management of communicable and infectious diseases in offenders. The program plan shall include procedures for:

- Prevention to include immunizations, when applicable
- Surveillance (identification and monitoring)
- Offenders education and staff training
- Treatment to include medical isolation, when indicated
- Follow-up care
- Reporting requirements to applicable local, state, and federal agencies
- Confidentiality/ Protected health information
- Appropriate safe guards for offenders and staff
- Post exposure management protocols particularly for HIV and viral Hepatitis infection.

Communicable disease and infection control activities are discussed and reviewed at least quarterly by a multidisciplinary team that includes clinical, security, and administrative representatives.

Comment: Because of the serious nature, methods of transmission, and public sensitivity, communicable and infectious diseases require special attention. Agencies work with the responsible public health authority in establishing policy and procedures.

Protocols: Written policy; procedure; offender education and staff training curriculums; and treatment guidelines.

Process Indicators: Health record entries; communicable and infectious diseases education and training records; minutes of committee meeting addressing communicable and infectious disease management; observations and interviews.

4-4354-1 Added August 2006.

The management of offenders with Methicillin Resistant Staphylococcus Aureus (MRSA)

infection includes requirements identified in the communicable disease and infection control program. In addition, the program for MRSA management shall include procedures for:

- Evaluating and treating infected inmates in accordance with an approved practice guideline
- Medical isolation, when indicated
- Follow-up care, including arrangements with appropriate health care authorities for continuity of care if offenders are relocated prior to the completion of therapy

Comment: None.

Protocols: Written policy and procedure. Treatment program.

Process Indicators: Health records including laboratory reports, medical isolation logs, and treatment plans; observations and interviews.

4-4355 (Mandatory) Revised January 2006

Management of Tuberculosis (TB) in offenders includes procedures as identified in the communicable disease and infection control program. In addition, the program for TB management shall include procedures for:

- When and where offenders are to be screened/tested
- Treatment, of latent tuberculosis infection and tuberculosis disease
- Medical Isolation, when indicated
- Follow-up care, including arrangement with applicable Departments of Health for continuity of care if offender is released prior to completion of therapy

Comment: Plans for the management of tuberculosis may be based on incidence and prevalence of the disease within the correctional agency's population and the surrounding community.

Protocols: Written policy; procedure and treatment guidelines.

Process Indicators: Health records including Tuberculosis testing, x-ray reports, laboratory reports, and treatment plans; observations and interviews.

4-4356 (Mandatory) Revised January 2006

Management of Hepatitis A, B, and C in offenders includes procedures as identified in the communicable disease and infection control program. In addition, the program for hepatitis management shall include procedures for:

- When and where offenders are to be tested/screened
- Hepatitis A and B Immunization, when applicable
- Treatment protocols
- When and under what conditions offenders are to be separated from the general

population

Comment: None.

Protocols: Written policy/procedure and treatment guidelines.

Process Indicators: Health records including laboratory reports, immunization administration records, and treatment plans; observations and interviews.

4-4357 (Mandatory) Revised January 2006

Management of HIV infection in offenders includes procedures as identified in the communicable disease and infection control program. In addition, the program for HIV management shall include:

- When and where offenders are to be HIV tested
- Pre and post test counseling
- Immunization and other prevention measures, when applicable
- Treatment protocols
- Confidentiality/Protected health information
- When and under what conditions offenders are to be separated from the general population

Comment: None

Protocols: Written policy; procedure and treatment guidelines.

Process Indicators: Health records including laboratory reports, pre and post test counseling documentation and treatment plans; observations and interviews.

4-4360 Revised January 2006

Routine and emergency dental care is provided to each offender under the direction and supervision of a licensed dentist. There is a defined scope of available dental services, including emergency dental care, which includes the following:

- a dental screening upon admission by a qualified health care professional or health trained personnel
- a full dental examination by a dentist within 30 days
- oral hygiene, oral disease education and self care instruction are provided by a qualified health care provider within 30 days
- a defined charting system that identifies the oral health condition and specifies the priorities for treatment by category; is completed
- consultation and referral to dental specialists, including oral surgery, is provided when necessary

Comment: Dental screening is an assessment of dental pain, swelling or functional impairment.

As part of the initial health screening, a dentist or health care personnel properly trained and designated by the dentist should perform dental screenings. The dental program should also provide offenders with instruction on the proper brushing of teeth and other dental hygiene measures.

