

GOALS, PERFORMANCE STANDARDS AND PRACTICES  
COMMUNITY CORRECTIONS ADULT RESIDENTIAL CENTERS



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## AUTHORIZATION

**K.S.A 75-5296 (b)** The secretary of corrections shall adopt rules and regulations establishing additional requirements for receipt of grants under this act, *standards for the operation of the correctional services* described in K.S.A. 75-5291 and amendments thereto and standards for performance evaluation of the correctional services described in K.S.A. 75-5291 and amendments thereto. In order to remain eligible for grants the county or group of cooperating counties shall substantially comply with the operating standards established by the secretary of corrections.

**(e)** When the secretary of corrections determines that there are reasonable grounds to believe that a county or group of cooperating counties is not in substantial compliance with the minimum operating standards adopted pursuant to this section, at least 30 days notice shall be given the county or to each county in the group of cooperating counties and a hearing shall be held in accordance with the provisions of the Kansas administrative procedure act to ascertain whether there is substantial compliance or satisfactory progress being made toward compliance. If the secretary of corrections determines at such hearing that there is not substantial compliance or satisfactory progress being made toward compliance, the secretary of corrections may suspend all or a portion of any grant under this act until the required standards of operation have been met.

This document comprises the minimum standards for the operation of Community Corrections Adult Residential Centers, and replaces those issued October 1995 with the effective date of January 1, 1996. These standards are hereby approved for distribution on April 23, 2001, and shall become effective July 1, 2001.

\_\_\_\_\_  
Robert Sanders, Deputy Secretary, Community and  
Field Services

\_\_\_\_\_  
Today's Date

\_\_\_\_\_  
Charles Simmons, Secretary

\_\_\_\_\_  
Today's Date

## INTRODUCTION

This document comprises select standards from the Adult Community Residential Standards (ACRS) prepared by the American Correctional Association (ACA). The standards provide a means by which the Kansas Department of Corrections (KDOC) can begin establishing benchmarks to measure the future performance of Community Corrections Residential Centers.

The KDOC convened a Residential Standards Review Team August 3, 2000 to consider and recommend revisions to standards implemented January 1996 for Community Corrections Residential Centers. The team represented management, supervisory and line staff from the Johnson County Community Corrections Residential Center, New Century, Kansas, and the Sedgwick County Community Corrections Residential Center, Wichita, Kansas. The centers are located in two of the states largest counties.

The team met on three occasions for an approximate total of 24 meeting hours. Additional time was dedicated towards completing numerous other tasks. This document includes six Functional Areas, six Goals, 15 Performance Standards, and 68 Expected Practices. This initiative represents a partnership between the residential centers and the KDOC. Team members include:

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## 1. SAFETY

**GOAL: Provide a safe environment for the community, staff, and offenders.**

### PERFORMANCE STANDARD

**1A. The community, staff, and offenders are protected from injury and illness caused by the physical environment.**

### EXPECTED PRACTICES

#### Sanitation

CCRS-1A-1 (Ref.4-ACRS-1A-2) Sanitation and safety inspections are conducted weekly. Inspection results are reviewed, and deficiencies are corrected.

*Comment:* None

Protocols: Written policy/procedure. Policy and procedure describe review and corrective action. Sanitation, and safety inspection checklists.

Process Indicators: Completed inspection checklists and reports. Documentation of corrective action.

#### Housekeeping

CCRS-1A-2 (Ref.R-ACRS-1A-6) The facility is clean and in good repair, and a housekeeping and maintenance plan is in effect.

*Comment:* Dirt or disrepair, such as large cracks in the plaster, holes in walls and ceilings, chipped and peeling paint, broken windows, or worn carpeting are not acceptable in any facility designated for community living.

Protocols: Written policy/procedure. Housekeeping plan. Inspection Forms, and Maintenance Forms.

Process Indicators: Completed inspection forms/reports, documentation of observation, and action taken. Verification of repairs by facility personnel and outside contractors.

#### Physical Plant

CCRS-1A-3 (Ref.4-ACRS-1A-9) The facility conforms to all applicable building codes and applicable federal laws. If the facility is not subject to local (city and/or county) building codes, state codes will be applicable.

*Comment:* Often a state or local jurisdiction will license a residential facility, indicating the facility complies with all building codes. Letters or certificates of compliance are acceptable when a license is not issued.

Protocols: Written policy/procedure. Statement of rated capacity. Facility plans/specifications

Process Indicators: Copies of inspection reports, approvals, licenses.

CCRS-1A-4 (Ref.4-ACRS-1A-12) Offenders have access to operate showers with temperature controlled hot and cold running water, at a minimum ratio of one shower for every eight offenders, unless national or state building or health codes specify a different ratio. Water for showers is thermostatically controlled to temperatures ranging from 100 degrees Fahrenheit to 120 degrees Fahrenheit to ensure the safety of offenders and to promote hygienic practices.

*Comment:* Offenders can use scalding showers as a weapon against, or punishment for, other offenders. Accidental injury could occur when cold water is drawn in other areas, thereby unexpectedly elevating the hot water in showers to scalding temperatures. Water temperatures below 100 degrees Fahrenheit are uncomfortable and may deter an individual from pursuing good hygienic practices. The temperature controls should not preclude the use of water at higher temperatures, if needed, in other areas of the facility, such as kitchens.

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

**Process Indicators:** Documentation that fixtures are maintained in operable conditions (inspection reports, maintenance records). Documentation of periodic testing of water temperature, offender complaints about water temperature. Facility logs and interviews.



