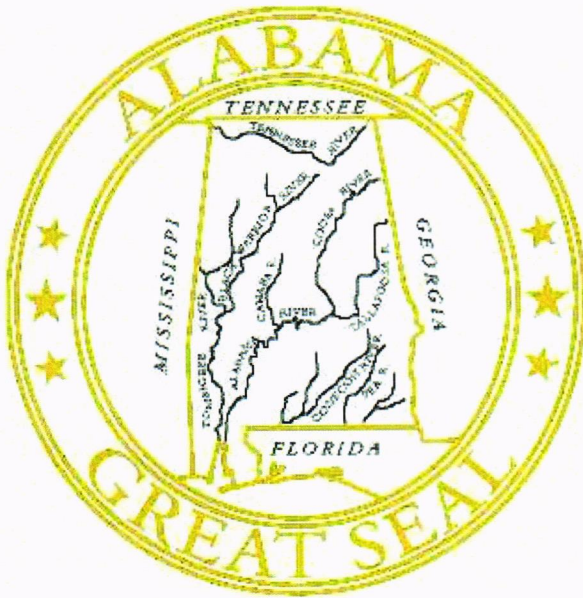


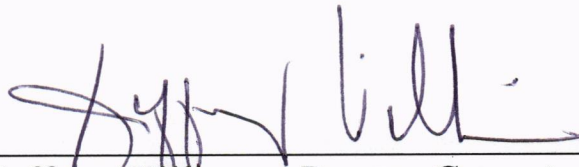
**ALABAMA DEPARTMENT OF CORRECTIONS  
MINIMUM STANDARDS  
FOR  
COMMUNITY PUNISHMENT AND  
CORRECTIONS PROGRAMS**



**Alabama Department of Corrections  
Community Corrections Division  
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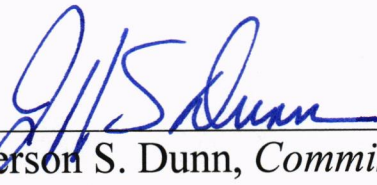
**Published under the authority of the *Community Punishment and Corrections Act of 1993, as amended in 2015.***

**Submitted**  
July 25, 2016

A handwritten signature in black ink, appearing to read "Jeffery Williams", written over a horizontal line.

Jeffery Williams, *Deputy Commissioner*  
Director, Community Corrections Division

**Approved**  
July 25, 2016

A handwritten signature in blue ink, appearing to read "Jefferson S. Dunn", written over a horizontal line.

Jefferson S. Dunn, *Commissioner*  
Alabama Department of Corrections

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## **INTRODUCTION**

This document comprises select standards for residential and non-residential community corrections programs. These standards provide an instrument by which the Alabama Department of Corrections (ADOC) can establish benchmarks to measure the performance of community corrections residential and non-residential programs. To remain eligible for financial contracts and performance grants, a Community Corrections Program (CCP) must substantially comply with the minimum operating standards and administrative regulations established by the ADOC (Code of Alabama, Section 15-18-182).

# ALABAMA DEPARTMENT OF CORRECTIONS MINIMUM STANDARDS FOR COMMUNITY PUNISHMENT AND COMMUNITY CORRECTIONS PROGRAMS

## 1.00 Administration & Organization

- 1.01 The CCP shall submit a CCP Plan to the ADOC for approval in accordance with established ADOC policies, procedures, and directives.
- 1.02 The CCP shall have on file a CCP Plan that has been approved by the ADOC.
- 1.03 The CCP shall be a legal entity or part of a legal entity. The administrators shall maintain a file at the local headquarters of the agency that includes, but is not limited to, current documentation as follows:
  - 1.03.01 The County Commission Resolution approving the existence and supporting the efforts of a Community Corrections Program within its county;
  - 1.03.02 An internal organizational chart indicating the agency's position within the local government and a listing of administrative officers authorized to act as the legal agents of the agency;
  - 1.03.03 Certificate and Articles of Incorporation, if applicable;
  - 1.03.04 List of Board of Directors, if applicable;
  - 1.03.05 Corporate by-laws and names of officers authorized to sign contracts or authorize expenditures;
  - 1.03.06 Verification of 501(c) (3) status, if applicable, and employer identification number/federal identification number (EIN/FIN); and
  - 1.03.07 All documentation pertaining to these Minimum Standards.
- 1.04 The CCP staff shall review ADOC Administrative Regulation 490, to include all applicable forms contained therein. Employees' review shall be documented in their personnel file.
- 1.05 The CCP shall have written policies and procedures to notify ADOC in writing within ten (10) days of the change in the CCP director.