The dental examination should include a periodontal examination (Periodontal Screening and Recording (PSR) or Community Periodontal Index of Treatment Needs (CPITN)) and taking or reviewing the patient's dental history. An examination of the hard and soft tissues of the oral cavity by means of an illuminator light, mouth mirror, and explorer should be preformed. X-rays for diagnostic purposes should be available if deemed necessary. The result of the dental examination and dental treatment plan are recorded on an appropriate uniform dental record using a numbered system such as the Federation Dental International System.

4-4362 (Mandatory) Revised January 2006

Intake medical screening for offender transfers, excluding intra-system, commences upon the offender's arrival at the facility and is performed by health-trained or qualified health care personnel. All findings are recorded on a screening form approved by the health authority. The screening includes at least the following:

Inquiry into:

- any past history of serious infectious or communicable illness, and any treatment or symptoms (for example, a chronic cough, hemoptysis, lethargy, weakness, weight loss, loss of appetite, fever, night sweats that are suggestive of such illness), and medications
- current illness and health problems, including communicable diseases
- dental problems
- use of alcohol and other drugs, including type(s) of drugs used, mode of use, amounts used, frequency used, date or time of last use, and history of any problems that may have occurred after ceasing use (for example, convulsions)
- the possibility of pregnancy and history of problems (female only); and other health problems designated by the responsible physician

Observation of the following:

- behavior, including state of consciousness, mental status, appearance, conduct, tremor, and sweating
- body deformities, ease of movement, and so forth
- condition of the skin, including trauma markings, bruises, lesions, jaundice, rashes, and infestations, recent tattoos, and needle marks or other indications of drug abuse

Medical disposition of the offender:

- general population
- general population with prompt referral to appropriate health care service
- referral to appropriate health care service for emergency treatment

Offenders, who are unconscious, semiconscious, bleeding, or otherwise obviously in need of immediate medical attention, are referred. When they are referred to an emergency department, their admission or return to the facility is predicated on written medical clearance. When screening is conducted by trained custody staff, procedures will require a subsequent review of positive findings by the licensed health care staff. Written procedures and screening protocols are established by the responsible physician in cooperation with the facility manager.

Inmates confined within a correctional complex with consolidated medical services do not require health screening for intra-system transfers.

4-4365 (Mandatory) Revised January 2006

A comprehensive health appraisal for each offender, excluding intra-system transfers, is completed as defined below, after arrival at the facility. If there is documented evidence of a health appraisal within the previous ninety days, a new health appraisal is not required, except as determined by the designated health authority. Health appraisals include the following:

Within fourteen days after arrival at the facility:

- review of the earlier receiving screen
- collection of additional data to complete the medical, dental, mental health, and immunization histories
- laboratory or diagnostic tests to detect communicable disease, including venereal disease and tuberculosis
- record of height, weight, pulse, blood pressure, and temperature
- other tests and examinations, as appropriate

Within fourteen days after arrival for inmates with identified significant health care problems:

- medical examination, including review of mental and dental status (for those inmates with significant health problems discovered on earlier screening such as cardiac problems, diabetes, communicable diseases, and so forth.)
- review of the results of the medical examination, tests, and identification of problems by a health care practitioner or other qualified health care professional, if such is authorized in the medical practice act
- initiation of therapy, when appropriate
- development and implementation of a treatment plan, including recommendations concerning housing, job assignment, and program participation

Within thirty days after arrival for inmates without significant health care problems:

- medical examination, including review of mental and dental status (for those inmates without significant health care concerns identified during earlier screening—no identified acute or chronic disease, no identified communicable disease, and so forth)
- review of the results of the medical examination, tests, and identification of problems by a health care practitioner or other qualified health care professional, if such is authorized in the medical practice act
- initiation of therapy, when appropriate
- development and implementation of a treatment plan, including recommendations concerning housing, job assignment, and program participation

4-4366 Revised January 2006

Health appraisal data collection and recording will include the following:

- a uniform process as determined by the health authority
- health history and vital signs collected by health-trained or qualified health care personnel
- collection of all other health appraisal data performed only by qualified health professional
- review of the results of the medical examination, tests and identification of problems is performed by a physician or mid-level practitioner, as allowed by law

4-4367 Revised January 2006

The conditions for periodic health examinations for offenders are determined by the health authority.