## PERFORMANCE STANDARD

- 1B. Vehicles are maintained and operated in a manner that prevents harm to the community, staff, and offenders.

## EXPECTED PRACTICES

CCRS-1B-1 (Ref.4-ACRS-1B-1) An annual safety inspection of all vehicles is conducted by qualified individuals and in accordance with state statutes for any vehicle that is owned, leased or used in the operation of the facility.

*Comment:* None

**Protocols:** Written policy/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.

CCRS-1B-2 (Ref. 4-ACRS-1B-2&3) Vehicles are operated by licensed drivers insured in conformance with state statutes.

*Comment:* None

**Protocols:** Written policy/procedure. Copy of state law.

**Process Indicators:** Documentation of licensure. Insurance policies.

## PERFORMANCE STANDARD

- 1C. The number and severity of emergencies are minimized. When emergencies occur they are responded to appropriately to minimize severity.**

*Definition:* An emergency is any event that results in the suspension or disruption of normal facility operations.

- CCRS-1C-1 (Ref. 4-ACRS-1C-2) There is a written emergency plan, which includes an evacuation plan, to be used in the event of a major emergency. The plan is reviewed annually, 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
- location of publicly posted plan

*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/specification. Written emergency plan.

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

- CCRS-1C-2 (Ref. 4-ACRS-1C-3) Evacuation drills are conducted at least monthly and must occur at least once on each shift within a quarter.

*Comment:* The purpose of conducting a drill on each shift is to ensure that a majority of offenders are present during the drill period.

**Protocols:** Written policy/procedure. Written in emergency plan. Schedule for drills.

**Process Indicators:** Documentation of drills. Facility logs.

## Fires

- CCRS-1C-3 (Ref. 4-ACRS-1C-13) The facility has a fire protection alarm system and an automatic detection system.

*Comment:* Fire and/or smoke identification at the earliest possible moment is critical to fire control and fire fighting, as well as to the evacuation of staff and offenders, to preclude smoke inhalation and to preserve life and health.

**Protocols:** Written policy/procedure. Facility plan/specifications. Detection and alarm testing schedule/plan.

**Process Indicators:** Results of alarm/detection tests. Documentation of observation.

- CCRS-1C-4 (Ref. 4-ACRS-1C-16) Handle and store all flammable materials safely.
- (a) Where smoking is permitted, provide noncombustible receptacles for smoking materials and separate containers for other combustible refuse at accessible locations throughout living quarters.
  - (b) Provide special containers for flammable liquids and for rags used with flammable liquids.
  - (c) Empty and clean all receptacles and containers daily.

*Comment:* None

**Protocols:** Written policy/procedure. Facility plans/specifications. Staff training curriculum. Offender handbook/rules. Internal inspection forms.

**Process Indicators:** Staff training records. Internal inspection results. Documentation of incidents that involve flammable materials.

### **Toxic and Caustic Materials**

- CCRS-1C-5 (Ref. 4-ACRS-1C-17) Control the use and storage of all toxic and caustic materials.

*Comment:* None

**Protocols:** Written policy/procedure. Internal inspections. Inspections by external authorities.

**Process Indicators:** Staff training records. Internal inspections by internal authorities.

## 2. SECURITY

**GOAL: Protect the community, staff, and offenders from harm.**

### PERFORMANCE STANDARD

2. **The community, staff, and offenders are protected from harm. Events that pose risk of harm are prevented. The number and severity of events are minimized.**

**Definition:** An incident is an occurrence or event that may have serious results (e.g. verbal conflict between offenders and minor injury to an offender, etc.) but which is less serious than an emergency.

### EXPECTED PRACTICES

#### Facility Access

- CCRS-2A-1 (Ref. 4-ACRS-2A-1) Access to and egress from the facility are controlled.  
*Comment:* The means chosen to ensure controlled access should reflect the facility's needs based on size and the degree of security required.  
Protocols: Written policy/procedure. Facility plans/specifications. Facility log format.  
Process Indicators: Facility logs. Documentation of observation.

#### Records

- CCRS-2A-2 **(Ref.4-ACRS-2A-9)** Documentation of review, response, and follow-up of serious incidents. Immediate notification of incident to Department of Corrections, and notice of follow-up and corrective measures (if applicable) within five (5) working days of the incident.

**Definition:** Serious incidents comprise events that result in death, serious physical/emotional injury (requires intervention by health care professionals), or discredits the facility, the county, or Department of Corrections.

*Comment:* None

Protocols: Written policy/procedure. Forms for documentation. Daily logs.  
Process Indicators: Shift reports, health care or law enforcement reports. Notifications to Department of Corrections.

## Weapons

CCRS-2A-3 (Ref. 4-ACRS-2A-10) Possession and use of firearms is prohibited in the facility except when in the possession of law enforcement.

**Comment:** None

**Protocols:** Written policy/procedure. Rules/regulations regarding weapons that apply to outside agencies and personnel.

**Process Indicators:** Documentation of incidents involving weapons. Staff training documents.

## Offender Accountability

CCRS-2A-4 (Ref.4-ACRS-3A-11) The facility has a system of accountability for offenders assigned to work and educational release, furloughs, and other temporary absences from the facility. The facility has a system for physically counting offenders. There are at least three offender counts daily. Staff monitors the movement of offenders into and out of the facility.

**Comment:** The monitoring of offender movement, particularly during the evening and night hours, enhances protection for offenders, staff, and public. Therefore, periodic scrutiny of movement into and out of the facility is necessary.

**Protocols:** Written policy/procedure. Offender accountability system/forms/format. Facility log.

**Process Indicators:** Offender counts and related documentation. Facility logs that record contacts with collateral sources and track offender whereabouts.

CCRS-2A-5 (Ref.4-ACRS-3A-12) Absconders are detected and promptly reported. Timely notification is made to the jurisdiction and/or governing authority over the offender and others as appropriate.

**Comment:** Any unauthorized absence should be considered an absence without approval or authorization. The procedure should specify prompt determination of the offender's absence and timely notification to the jurisdiction and/or governing authority over the offender.

**Protocols:** Written policy/procedure.

**Process Indicators:** Facility logs. Documentation of notification.

## PERFORMANCE STANDARD

- 2B. (Ref.3-ACRS-3A-05) Physical force is used only in instances of self-protection, protection of the offender or others, prevention of property damage, or prevention of escape.

## EXPECTED PRACTICES

- CCRS-2B-1 (Ref. 4-ACRS-2B-1) A written report is prepared following all uses of force and is submitted to the facility administrator/designee. Reports provide detail of circumstances, individuals involved (witnesses included), and describe medical services provided.

**Comment:** It is important that records of all instances of use of force are maintained.

**Protocols:** Written policy/procedure. Incident report forms.

**Process Indicators:** Completed incident reports. Offender records. Documentation of review by facility administrator. Facility logs.

- CCRS-2B-2 (Ref.4-ACRS-2B-3) Use of force incidents are investigated; and the findings aggregated and analyzed.

**Comment:** None

**Protocols:** Written policy/procedure. Incident report forms.

**Process Indicators:** Documentation of investigation outcome. Offender grievances.

## PERFORMANCE STANDARD

**2C. Contraband is minimized. It is detected when present in the facility.**

### EXPECTED PRACTICES

CCRS-2C-1 (Ref. 4-ACRS-2C-1) Searches are conducted to control contraband.  
**Comment:** The facility search plan and procedures may include unannounced and irregularly timed searches of rooms and offenders.

**Protocols:** Written policy/procedure. Search plan

**Process Indicators:** Records of searches and results. Facility logs.

CCRS-2C-2 (Ref.4-ACRS-2C-2) All physical evidence obtained in connection with a violation of law and/or facility regulation is preserved, controlled, and disposition made. At a minimum, procedures address the following:

- chain of custody
- evidence handling
- location & storage requirements

**Comment:** Strict accountability of physical evidence collected about a crime must be established to preserve the integrity of the disciplinary and/or legal process. Minor rule violations should be exempt from the procedural requirements of evidence control, preservation, and disposition.

**Protocols:** Written policy/procedure. Format for evidence forms/records. Training curricula.

**Process Indicators:** Evidence records. Staff training records.

## PERFORMANCE STANDARD

**2D. Improper access to and use of keys, tools, and utensils are minimized.**

### EXPECTED PRACTICES

CCRS-2D-1 (Ref. 4-ACRS-3A-14) A control plan(s) for keys, tools, sharps, addresses access, use and storage.

**Comment:** Tools, keys, and utensils should be used in accordance with a prescribed system(s).

**Protocols:** Written policy/procedure. Key control plan. Tool control plan. Equipment control plan. Formats for control records/forms.

**Process Indicators:** Facility logs. Key/tool/equipment control documentation (records, logs, forms).



### 3. ORDER

**GOAL: Maintain an orderly environment with clear expectations of behavior and systems of accountability.**

#### PERFORMANCE STANDARD

##### 3A. Offenders comply with rules and regulations.

#### EXPECTED PRACTICES

- CCRS-3A-1 (Ref.4-ACRS-3A-1) Offender rules and disciplinary regulations describe violations, sanctions and penalties.  
**Comment:** The regulations should specify the range of penalties/sanctions that can be imposed for violations. Penalties should be proportionate to the importance of the rule and severity of the violation.  
**Protocols:** Written policy/procedure. Offender rules and regulations. Offender handbook/rules.  
**Process Indicators:** Disciplinary records
- CCRS-3A-2 (Ref.4-ACRS-3A-2) Facility rules and regulations are reviewed at least annually and updated, if necessary.  
**Comment:** None  
**Protocols:** Written policy/procedure. Offender rules and regulations  
**Process Indicators:** Documentation of annual review and dates of review, and updates and dates.
- CCRS-3A-3 (Ref. 4-ACRS-3A-3) All program rules and regulations pertaining to offenders are conspicuously posted in the facility or included in a handbook that is accessible to all offenders and staff.  
**Comment:** None  
**Protocols:** Written policy/procedure. Offender rule and regulations. Offender hand/rulebook.  
**Process Indicators:** Observation.
- CCRS-3A-4 (Ref. 4-ACRS-3A-4) Offenders receive written orientation materials and/or translations in their language, if they do not understand English. When a literacy problem exist, staff assist offenders in understanding the material.  
**Comment:** Orientations should include informal classes, distribution of written materials about the facility's programs, rules and regulations, and discussions. Orientation also should be used to observe offender behavior and to identify special problems.  
**Protocols:** Written policy/procedure  
**Process Indicators:** Offender records. Facility logs.

#### 4. CARE

**GOAL: Provide for the basic needs and personal care of offenders.**

#### PERFORMANCE STANDARD

**4A. Food service provides a nutritionally balanced diet. Food service operations are hygienic and sanitary.**

#### EXPECTED PRACTICES

CCRS-4A-1 (Ref. 4-ACRS-4A-1) [Applicable only to facilities that prepare and serve food to offenders.] If the facility prepares and/or serves food to offenders, a nutritionist or dietitian with proper credentials, or physician reviews dietary allowances at least annually. Meet the nationally recommended allowances for basic nutrition for the types of offenders housed in the facility.