## 2.00 Personnel

- 2.01 The CCP shall have written personnel policies that have been approved by the board of directors and/or governing authority.
- 2.02 The Program shall develop a written policy that defines ethical and professional conduct between staff or agents and offenders under supervision. At a minimum, the policy shall prohibit:
  - 2.02.01 The use of official position to secure or receive advantages, gifts, or favors;
  - 2.02.02 CCP employees, members of their families, or close associates, from accepting a personal gift, favor, or service from an offender or his/her family or associates;

- 2.02.03 The display of favoritism or preferential treatment for individual offenders or groups of offenders;
- 2.02.04 Any personal or business relationship with offenders or offenders' families or associates;
- 2.02.05 The assignment of work duties that result in offenders having supervisory control over other offenders; and
- 2.02.06 The assignment of work duties to offenders that provide a personal benefit to any staff member.
- 2.03 The CCP shall establish written policies and procedures that require criminal records checks on all staff members prior to hiring. The records check shall include, but not be limited to, the following:
  - 2.03.01 Criminal Background Check
  - 2.03.02 Warrants Check
- 2.04 The CCP shall not hire any individual who is under current jurisdiction of Probation, Parole, or other conditional release for a felony or misdemeanor.
- 2.05 The CCP shall have written policies and procedures to insure compliance with all federal/state/county/municipal employment practices.

### **3.00 Management**

- 3.01 The CCP shall establish and maintain a current policies and procedures manual, readily accessible to all staff that describes the purpose, philosophy, programs and services, and operating procedures of the program.
- 3.02 The CCP shall operate in accordance with their policies and procedures manual and all staff shall be familiar with its contents. The manual shall be reviewed at least annually by the CCP Director or Board of Directors, and updated as needed.
- 3.03 The CCP shall develop written policies and procedures that address the collection of offender fees to include, but not be limited to, the following:
  - 3.03.01 Supervision fees;
  - 3.03.02 Drug testing fees; and
  - 3.03.03 Electronic Monitoring Fees
- 3.04 The CCP shall participate in a program assessment as directed by ADOC.
  - 3.04.01 This program assessment shall occur annually. The program assessment will include site visits by ADOC staff reviewing case files and observing programs in order to measure adherence to correctional program requirements as stipulated in the minimum standards, the Community Punishment and Corrections Act, and ADOC Administrative Regulation Number 490.
  - 3.04.02 Following the program assessment, the CCP shall submit an action plan to ADOC within 30 days outlining a plan for corrective action to address areas of improvement identified during the program assessment.
- 3.05 The CCP shall participate in a compliance audit as directed by ADOC.
  - 3.05.01 The CCP shall participate in the audit annually as specified in the *Community*

*Punishment and Corrections Act* and as defined in the *Community Punishment and Corrections Programs Accounting and Auditing Manual*.

- 3.05.02 The agency conducting the audit on the CCP shall provide the findings to the CCP and ADOC after each audit is conducted.
- 3.06 The CCP shall establish written policies and procedures that comply with ADOC Administrative Regulation 490 regarding:
  - 3.06.01 Reimbursement invoice to ADOC;
  - 3.06.02 Felony offenders with serious medical conditions; and
  - 3.06.03 Death of an offender

## 4.00 Program Evaluation

- 4.01 The CCP shall participate in an ADOC approved program evaluation.
  - 4.01.01 The CCP shall submit required information quarterly on program statistics requested by ADOC in the *Quarterly Program Evaluation Form*.