Comment: All offenders should receive a thorough physical examination.

4-4368 (Mandatory) Revised January 2006

The mental health program is approved by the appropriate mental health authority and includes at a minimum:

- screening on intake
- outpatient services for the detection, diagnosis, and treatment of mental illness
- crisis intervention and the management of acute psychiatric episodes
- stabilization of the mentally ill and the prevention of psychiatric deterioration in the correctional setting
- elective therapy services and preventive treatment where resources permit
- provision for referral and admission to mental health facilities for offenders whose psychiatric needs exceed the treatment capability of the facility

- procedures for obtaining and documenting informed consent

4-4369 Deleted January 2006

4-4370 (Mandatory) Revised January 2006

All intersystem and intra-system transfer offenders will receive an initial mental health screening at the time of admission to the facility by mental health trained or qualified mental health care professional. The mental health screening includes, but is not limited to:

Inquiry into:

- whether the offender has a present suicide ideation
- whether the offender has a history of suicidal behavior
- whether the offender is presently prescribed psychotropic medication
- whether the offender has a current mental health complaint
- whether the offenders are being treated for mental health problems
- whether the offender has a history of inpatient and outpatient psychiatric treatment
- whether the offender has a history of treatment for substance abuse

Observation of:

- general appearance and behavior
- evidence of abuse and/or trauma
- current symptoms of psychosis, depression, anxiety, and/or aggression

Disposition of offender:

- to the general population
- to the general population with appropriate referral to mental health care service
- referral to appropriate mental health care service for emergency treatment

4-4371 (Mandatory) Revised January 2006

All intersystem offender transfers will undergo a mental health appraisal by a qualified mental health professional within fourteen days of admission to a facility. If there is documented evidence of a mental health appraisal within the previous ninety days, a new mental health appraisal is not required, except as determined by the designated mental health authority. Mental health appraisals include, but are not limited to:

- review of available historical records of inpatient and outpatient psychiatric treatment

- review of history of treatment with psychotropic medication
- review of history of psychotherapy, psycho educational groups, and classes or support groups
- review of history of drug and alcohol treatment
- review of educational history
- review of history of sexual abuse-victimization and predatory behavior
- assessment of current mental status and condition
- assessment of current suicidal potential and person-specific circumstances that increase suicide potential
- assessment of violence potential and person-specific circumstances that increase violence potential
- assessment of drug and alcohol abuse and/or addiction
- use of additional assessment tools, as indicated
- referral to treatment, as indicated
- development and implementation of a treatment plan, including recommendations concerning housing, job assignment, and program participation

4-4372 Revised January 2006

Offenders referred for mental health treatment will receive a comprehensive evaluation by a qualified mental health practitioner. The evaluation is to be completed within fourteen days of the referral request date and include at least the following:

- review of mental health screening and appraisal data
- direct observations of behavior
- collection and review of additional data from individual diagnostic interviews and tests assessing personality, intellect, and coping abilities
- compilation of the individual's mental health history
- development of an overall treatment/management plan with appropriate referral to include transfer to mental health facility for offenders whose psychiatric needs exceed the treatment capability of the facility

4-4375 Revised January 2006

Medical or dental adaptive devices (eyeglasses, hearing aids, dentures, wheelchairs, or other prosthetic devices) are provided when medically necessary as determined by the responsible health care practitioner.

4-4376 (Mandatory) Revised January 2006

Detoxification is done only under medical supervision in accordance with local, state, and federal laws. Detoxification from alcohol, opiates, hypnotics, other stimulants, and sedative hypnotic drugs is conducted under medical supervision when performed at the facility or is

conducted in a hospital or community detoxification center. Specific guidelines are followed for the treatment and observation of individuals manifesting mild or moderate symptoms of intoxication or withdrawal from alcohol and other drugs.

4-4380 (Mandatory) Revised January 2006

The facility has a designated health authority with responsibility for ongoing health care services pursuant to a written agreement, contract, or job description. Such responsibilities include:

- establish a mission statement which defines the scope of health care services;
- develop mechanisms, including written agreements when necessary, to assure that the scope of services are provided and properly monitored;
- develop a facility's operational health policies and procedures;
- identify the type of health care staff needed to provide the determined scope of services;
- establish systems for the coordination of care among multi-disciplinary health care providers; and
- develop a quality management program

The health authority may be a physician, health services administrator, for health agency. When the health authority is other than a physician, final clinical judgments rest with a single, designated, responsible physician. The health authority is authorized and responsible for making decisions about the deployment of health resources and the day-to-day operations of the health services program.

4-4381 (Mandatory) Revised January 2006

Clinical decisions are the sole province of the responsible health care practitioner and are not countermanded by non-clinicians.

4-4382 (Mandatory) Revised January 2006

If the facility provides health care services, they are provided by qualified health care staff whose duties and responsibilities are governed by written job descriptions, contracts or written agreements approved by the health authority. Verification of current credentials and job descriptions are on file in the facility.

4-4383 Revised January 2006

When institutions do not have qualified health care staff, health trained personnel coordinate the health delivery services in the institution under the joint supervision of the responsible health authority and warden or superintendent.

4-4384 Deleted January 2006

4-4385 Revised January 2006

All full-time health care staff who have offender contact receive forty hours of training in addition to orientation training during their first year of employment and forty hours of training each year thereafter.

4-4386 Revised January 2006

All direct care staff are screened for tuberculosis infection and disease prior to job assignment and periodically in accordance with recommendations from applicable local, state and federal public health authorities.

4-4387 Revised January 2006

All direct care staff are offered the hepatitis B vaccine series in accordance with the institutions exposure control plan.

4-4388 (Mandatory) Revised January 2006

All health care staff in the facility are trained in the implementation of the facility's emergency plans. Health care staff are included in facility emergency drills as applicable.

4-4389 (Mandatory) Revised January 2006

Designated correctional and all health care staff are trained to respond to health-related situations within a four-minute response time. The training program is conducted on an annual basis and is established by the responsible health authority in cooperation with the facility or program administrator and includes instruction on the following:

- recognition of signs and symptoms, and knowledge of action required in potential emergency situations,
- administration of basic first aid
- certification in cardiopulmonary resuscitation (CPR) in accordance with the recommendations of the certifying health organization
- methods of obtaining assistance,
- signs and symptoms of mental illness, violent behavior, and acute chemical intoxication and withdrawal

- procedures for patient transfers to appropriate medical facilities or health care providers
- suicide intervention

4-4396 (Mandatory) Revised January 2006

The principle of confidentiality applies to offender health records and information about offender health status.

- The active health record is maintained separately from the confinement case record.
- Access to the health record is in accordance with state and federal law.
- To protect and preserve the integrity of the facility, the health authority shares with the superintendent/warden information regarding an offender's medical management.
- The circumstances are specified when correctional staff should be advised of an offender's health status. Only that information necessary to preserve the health and safety of an offender, other offenders, volunteers/visitors or the correctional staff is provided.
- Policy determines how information is provided to correctional/classification staff/volunteers/visitors to address the medical needs of the offender as it relates to housing, program placement, security and transport.
- The release of health information complies with Health Insurance Portability and Accountability Act (HIPAA), where applicable, in a correctional setting.

4-4399 Revised January 2006

There is consultation between the facility and program administrator (or a designee) and the responsible health care practitioner (or designee) prior to taking action regarding chronically ill, physically disabled, geriatric, seriously mentally ill, or developmentally disabled offenders in the following areas:

- housing assignments
- program assignments
- disciplinary measures
- transfers to other facilities

When immediate action is required, consultation to review the appropriateness of the action occurs as soon as possible, but no later than seventy-two hours.

4-4400 (Mandatory) Revised January 2006

When an offender is transferred to segregation, health care staff will be informed immediately

and will provide a screening and review as indicated by the protocols established by the health authority. Unless medical attention is needed more frequently, each offender in segregation receives a daily visit from a qualified health care professional. The visit ensures that offenders have access to the healthcare system. The presence of a health care provider in segregation is announced and recorded. The frequency of physician visits to segregation units is determined by the health authority.

4-4402 (Mandatory) Revised January 2006

The use of offenders for medical, pharmaceutical, or cosmetic experiments is prohibited. This does not preclude offender participation in clinical trials that are approved by an institutional review board based on his/her need for a specific medical intervention. Institutions electing to perform research will be in compliance with all state and federal guidelines.

4-4403-1 Added January 2006.

If Telehealth is used for patient encounters, the plan includes policies for:

- Patient consent
- Confidentiality/Protected health information
- Documentation
- Integration of the report of the consultation into the primary health care record

Comment: None.

Protocols: Written policy/ procedure; Tele-health appointment logs.

Process Indicators: Patient consent form for Tele-health; health records; interviews

4-4405 (Mandatory) Revised January 2006

The use of restraints for medical and psychiatric purposes is defined, at a minimum by the following:

- conditions under which restraints may be applied
- types of restraints to be applied
- identification of a qualified medical or mental health care practitioner who may authorize the use of restraints after reaching the conclusion that less intrusive measures would not be successful
- monitoring procedures for offenders in restraints
- length of time restraints are to be applied
- documentation of efforts for less restrictive treatment alternatives as soon as possible
- an after-incident review

4-4409 Deleted January 2006.

4-4411 (Mandatory) Revised January 2006

A documented peer review program for all health care practitioners and a documented external peer review program will be utilized for all physicians, psychologists and dentists every two years.

4-4412 Revised January 2006

The facility uses a health care staffing analysis to determine the essential positions needed to perform the health services mission and provide the defined scope of services. A staffing plan is developed and implemented from this analysis. There is an annual review of the staffing plan by the health authority to determine if the number and type of staff is adequate.

4-4414 Revised January 2006

Non-emergency offender transfers require the following:

- Health record confidentiality to be maintained.
- Summaries, originals, or copies of the health record accompany the offender to the receiving facility. Health conditions, treatments and allergies should be included in the record.
- Determination of suitability for travel based on medical evaluation, with particular attention given to communicable disease clearance;
- Written instructions regarding medication or health interventions required en route should be provided to transporting officers separate from the medical record.
- Specific precautions (including standard) to be taken by transportation officers (for example, masks or gloves).

A medical summary sheet is required for all inter- and intra-system transfers to maintain the provision of continuity of care. Information included does not require a release of information form.

Inmates confined within a correctional complex with consolidated medical services do not require health screening for intra-system transfers.

4-4426 Revised January 2006

Adequate space is provided for administrative, direct care, professional, and clerical staff. This space includes conference areas, storage room for records, a public lobby, and toilet facilities.

Note: The following are corrections for the 2008 Supplement.

1. The following standard was not correctly identified as a mandatory standard.

4-ACRS-1C-09 (Mandatory) Revised August 2007

There is a written evacuation plan to be used in the event of a fire. The plan is certified by an independent qualified agency or individual trained in the application of national fire safety codes. The plan is reviewed annually, updated if necessary and reissued to the local fire jurisdiction. The plan includes the following:

- location of building/room floor plan
- use of exit signs and directional arrows that are easily seen and read
- location of publicly posted plan
- at least quarterly drills in all facility locations, and on every shift, including administrative areas

Comment: The evacuation plan also should specify evacuation routes, subsequent disposition and temporary housing of offenders, and provision for medical care or hospital transportation for injured offenders and/or staff.

Protocols: Written policy/procedure. Facility plan/specifications. Written emergency plan.

Process Indicators: Certification of emergency plan approval. Documentation of annual review by local fire jurisdiction. Documentation of credentials of person or agency that provided approval.

2. The following standards were identified in the 2008 Supplement as being added in August 2007; they were added in January 2007.

4-4530 & 4-ALDF-7G-01

Added January 2007

Written policy, procedure, and practice require that ongoing, but not less than semi-annually, consultation takes place as determined by the agency or parent agency with the local Joint Terrorism Task Force (JTTF), or another similar agency, on all terrorism matters to include:

- a list of known terrorist inmates in local custody
- intelligence regarding inmates with suspected terrorist ties
- information regarding specific incidents, events, or threats affecting the institution or detention facility that have a possible terrorism connection

3. The following standard was deleted in January 2007 but was not identified in the 2008

Supplement.

4-ALDF-2A-32 Deleted January 2007

4. The following standards for the Performance-Based Standards for Correctional Health Care in Adult Correctional Institutions manual in the 2008 Supplement referenced the wrong standards in the Adult Correctional Institution manual.

1-HC-1A-28 Revised January 2006 (Ref. 4-4371) (Mandatory)

All intersystem offender transfers will undergo a mental health appraisal by a qualified mental health professional within fourteen days of admission to a facility. If there is documented evidence of a mental health appraisal within the previous ninety days, a new mental health appraisal is not required, except as determined by the designated mental health authority. Mental health appraisals include, but are not limited to:

- review of available historical records of inpatient and outpatient psychiatric treatment
- review of history of treatment with psychotropic medication
- review of history of psychotherapy, psycho educational groups, and classes or support groups
- review of history of drug and alcohol treatment
- review of educational history
- review of history of sexual abuse-victimization and predatory behavior
- assessment of current mental status and condition
- assessment of current suicidal potential and person-specific circumstances that increase suicide potential
- assessment of violence potential and person-specific circumstances that increase violence potential
- assessment of drug and alcohol abuse and/or addiction
- use of additional assessment tools, as indicated
- referral to treatment, as indicated
- development and implementation of a treatment plan, including recommendations concerning housing, job assignment, and program participation

1-HC-3A-07 Revised January 2006 (Ref. 4-4400) (Mandatory)

When an offender is transferred to segregation, health care staff will be informed immediately and will provide a screening and review as indicated by the protocols established by the health authority. Unless medical attention is needed more frequently, each offender in segregation receives a daily visit from a qualified health care professional. The visit ensures that offenders have access to the healthcare system. The presence of a health care provider in segregation is announced and recorded. The frequency of physician visits to segregation units is determined by the health authority.

5. With the publication of the Adult Correction Institution manual in January 2003 the

following standard in the Performance-Based Standards for Correctional Health Care in Adult Correctional Institutions manual should have been updated to reflect that it was revised in January 2003 and that it is a mandatory standard.

1-HC-6A-13 Revised January 2003 (Mandatory)

Written policy, procedure, and practice provide for adequate health protection for all inmates and staff in the institution, and inmates and other persons working in the food service, including the following:

- where required by the laws and/or regulations applicable to food service employees in the community where the facility is located, all persons involved in the preparation of food receive a pre-assignment medical examination and periodic reexaminations to ensure freedom from diarrhea, skin infections, and other illnesses transmissible by food or utensils; all examinations are conducted in accordance with local requirements.
- when the institution's food services are provided by an outside agency or individual, the institution has written verification that the outside provider complies with the state and local regulations regarding food service
- all food handlers are instructed to wash their hands upon reporting to duty and after using toilet facilities
- inmates and other persons working in food service are monitored each day for health and cleanliness by the director of food services (or designee)

6. The following standard indicates that it was revised in August 2005 which is incorrect; it was revised in January 2005.

4-ALDF-7B-08 Revised January 2005

All new professional and support employees, including contractors, who have regular or daily inmate contact receive training during their first year of employment. Forty hours are completed prior to being independently assigned to a particular job. An additional 40 hours of training is provided each subsequent year of employment. At a minimum, this training covers the following areas:

- security procedures and regulations
- supervision of inmates
- signs of suicide risk
- suicide precautions
- use-of-force regulations and tactics
- report writing
- inmate rules and regulations
- key control
- rights and responsibilities of inmates
- safety procedures
- all emergency plan and procedures

- interpersonal relations
 - social/cultural lifestyles of the inmate population
 - cultural diversity
 - communication skills
 - CPR/First aid
 - counseling techniques
 - sexual harassment/sexual misconduct awareness
 - code of ethics
7. With the publication of the Performance-Based Standards for Adult Local Detention Facilities, 4th Edition, in June 2004, standard 4-ADLF-4A-09 was published as a non-mandatory standard. Subsequently standard 4-4318 in the Adult Correctional Institutions manual, and standard 1-HC-1A-38 in the Performance-Based Standards for Correctional Health Care in Adult Correctional Institutions, were revised in August 2004 and made non-mandatory and additional language was also added to the standard. The 2008 Supplement correctly lists some of the standards and incorrectly lists others.

For all of the following manuals the standard is non-mandatory and should read as follows:

4-ACRS-4A-02 Revised August 2004
1-ABC-4C-06 Revised August 2004
3-JCRF-4A-05 Revised August 2004
1-JBC-4A-05 Revised August 2004
3-JTS-4A-07 Revised August 2004
1-JDTP-3A-05 Revised August 2004
3-JDF-4A-06 Revised August 2004
SJ-127 Revised August 2004
1-SJD-4A-06 Revised August 2004

Therapeutic diets are provided as prescribed by appropriate clinicians. A therapeutic diet manual is available in health services and food services for reference and information. Prescriptions for therapeutic diets should be specific and complete, furnished in writing to the food service manager, and rewritten annually, or more often as clinically indicated.