**Comment:** None

**Protocols:** Written policy/procedure. Format for food service records/forms.

**Process Indicators:** Documentation of annual review by nutritionist or dietitian.

CCRS-4A-2 (Ref. 4-ACRS-4A-2) Special diets are provided as prescribed by appropriate medical or dental personnel, or for adherence to religious dietary laws.

**Comment:** Therapeutic diets should be available on medical or dental authorization. Specific diets should be prepared and served to offenders according to the orders of the treating physician, dentist, or as directed by the responsible health authority official. Medical or dental diet prescriptions should be specific and complete, furnished in writing to the food service manager, and rewritten monthly. Special diets should be kept as simple as possible and should conform as closely as possible to the foods served to other offenders.

**Protocols:** Written policy/procedure. Format for food service records/forms. Format for offenders to request special diets. Offender handbook/rules.

**Process Indicators:** Food service records. Offender medical records.

CCRS-4A-3 (Ref. 4-ACRS-4A-3) Special diets are provided for offenders whose religion requires the adherence to religious dietary laws.

**Comment:** Religious diet prescriptions should be specific and complete, furnished in writing to the food service manager, and rewritten monthly.

**Protocols:** Written policy/procedure. Format for food service records/forms. Format for offenders to request special diets. Offender handbook/rules.

**Process Indicators:** Food service records. Offender medical records. Offender records.

- CCRS-4A-4 (Ref.4-ACRS-4A-4] Food service practices provide for the following:
- Weekly inspection of all food service areas, including dining and food preparation areas and equipment;
  - sanitary, temperature-controlled storage facilities for all foods (45 degrees in Kansas);
  - daily checks of refrigerator and water temperatures

**Comment:** Appropriate space and equipment should be available for the proper storage and refrigeration of food supplies. Dry food supplies are stored in clean, dry, ventilated room not subject to wastewater backflow or other contamination.

**Protocols:** Written policy/procedure. Weekly inspection form. Format for daily recording of refrigerator and water temperature.

**Process Indicators:** Completed inspection forms and reports. Refrigerator and water temperature records. Documentation of actions taken in response to identified problems.

## PERFORMANCE STANDARD

### 4B. Offenders maintain acceptable personal hygiene practices.

#### EXPECTED PRACTICES

CCRS-4B-1 (Ref. 4-ACRS-4B-1) Articles necessary for maintaining proper personal hygiene are provided and readily available to offenders. Articles include at least the following:

- soap
- shampoo
- toothbrush, toothpaste or powder
- a comb
- toilet paper
- special hygiene items for female offenders

**Comment:** Hygiene items should be available as approved by the facility administrator. Offenders are not precluded from purchasing and/or providing their own hygiene items.

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

**Process Indicators:** Offender account records (purchases of hygiene items). Interviews.

CCRS-4B-2 (Ref. 4-ACRS-4B-2) Offenders have access to laundry facilities.

**Comment:** The facility may provide access to a self-service wash facility, central clothing exchange, or access community facilities.

**Protocols:** Written policy/procedure. Offender handbook/rules. Facility plans/specifications.

**Process Indicators:** Facility logs. Interviews. Documentation of alternative laundry facility.

CCRS-4B-3 (Ref. 4-ACRS-4B-3) Offenders have access to the following facilities and conditions:

- sanitation facilities, including access to toilets for use without staff assistance 24 hours a day
- a washbasin with hot and cold running water
- a bed, and adequate storage space for clothes and personal belongings
- zones

**Comment:** None

**Protocols:** Facility plans and specifications.

**Process Indicators:** Documentation that fixtures are maintained in an operable condition (inspection reports, maintenance records). Facility logs. Observation.

CCRS-4B-4 (Ref. 4-ACRS-4B-4) Offenders have clean bedding, including two sheets, pillow and pillowcase, one mattress, and sufficient blankets to provide comfort under existing temperature controls.

**Comment:** Blankets, pillows, and mattresses should be cleaned before reissue.

**Protocols:** Written policy/procedure. Linen exchange process.

**Process Indicators:** Linen exchange records.

## PERFORMANCE STANDARD

### 4C. Offenders maintain good health.

#### EXPECTED PRACTICES

##### Access to Care

CCRS-4C-1 (Ref. 4-ACRS-4C-1) Offenders have unimpeded access to health care and to a system for processing complaints regarding health care.

**Comment:** None

**Protocols:** Written policy/procedure. Offender handbook/rules. Grievance procedures. Orientation curriculum.

**Process Indicators:** Offender medical records. Record of offender complaints.

CCRS-4C-2 ((Ref. 4-ACRS-4C-02) The facility has a designated health authority with responsibility for health care pursuant to a written agreement, contract, or job description. The health authority may be a physician, health administrator, or health agency.

**Comment:** The responsibility of the health authority includes arranging for and ensuring that offenders have access to health care.

**Protocols:** Written policy/procedure. Format for agreement with designated health authority. Job descriptions/contract/agreement.

**Process Indicators:** Contract(s). Letter of agreement. Referral letters in offender files. Billing records.

##### Emergency Health Care

CCRS-4C-3 (Ref. 4-ACRS-4C-2) 24-hour emergency medical, dental, and mental health care is provided for offenders, which includes arrangements for the following:

- 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 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

**Comment:** arrangements or contract should be made with nearby hospitals or other facilities for all health services that cannot be appropriately provided within the facility. In the even the usual health services are not available, particularly in emergencies; the facility should have a back-up plan that includes an alternate hospital emergency service or a physician "on call" service.

**Protocols:** Written policy/procedure. Written emergency health care plan. Distribution list for plan. Offender handbook/rules. Staff training curriculum.

**Process Indicators:** Letters of agreement for emergency services. Facility logs. Documentation of emergency care provided. Documentation of staff training. First aid certification for staff. Personnel records.

CCRS-4C-4 (Ref. 4-ACRS-4E-18) A training program for health care staff and other personnel is established by a recognized health authority in cooperation with the facility administrator that includes the following:

- signs, symptoms, and action required in potential emergency situations
- administration of first aid and cardiopulmonary resuscitation (CPR)
- methods of obtaining assistance
- signs and symptoms of mental illness, retardation, and chemical dependency
- procedures for patient transfers to appropriate medical facilities or health-care providers

**Comment:** None

**Protocols:** Written policy/procedure. Training curriculum

**Process Indicators:** Documentation of training. Certification.

CCRS-4C-5 (Ref. 4-ACRS-4C-5) First aid kits are available in designated areas of the facility. The health care authority approves contents and locations.

**Comment:** The designated health authority in conjunction with the facility administrator determines the availability and placement of first aid kits.

**Protocols:** Written policy/procedure. Facility plan with location of first aid kits noted. List of required contents for first aid kits.

**Process Indicators:** Documentation of approval by health authority. Inventories of first aid kits. Documentation of availability of equipment and supplies.

## **Health Screening and Examinations**

CCRS-4C-6 (Ref. 4-ACRS-4C) Medical, dental and mental health screening is performed by health-trained or qualified health-care personnel on all offenders upon arrival at the facility. The screening minimally includes: inquiry into:

- current illness and health problems, including venereal diseases and other infectious diseases;
- dental problems;
- mental health problems including suicide attempts or ideation;
- use of alcohol and other drugs, which includes types of drugs used, mode of use, amounts used, frequency of use, date or time of last use, and a history of problems that may have occurred after ceasing use (e.g., convulsions);
- other health problems designated by the responsible physician; and

Observation of:

- behavior, which includes state of conscious, mental status, appearance, conduct, tremor, and sweating;
- body deformities, ease of movement; and

- condition of skin, including trauma markings, bruises, lesions, jaundice rashes and infestations, and needle marks or other indications of drug abuse.

**Comment:** The purpose of the screening is to determine if the offender has any disease, illness, or condition that precludes admission.

**Protocols:** Written policy/procedure. Intake and screening forms. Required staff qualifications. Staff training curriculum.

**Process Indicators:** Completed screening forms. Offender records and files. Facility logs. Documentation of staff qualifications. Staff training records.

## Serious and Infectious Diseases

CCRS-4C-7 (Ref. 3-ACRS-4E-14) Policies direct the actions to be taken by staff concerning offenders, who have been diagnosed with an infectious disease, minimally,

- when and where offenders are to be tested
- appropriate safeguards for staff and offender
- who shall conduct the tests
- when and under what conditions offenders are to be separated
- staff and offender training procedures
- issues of confidentiality
- counseling and support services

**Comment:** None

**Protocols:** Written policy/procedure. Staff training curriculum. Offender training curriculum. Testing procedures. Offender handbook/rules.

**Process Indicators:** Staff training records. Documentation of offender training. Documentation of testing. Health care provider records

## Medications

CCRS-4C-8 (Ref. 4-ACRS-4C-9) Policy and procedure direct the possession and use of controlled substances, prescribed medications, supplies, and over-the-counter drugs. Prescribed medications are administered according to the directions of the prescribing physician.

**Comment:** None

**Protocols:** Written policy/procedure. Format for documentation of the administration of medication, inventory and storage of medication.

**Process Indicators:** Medical records. Contract for disposal. Completed medication administration, inventory, and storage forms. Facility logs. Documentation of compliance with state and federal laws/ regulations.

## Female Offenders

CCRS-4C-9 (Ref. 4-ACRS-4C-11) Access to pregnancy management, and other gender-specific health care needs of women.

**Comment:** This may include a directory of available and affordable resources.

**Protocols:** Written policy/procedure. List of available services.

**Process Indicators:** Medical records. Offender files. Documentation of resource utilization.

## Mental Health

CCRS-4C-10 (Ref. 4-ACRS-4C-12) Access to mental health services is made available.

**Comment:** Services may include, but are not limited to, those provided by qualified mental health professionals who meet the educational and license/certification criteria specified by their respective professional discipline.

**Protocols:** Written policy/procedure. Required qualifications.

**Process Indicators:** Documentation of providers' qualifications. Offender record Medical records.

## Suicide Prevention

CCRS-4C-11 (Ref.3-ACRS-4C-13) Written suicide prevention and intervention services are reviewed and approved by qualified medical or mental health professionals. All staff with offender supervision responsibilities is trained in the implementation of the suicide prevention service.

**Comment:** None

**Protocols:** Written policy and procedure. Suicide prevention/intervention plan. Staff training curriculum.

**Process Indicator:** Offender records. Documentation of approval of suicide prevention/intervention plan. Staff training records.

## Informed Consent

CCRS-4C-12 (Ref. 4-ACRS-4C-13) If the facility provides medical treatment, offenders make medical decisions with informed consent. All informed consent standards in the jurisdiction are observed and documented for offender care

**Comment:** The facility's policy regarding informed consent should be developed based on the written opinion of knowledgeable, legal counsel. The policy should take into account informed versus implied consent.

**Protocols:** Written policy/procedure. Information consent standards for jurisdiction. Copy of state and federal laws and regulations. Informed consent form. Offender handbook/rules.

**Process Indicators:** completed consent forms. Offender medical records.



## Health Records

CCRS-4C-13 (Ref. 4-ACRS-22) If medical treatment is provided by the facility, accurate health records for offenders are maintained separately and confidentially.

**Comment:** None

**Protocols:** Written policy/procedure. Record-keeping format and procedures.

**Process Indicators:** Offender health records.

CCRS-4C-14 (Ref. 4-ACRS-4C-24) If medical treatment is provided by the facility, for offenders being transferred to other facilities, summaries or copies of the medical history record are forwarded to the receiving facility prior to or at arrival.

**Comment:** Because the receiving facility has responsibility for medical care of new arrivals, it is imperative that it receives all available medical information as soon as possible. Written authorization of the offender is not required or the transfer of this information. This will reduce duplication of screening procedure, assure continuity in treatment, and reduce the need for segregation until existence of contagious diseases can be determined.

**Protocols:** Written policy/procedure.

**Process Indicators:** Documentation of forwarding of health records.

## 5. PROGRAM AND ACTIVITY

**GOAL:** Enhance offender competencies related to a successful transition to the community

### PERFORMANCE STANDARD

**5A. Offenders successfully return to the community.**

### EXPECTED PRACTICES

#### Targeted Intervention

CCRS-5A-1 (Ref. 4-ACRS-5A-1) An objective assessment of each offender's risk and need, specifies the type of program needed and provides for regular review within 14 days of admission.

**Comment:** Regular reviews should be consistent with complexity of the offender's program and the length of stay in the facility.

**Protocols:** Written policy/procedure. Risk/Needs Instruments.

**Process Indicators:** Offenders assessment records. Completed assessment forms.

CCRS-5A-2 (Ref. 4-ACRS-5A-05) Offender progress is measured through objective reassessment at least every six months and at discharge. The outcome of each assessment is discussed with the offender and other staff as appropriate.

**Comment:** None

**Protocols:** Written policy/procedure. Reassessment Forms.

**Process Indicators:** Completed reassessments. Documentation of review with offender. Documentation of review by staff.

CCRS-5A-3 (Ref.4-ACRS-5A-3) Staff, with input from the offender, shall complete the offender's program plan within 14 days of admission. 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, and date. Offenders have input into planning, problem solving, and decision making related to their participation in the program.

**Comment:** The plan should identify and address the criminogenic needs of each offender based their influence on the offender's criminal behavior.

**Protocols:** Written policy/procedure. Format for offender program plan. Offender handbook/rules.

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

CCRS-5A-3 (Ref. 4-ACRS-5A-4) Change(s) to the program plan are reviewed with the offender. This review is signed and dated by staff and offender.

**Comment:** None

**Protocols:** Written policy/procedure. Offender Handbook/rules

**Process Indicators:** Signed and dated review documentation.

CCRS-5A-5 (Ref. 4-ACRS-5A-7) Each offender is assigned a facility staff who meets with and counsels that offender as necessary, consistent with his/her individual program plan.

**Comment:** To ensure that each offender receives adequate, as well as continuing services, responsibility for the case management of an offender should be assigned to a specific staff member. To assist offenders with their personal problems and their adjustment to the facility, staff members should make time available on a regularly scheduled basis for requested appointments with offenders.

**Protocols:** Written policy/procedure. Staff assignment and case management instructions. Offender handbook/rules.

**Process Indicators:** Offender records. Documentation of staff/offender meetings.

### Substance Abuse

CCRS-5A-6 (Ref. 4-ACRS-5A-8) Intervention is provided for offenders with alcohol and drug abuse problems. Assessments and/or appropriate referrals occur within 14 days of admission. Assessments minimally include one, or more or any combination of the following:

- screening
- clinical assessment or reassessment
- medical assessment for appropriate drug and alcohol program placement based on the needs of the individual (if not done within the past six months)
- referrals
- drug testing

**Comment:** Properly trained staff may complete assessment tools to identify the level of intervention and/or indicators that may warrant referral to a substance abuse treatment provider.

**Protocols:** Written policy/procedure. Assessment instruments. Staff training (if staff does assessment).

**Process Indicators:** Offender records. Documentation of referrals. Completed assessments. Staff training record.

CCRS-5A-7 (Ref. 4-ACRS-5A-9) If the facility operates a urine surveillance program, procedures provide instructions for the collection and processing of sample, the interpretation of results and the response to violations.

**Comment:** None

**Protocols:** Written policy/procedure. Written instructions. Offender Handbook/Rulebook.

**Process Indicators:** Offender records.

### Community Resources

CCRS-5A-8 (Ref. 4-ACRS-5A-11) Staff makes direct referrals to community resources and/or use resources that have agreements/contracts signed with the agency. Community resources provide offenders with the services that help to address criminogenic needs.

**Comment:** Offenders frequently require assistance in obtaining housing, transportation, medical or dental services, psychological counseling, religious services, etc. They may need assistance in such fundamental areas as cashing checks, obtaining a driver's license, or securing automobile insurance.

**Protocols:** Written policy/procedure. Directory/listing of community resources. Contracts and/or Agreements.

**Process Indicators:** Signed and dated Contracts. Signed and dated Agreements/Memorandums of Understanding. Documentation of referrals. Offender record.

## Transition Assistance

CCRS-5A-9 (Ref. 4-ACRS-5A-13) There is a written and approved process for helping offenders successfully transition to the community. Staff has received training on the process.

**Comments:** If the facility desires, a Re-Entry Program for offenders who demonstrate a need for additional residential structure may be beneficial if included in the transition process.

**Protocols:** Written policy and procedure. Written process.

**Indicators:** Documentation of approval. Staff training records.

CCRS-5A-10 (Ref. New) A Transition Plan is developed with the offender at least 30 days before the anticipated departure date, and modified as circumstances change. Staff collaborates with the receiving supervision entity, resource providers, family/employers and other support persons to ensure a timely response to important transition issues. Initial appointments with the receiving supervision entity, and treatment providers are set before the offender leaves. Staff efforts and outcomes are documented. Some transition issues include, but not limited to:

- housing
- employment
- clothing
- transportation assistance
- food
- affordable childcare
- referrals for spiritual support (upon request)

**Comment:** Frequent discussion with the receiving supervision entity is important. Public safety and offender accountability is enhanced when residential and community supervision staff works together with the offender. Family and community support systems are equally important.

**Protocols:** Written policy/procedure. Directory of community agencies/resources. Transition Plan.

**Process Indicators:** Documentation of referrals to community resources. Documentation of contacts/meetings with receiving supervision entity. Documentation of modifications to the Transition Plan. Documentation assistance provided through agency funded services, e.g. bus tokens, housing assistance, or other.

CCRS-5A-11 (Ref. 4-ACRS-5A-15) A termination report summarizes the offender's performance, and a copy is placed in the offender's case record. The report shall include, at a minimum:

- a summary participation program activities
- special needs and/or unusual occurrences
- referrals to community resource that affected the outcome of program participation
- summary statement of the offender's overall participation
- recommendations

**Comment:** None

**Protocol:** Written policy/procedure. Format for termination report.

**Process Indicators:** Completed termination reports. Offender records. Documentation of forwarding report to receiving supervision entity.

## Family and Community

CCRS-5A-12 (Ref. 4-ACRS-5A-17/16) Provisions are made for approved visits that include special visit(s) for unanticipated situations.

**Comment:** Special visits may include visits from persons who have come long distances, visits to hospitalized offenders, and visits between offenders and their attorneys, clergy, social service agency representatives, and others. Policy and procedure should specify the conditions of such visits.

**Protocols:** Written policy/procedure. Offender handbook/rules. Visitor rules. Visiting schedules.

**Process Indicators:** Visiting records. Interviews.

CCRS-5A-13 (Ref. 4-ACRS-5A-19) Telephones are onsite and accessible to offenders. There are provisions for relaying messages and information to the offender that is program related, or holds an emergency status.

**Comment:** Offenders should be permitted reasonable access to a telephone to make both personal and program-related calls. This may be a pay phone. Written policy specifies the hours of telephone availability and any limitations on telephone calls.

**Protocols:** Written policy/procedure. Facility plans/specifications. Offender handbook/rules. Format for relaying messages to offenders.

**Process Indicators:** Facility Logs. Documentation of messages transmitted to offenders. Interviews.

## Employment

CCRS-5A-14 (Ref. 4-ACRS-5A-20) Facility resources, or referrals to community resources are made to help offenders obtain employment.

**Comment:** Employment for offenders can be a crucial factor in the successful completion of their program and success in the community. Staff should maintain close liaison with its state department of employment, keep abreast of the changing labor market, and ensure that eligible offenders obtain job placement assistance.

**Protocols:** Written policy/procedure. Curriculum for offender employment preparation program.

**Process Indicators:** Employment referrals. Documentation of employment preparation classes. Offender records.

CCRS-5A-15 (Ref. KDOC-NEW) Staff provide groups that focus on behaviors that support job maintenance.

**Comment:** Groups provide opportunity for offenders to discuss job related concerns, learn new ways to handle stressful work situations, time management, communication, and other issues relevant to job maintenance.

**Protocols:** Curriculum for job maintenance

**Process Indicators:** List of employed offenders. Documentation of referrals. Attendance record.

### Recreation and Leisure Time Activities

CCRS-5A-16 (Ref. 4-ACRS-5A-01) Recreation and leisure time activities are available.

**Comment:** None.

**Protocols:** Written policy/procedure. Offender handbook/rules. Facility plan/specification.

**Process Indicators:** Facility logs.

### Religion

CCRS-5A-17 (Ref. 4-ACRS-5A-22) All offenders have the opportunity to practice their faith.

**Comment:** A directory of all faiths is available and updated as changes occur.

**Protocols:** Written policy/procedure. Offender handbook/rules. Copy of legislation regarding offender rights.

**Process Indicators:** Facility logs. Interviews.

### Physical Plant

CCRS-5A-18 (Ref. 4-ACRS-5A-23) Areas are provided for visiting, recreation and leisure time activities. Recreation and leisure activities accommodate the interest and ability of both genders. There is a schedule of all activities.

**Comment:** An important part of the residential program is providing for relatives and friends to visit the offenders at the facility. Also, there should be space for inside leisure-time activities, such as television, games, reading, and studying.

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

**Process Indicators:** Facility logs (document use of space and adequacy for actual usage). Observation. Schedule of activities.

CCRS-5A-19 (Ref. 4-ACRS-5A24) Space is readily accessible for private counseling sessions and interviews/meetings.

**Comment:** Facility space is adequately furnished.

**Protocol:** Written policy/procedure. Facility plans/specification-

**Process Indicators:** Facility logs. Observation.

## 6. JUSTICE

**GOAL: Treat offenders fairly and respect their legal rights. Provide services that hold offenders accountable for their actions, and encourage them to make restitution to their victims and the community.**

### PERFORMANCE STANDARD

#### 6A. Offenders' rights are not violated.

### EXPECTED PRACTICES

CCRS-6A-1 (Ref. 4-ACRS-6A-1) Offenders have access to counsel and confidential contact with attorneys and their authorized representatives. Contacts include, but not limited to, telephone communications, uncensored correspondence, and visits.

**Comment:** Offenders are allowed to make confidential contact with attorneys and their authorized representatives (law students, special investigators, lay counsel, or other persons who have a legitimate connection with the legal issue being pursued.) Provision should be made for visits of these individuals during normal facility hours, uncensored correspondence, telephone communications, and after -hour visits requested because of special circumstances.

**Protocols:** Written policy/procedure. Facility plans/specifications. Offender handbook/rules.

**Process Indicators:** Facility logs. Interviews.

CCRS-6A-2 (Ref. 4-ACRS-6A-3) Offenders are not subjected to corporal or unusual punishment, humiliation, mental abuse, sexual harassment, or punitive interference with the daily functions of living, such as eating or sleeping

**Comment:** Any sanctions that may adversely affect an offender's health, physical, or psychological well being are expressly prohibited. Corporal punishment and psychological intimidation should never be practiced.

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

**Process Indicators:** Facility logs. Disciplinary records. Complaints and Grievances. Interviews.

CCRS-6A-3 (Ref. 4-ACRS-6A-4) Offenders with disabilities are housed in a manner that provides for their safety and security. Housing provides for integration with other offenders, and programs and services are accessible.

**Comment:** Housing includes, but is not limited to, sleeping areas, furnishings, dayrooms, toilets, wash basins, showers/bath facilities, and other common elements. Program and service areas includes, but not limited to counseling space, meeting rooms, dining rooms, telephone facilities, admission and intake areas, and administrative areas where appropriate.

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

**Process Indicators:** Offender records. Observation. Interviews.

- CCRS-6A-4 (Ref. 4-ACRS-6A-6) Provisions are made for indigent offenders, as defined in policy; to receive a specified postage allowance to maintain community ties.  
**Comment:** Offenders without financial resources should have a means to mail a reasonable number of letters per month.  
**Protocols:** Written policy/procedure. Offender handbook/rules.  
**Process Indicators:** Documentation of postage provided. Offenders account.
- CCRS-6A-5 (Ref. 4-ACRS-6A-8) Offenders' mail, incoming, and outgoing may be opened and inspected for contraband. Mail may be read or rejected based on the facility's interests of order and security. The offender is notified when incoming mail is returned or outgoing mail is withheld.  
**Comment:** Offenders should be permitted uncensored correspondence, if it poses no threat to the safety and security of the facility, public officials, or the public, and is not being used in the furtherance of illegal activities. Case law has defined legal limits. When mail is censored or rejected, the author must be notified of the reason for the action and provided with an opportunity to appeal that decision.  
**Protocols:** Written policy/procedure. Offender handbook/rules. Format for notification.  
**Process Indicators:** Documentation of notification.
- CCRS-6A-6 (Ref. 4-ACRS-6A-10 and 11) Admission criteria and practices are defined and the facility have legal documentation authorizing placement.  
**Comment:** The admission practice should include, but not be limited to: type of information to be gathered on all applicants before admission, criteria for acceptance, and procedures to be followed when accepting or not accepting referrals. Each offender's file should contain evidence of legal authorization for placement, regardless of the reason(s) for placement.  
**Protocols:** Written policy/procedure.  
**Process Indicators:** Documentation of authorization for placement. Offender records. Documentation of acceptance and denials.
- CCRS-6A-7 (Ref.4-ACRS-6A-11) Release practices are defined and written.  
**Comment:** The release process should ensure that all matters relating to the facility are completed. If released to another agency or facility, everyone involved should understand what is to occur with respect to timing, the forwarding of records and responsibility for completing the transfer.  
**Protocols:** Written policy/procedure. Release forms. Property forms. Medical screening forms.  
**Process Indicator:** Offender records. Documentation of release authorization. Property records.



## PERFORMANCE STANDARD

### 6B. Offenders are treated fairly.

#### EXPECTED PRACTICES

CCRS-6B-1 (Ref. 4-ACRS-6B-3) 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 affectiveness. The quantity and nature of offender grievances are aggregated and analyzed annually.

**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/procedure. Offender handbook/rules. Grievance procedures.

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

## PERFORMANCE STANDARD

- 6C. Alleged rule violations are handled in a manner that provides offenders with appropriate procedural safeguards.**

## EXPECTED PRACTICES

CCRS-6C-1 (Ref. 4-ACRS-6C-2) An offender charged with a major rule violation receives a written statement of the alleged violation(s), including a description of the incident and specific rules violated.

**Comment:** To ensure fairness and the integrity of the disciplinary process, offenders charged with major rule violations should receive hearings as soon as possible, unless the hearings is prevented by exceptional circumstances, unavoidable delays, or reasonable postponements. Reasons for all delays should be documented. If the process could result in the transfer of an offender to a more restrictive setting, staff may serve as the offender's representative during the hearing.

**Protocols:** Written policy/procedure. Offender handbook/rules. Disciplinary forms.

**Process Indicators:** Offender records. Disciplinary records.

CCRS-6C-2 (Ref. 4-ACRS-6C-3) The facility's disciplinary process is defined and provides appropriate procedural safeguards, to include:

- report of incident and charge
- notice
- time to prepare for hearing
- assistance as needed
- opportunity to present evidence
- fair decision
- written notice of decision
- opportunity to appeal

**Comment:** None

**Protocols:** Written policy/procedure. Disciplinary forms.

**Process Indicators:** Disciplinary records.