## 5.00 Programs

- 5.01 The CCP shall have written policies and procedures for assigning each offender to a case manager within three (3) working days after the offender's admission to the Program.
- 5.02 The CCP shall have written policies and procedures requiring that offender orientation be completed within ten (10) working days of placement.
- 5.03 The CCP shall utilize/comply with an ADOC approved risk/needs assessment instrument.
  - 5.03.01 The CCP shall use the Alabama Risk Assessment System – Community Supervision Tool (ARAS-CST) as its risk/needs assessment to assess an individual's likelihood of recidivating. CCP staff using the ARAS shall follow guidance provided by the tool's developers, the University of Cincinnati.
  - 5.03.02 All participants in CCP programs should receive an ARAS-CST within the first ten business days of assignment to the program (if they do not have one in their file from the past year) or at the time of the first report to the program and receive a re-assessment at least annually or at a major life event.
  - 5.03.03 All staff using the ARAS must be trained and pass the certification test for the tool by a certified trainer for the ARAS. Staff shall follow re-certification requirements as stipulated in ADOC departmental policy.
  - 5.03.04 Overall risk/needs assessment scores (risk level) from the ARAS shall be reported quarterly to ADOC. Data is to be reported each quarter to ADOC in the *Quarterly Program Evaluation Form*.
- 5.04 The CCP shall utilize/comply with ADOC approved screening instrument(s) for behavioral health needs.
  - 5.04.01 The CCP shall administer ADOC approved mental health and substance abuse

screening instruments within 10 business days of program admission or at the time of the first report to the program. A screening does not need to be conducted if one has been conducted by another agency within the last 10 days and that agency has shared the results of the screening instrument(s) with the CCP. The CCP shall use screening instrument(s) for substance abuse and mental health that are approved by ADOC. When possible, the CCP staff shall use the results of these screeners to make referrals according to guidance provided by the ADMH.

- 5.04.02 All screening(s) shall be administered by staff who have successfully completed ADOC approved ADMH training on the screening instrument (if applicable) and referral process for mental health and substance abuse disorders.
- 5.04.03 Screening statistics shall be reported quarterly to ADOC. Data is to be reported each quarter to ADOC in the *Quarterly Program Evaluation Form*.
- 5.05 The CCP shall provide guidance and assistance to the offender in obtaining employment and document the results in his/her case file.
- 5.06 The CCP shall have a written policy to address the criminogenic needs of moderate and higher risk participants, as determined by the ARAS domains. The program's supervision and programming policies shall focus on the criminogenic needs of participants.
- 5.07 The CCP shall establish written policies and procedures governing offender referrals to certified treatment providers.
  - 5.07.01 The CCP shall refer participants with positive mental health and/or substance abuse screening(s) within 10 business days following the screening (using the ADOC approved referral form to ADOC approved programs) for assessment and treatment services as clinically indicated.
  - 5.07.02 The CCP shall establish written policies and procedures governing offender referrals for substance abuse and mental health needs. These policies shall specify that these referrals will be to treatment providers certified by ADMH or entities exempt from certification requirements by ADMH in Chapter 580-3-23, *Certification of Community Programs*, and section 580-3-23-05.
  - 5.07.03 Screening statistics shall be reported quarterly to ADOC. Data is to be reported each quarter to ADOC in the *Quarterly Program Evaluation Form*.
  - 5.07.04 The CCP shall monitor and support offender engagement in treatment through routine contact with the offender treatment provider and review provider submitted progress reports. Written summaries of contacts with treatment providers shall be reflected in the offender's case file. Treatment program progress reports shall be reviewed, initialed, and dated by the offender's CCP case manager and filed in the offender's CCP case file.
- 5.08 The CCP shall have written policies and procedures addressing the utilization of "evidence-based practices" for offenders assigned to community corrections programs.
  - 5.08.01 The CCP shall adhere to evidence-based practices for correctional programs and services: