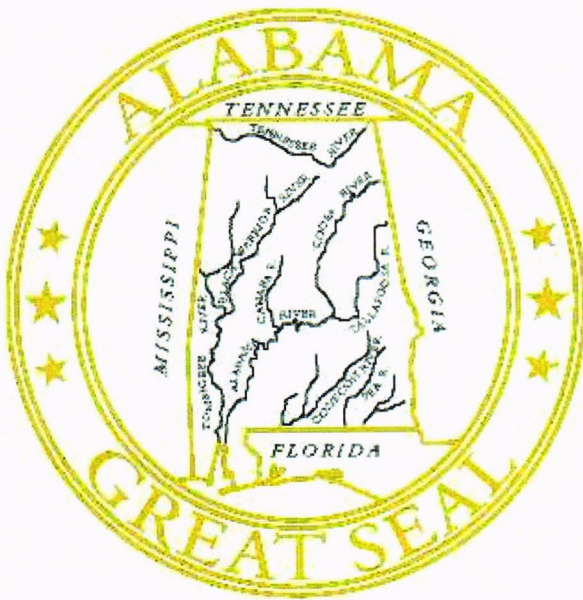


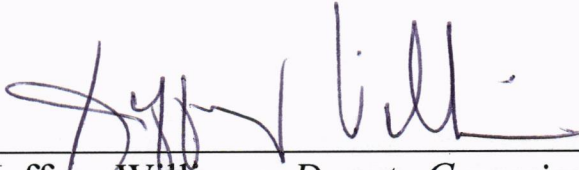
**ALABAMA DEPARTMENT OF CORRECTIONS**  
**MINIMUM STANDARDS**  
**FOR**  
**COMMUNITY PUNISHMENT AND**  
**CORRECTIONS PROGRAMS**



**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.***

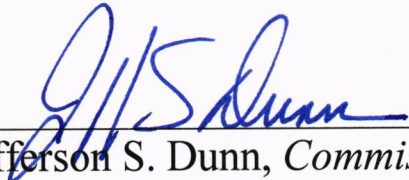
**Submitted**  
July 25, 2016



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Jeffery Williams, *Deputy Commissioner*  
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**Approved**  
July 25, 2016



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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:



- 5.08.01.01 The program shall target those participants who score **moderate** or **higher** on the ARAS by providing them with more supervision, more referrals, and more programming. If the CCP provides programming and/or treatment groups, they **shall not mix low risk participants with moderate and high risk participants** in the programming.
- 5.08.01.02 Programming and services shall target a higher proportion of criminogenic needs (such as criminal thinking, criminal peers/associates, self-control, problem-solving skills, educational/vocational issues, family issues, and substance abuse) to non-criminogenic needs.
- 5.08.01.03 The programming and services shall incorporate a cognitive-behavioral modality that targets criminal thinking and uses graduated skills-practice.
- 5.09 The CCP shall require staff to participate in training for evidence-based practices.
  - 5.09.01 The CCP shall require staff designated to conduct risk/needs assessment to participate in ARAS training before the staff member administers the ARAS tool.
  - 5.09.02 The CCP shall require program service delivery staff to participate in training provided by ADMH on screening for mental health and substance abuse disorders and the appropriate referral process.
  - 5.09.03 The CCP shall require staff delivering correctional programs, services, and/or using assessments to attend the training below:
    - 5.09.03.01 Risk/needs assessment (required by anyone using the assessment, whether conducting the assessment or developing case plans);
    - 5.09.03.02 Core correctional practices (required for any CCP staff delivering correctional programming, services, or interventions); and
    - 5.09.03.03 CCP staff delivering programs with a program curriculum shall be trained on the program curriculum (if required by the program developers).

## 6.00 Case Files

- 6.01 Each CCP shall maintain an individualized case file for each offender.
- 6.02 The offender case file shall contain, but is not limited to, the following information:
 

*[All documents related to offender accountability shall be signed by both staff and offender, dated, and placed in the offender's file.]*

  - 6.02.01 Name, social security number, date of birth, race, sex, AIS number (if applicable), highest level of education;
  - 6.02.02 Conviction and length of sentence;
  - 6.02.03 Home address;



- 6.02.04 Emergency contact person;
- 6.02.05 Name of person authorized to claim property if not claimed by the offender;
- 6.02.06 Current photograph of offender [done at intake];
- 6.02.07 Special medical problems or needs, medical history;
- 6.02.08 Date of assignment to the local CCP (to include sentencing date and CCP Order);
- 6.02.09 Indicate how the offender was assigned to the local CCP, such as front-end diversion, institutional diversion, or probation revocation;
- 6.02.10 Copies of documentation supporting the ADOC Form 490-A, *Diversion Checklist*, or the *Voluntary Sentencing Standards Prison In/Out Worksheet* submitted to the ADOC Community Corrections Division;
- 6.02.11 Information regarding offender's previous treatment (such as substance abuse, mental health counseling/treatment or others);
- 6.02.12 Date the offender was released from local CCP supervision;
- 6.02.13 Indicate if the offender successfully completed the CCP supervision;
- 6.02.14 Indicate if the offender did not successfully complete the CCP supervision, and give reason(s) why;
- 6.02.15 Any program completion certificates received while on CCP;
- 6.02.16 A listing of employment history while on CCP;
- 6.02.17 A signed copy of the conditions of supervision;
- 6.02.18 Risk/needs assessment and re-assessment results;
- 6.02.19 Information from screening(s) on behavioral health and substance abuse issues; and
- 6.02.20 Case plans utilizing the risk/needs assessment results.
- 6.03 The CCP shall develop written policies and procedures governing the confidentiality of case files that shall extend to access by the offender, CCP staff, and third parties.
  - 6.03.01 The CCP shall adopt policies regarding confidentiality according to the Health Insurance Portability and Accountability Act (HIPAA) and follow all relevant ADMH policies and procedures to ensure offender health care information is properly stored and protected.
- 6.04 The CCP shall develop written policies and procedures for storing active and inactive offender case files. Inactive case files must be retained for a period of seven (7) years.
- 6.05 The CCP supervising staff shall review each offender's case file annually for compliance with these standards and document the results of the review.

## 7.00 Offender Supervision/Security

- 7.01 The CCP shall develop written policies and procedures to assign offenders to levels of supervision based on the offender's risk for re-offending, need for services, and adjustment to supervision as indicated by the ARAS risk and needs assessment.



- 7.01.01 These policies and procedures shall prioritize higher risk offenders for more supervision and more services. Moderate or higher risk participants shall have more frequent office and field contacts. Regardless, if programs refer out for services or offer services internally, moderate or higher risk offenders will receive more programming to address criminogenic needs.
- 7.01.02 The CCP shall create reporting requirements for participants based on ADOC's recommendations in their reporting guidelines/matrix. The CCP shall vary the reporting requirements for participants by risk level.
- 7.01.03 The CCP shall develop case plans that target criminogenic needs identified as **moderate** or **high risk** on their risk/needs assessment. Case plans should be updated regularly (at a minimum of every 6 months) to monitor progress. The case plan shall follow an ADOC approved format that connects the case plan to the ARAS results.
- 7.02 The CCP shall develop written policies and procedures establishing incentives and sanctions to encourage compliance by the offender with program requirements.
  - 7.02.01 These policies and procedures shall include sanctions and incentives that include the following components: violation severity, a range of response options for both sanctions and incentives, and allow for the response to be delivered with swiftness, certainty, and fairness.
- 7.03 The CCP shall develop written policies and procedures that comply with the requirements of the *Alabama Community Notification Act* (Alabama Code Section 13A-11-200) as amended, when supervising sex offenders.
- 7.04 The CCP shall develop written policies and procedures that comply with the DNA testing requirements as specified by Alabama Code Section 36-18-24.
- 7.05 The program shall have written policies and procedures that specify the conditions under which an offender is placed on escape status. Program policy shall conform to the requirements of ADOC Administrative Regulation 490.
- 7.06 The CCP shall establish written policies and procedures addressing victim notification to conform to the requirements as specified in the Alabama Code Section 15-18-175, *Alabama Community Punishment and Corrections Act*.
- 7.07 The CCP shall establish written policies and procedures regarding the transportation of offenders by program staff in personal vehicles. The policy shall prohibit transportation of offenders in personal vehicles unless the program provides insurance for such transportation.
- 7.08 The CCP shall develop written policies and procedures that govern substance abuse testing.
  - 7.08.01 Urinalysis testing shall be performed on each offender randomly or based upon reasonable suspicion.
  - 7.08.02 Documentation of all drug testing results shall be maintained in the offender's case file.
- 7.09 The CCP shall establish written policies and procedures to govern offender pursuit, confrontation, use of force, and law enforcement assistance.

## **8.00 Community Service and Court Ordered Payments**

- 8.01 The CCP shall develop written policies and procedures requiring the payment of court-ordered fines, victim restitution, etc., and a system in place to monitor and verify such actions.
- 8.02 The CCP shall develop written policies and procedures facilitating offender community service work at local governments and community agencies.

## **9.00 Medical Care**

- 9.01 The CCP shall establish written policies and procedures governing medical treatment for offenders who develop medical conditions pursuant to Alabama Code Section 15-18-185, and ADOC Administrative Regulation 490.



## Additional Standards For CCP Residential Facilities

### 10.00 Employment and Disbursement of Wages

- 10.01 The CCP shall establish written Policies and Procedures governing the employment of offenders assigned to CCP, and disbursement of their wages in accordance with Alabama Code Section 15-18-180(f).

### 11.00 Facilities

- 11.01 The CCP shall establish written policies and procedures for any residential facility used that complies with applicable codes and regulations regarding zoning, building, fire, health, and sanitation.
- 11.02 The CCP shall establish written policies and procedures governing the following fire and safety requirements, if applicable:
- 11.02.01 Flame-retardant mattresses and pillows shall be provided by the local CCP. They shall be in good condition, with labels that indicate the fire safety performance.
  - 11.02.02 The CCP shall maintain an automatic sprinkler system, where required by the state/local building code.
  - 11.02.03 There shall be a fire protection alarm system and an automatic smoke detection system that is approved by the local fire authority having jurisdiction. Systems shall be tested on a quarterly basis. Adequacy and operation of the systems are to be approved by the state fire official or other qualified authority annually. Written documentation shall be maintained at the facility.
  - 11.02.04 All flammable liquids and hazardous materials shall be stored in their original containers and away from the kitchen and dining areas, furnaces, heaters, sleeping and high traffic areas.
  - 11.02.05 Random emergency evacuation fire drills shall be conducted at least once per quarter. Documentation of these drills shall be maintained at the facility.
- 11.03 The CCP shall establish written policies and procedures regarding the following **recommendations** for offender living and program area(s), if applicable:
- 11.03.01 At least 50 square feet of floor space be provided for each offender in the sleeping areas.
  - 11.03.02 Separate space for:
    - 11.03.02.01 Private individual counseling;
    - 11.03.02.02 Group meeting;
    - 11.03.02.03 Offender visitation;
    - 11.03.02.04 Dining; and
    - 11.03.02.05 Food preparation (if meals are prepared on site).
  - 11.03.03 Bathroom and laundry room amenities:

- 11.03.03.01 One operable toilet for every ten (10) offenders, or a combination of toilet and urinals for every ten (10) offenders.
- 11.03.03.02 One operable wash basin for every six (6) offenders (hot water not to exceed 130 degrees).
- 11.03.03.03 One operable shower or bath for every eight (8) offenders (hot water not to exceed 130 degrees).
- 11.03.03.04 One operable washer and dryer for every 12 offenders, or access to commercial laundry machines within a reasonable proximity.
- 11.04 The building shall be compliant with the *Americans with Disabilities Act* (ADA), if applicable.

## 12.00 Food Service (if meals are prepared in the facility)

- 12.01 Residential offenders shall have access to meals meeting nutritional requirements established as U. S. Required Daily Averages. Food shall be stored, prepared, and served in compliance with all state and local codes, laws, and regulations. Any food service that includes extensive preparation by offenders, subcontracts with restaurants, or service by outside vendors must be approved by the local community corrections program board of directors.
- 12.02 Meals shall be:
  - 12.02.01 Approved annually by a registered dietician.
  - 12.02.02 Specially prepared, if required, for documented medical purposes.
  - 12.02.03 Posted on a weekly menu.

## 13.00 Medical care and Health Services

- 13.01 The CCP shall establish written policies and procedures governing medical treatment for offenders who develop medical conditions pursuant to the *Alabama Community Punishment and Corrections Act*—Alabama Code Section 15-18-185, and ADOC Administrative Regulation 490.
- 13.02 The CCP shall establish written policies and procedures governing the administration of a health inventory of the offender within 12 hours of assignment. The inventory shall include, but not be limited to, the following:
  - [The inventory shall be documented by date, time, and signature of the offender and staff member conducting the interview.]*
  - 13.02.01 Special dietary needs;
  - 13.02.02 Current medications;
  - 13.02.03 Current medical needs/concerns; and
  - 13.02.04 Dental and other health issues, as reported by the offender.
- 13.03 All prescribed medications (controlled medications) for offenders in residential facilities shall be secured, and their use monitored to ensure compliance with instructions of the prescribing medical authority. Records shall be kept to document



this process. The records and medications should be audited twice per month.

- 13.04 Written policies and procedures shall govern the proper disposal of unused medication.
- 13.05 Written policies and procedures shall govern the circumstances under which the offender may have in his/her possession or take non-controlled, prescribed medication off premises.
- 13.06 Written policies and procedures shall govern the staff's response to offender medical emergencies.
- 13.07 The CCP shall have at least one (1) staff member on duty at all times who is trained in emergency first aid and CPR.

## **14.00 Emergency Procedures**

- 14.01 The CCP shall establish written policies and procedures governing response to emergencies such as fires, and natural and man-made disasters.

## **15.00 Offender Property**

- 15.01 The CCP shall establish written policies and procedures to inventory and secure offender property upon admission and for the proper disposal of property upon the offender's departure, if not claimed by the offender.



## GLOSSARY

**Administrative Regulation (AR) 490, Community Corrections** – detailed directions developed by the Alabama Department of Corrections (ADOC) to put policy into practice regarding the CCP.

**AIS (number)** – Alabama Inmate Serial Number.

**Alabama Community Notification Act (Code of Alabama, 1975, Section 13A-11-200)** – this law requires convicted sex offenders to notify local law enforcement of their residence in the community. Law enforcement authority must then notify community residents living near the sex offender.

**Alabama Department of Mental Health (ADMH)** – the state agency responsible for certifying behavioral health treatment providers.

**Alabama Risk Assessment System (ARAS)** – a risk/needs assessment instrument developed by the University of Cincinnati to predict someone's likelihood of recidivating—also known as the *Ohio Risk Assessment System (ORAS)*.

**Audit (Compliance)** – an audit undertaken to confirm whether an organization is following the terms of an agreement or the rules and regulations prescribed by an external authority.

**Behavioral Objectives** – statements that describe what the offender is expected to achieve as a result of instructions.

**Board of Directors** – the governing authority of a CCP.

**Case File** – a case file documents the legal process and the administration of justice in conjunction with a criminal case. A case file also includes the supervision and treatment needs of an offender.

**Case Manager** – a case manager coordinates the supervision and program plans for offenders assigned to his/her caseload.

**CCP Offender Revocation Hearing (Code of Alabama, 1975, Section 15-18-175)** – a hearing conducted before the court prior to revocation of the community corrections sentence using the same due process safeguards as a probation revocation proceeding.

**Chain of Custody** – the chronological documentation, and/or paper trail, showing the seizure, custody, control, transfer, analysis, and disposition of evidence.

**Community Corrections Plan** – a document prepared by the county commission or an authority, or non-profit entity, and submitted to the ADOC in accordance with the requirements set forth in the application process and procedure, that identifies proposed community-based programs to be implemented within the county in accordance with the terms of the Community Corrections Act and justifies the funding of such programs with regard to local need and community support.

**Community Corrections Program (CCP)** – a community-based program that provides supervision for residential and/or non-residential offenders, to include programs and services to aid in the reintegration of the offender into the community.

**Community Punishment and Corrections Programs Accounting and Auditing Manual** – manual detailing the requirements for conducting an *Agreed-Upon Procedure Engagement* (compliance audit). Published by the Department of Examiners of Public Accounts, in collaboration with ADOC.

**Community Supervision** – the goal of community supervision is to control, monitor, and rehabilitate those persons who, according to a court of law, may serve their sentence within the community.

**Contraband** – prohibited items as established by the local CCP program policies.

**CPR** – cardiopulmonary resuscitation.

**Drug Screening Kit** – a portable drug screening device.

**Evidence-Based Practices** – supervision policies, procedures, programs, and practices that scientific research demonstrates reduces recidivism among offenders assigned to community corrections programs.

**Front-End Diversion** – any eligible offender sentenced directly to an ADOC approved community corrections program or transferred by amended transcript prior to movement to the ADOC.

**Furlough** – an authorized absence from a residential program for a specified period of time.

**Inactive Case File** – a file maintained by the CCP on a previously supervised offender and retained in accordance with minimum standards guidelines.

**Individualized Case File** – an active file relevant to only one offender containing items required within the minimum standards guidelines.

**Individualized Supervision/Program Plan** – a plan developed from an ADOC approved risk/needs assessment tool that determines the supervision and treatment needs of an offender.

**In-House Substance Abuse Equipment** – urinalysis testing equipment that is maintained and operated by the CCP.

**Institutional Diversion** – any eligible offender currently housed in a DOC facility and transferred by an amended transcript to an ADOC approved community corrections program.



**Legal Entity** – association, corporation, partnership, proprietorship, etc., that has legal standing in the eyes of law. A legal entity has legal capacity to enter into agreements or contracts, assume obligations, incur and pay debts, sue and be sued in its own right, and to be held responsible for its actions.

**Monitoring** – the verification of an offender's current location by recording of time, date, place, person (s) contacted, signature of staff, and results of verification.

**Needs Assessment** – a process that collects and examines information about an offender and then utilizes that data to determine priority goals, to develop a plan, and to allocate resources accordingly.

**Non-Residential** – an offender assigned to CCP living independently in the community.

**Offender** – an individual convicted of a criminal offense(s).

**Offender Fees** – Any fee that an offender is compelled to pay that generates revenue for correctional purposes or that recovers all or a portion of the cost of services provided to an offender.

**Offender Headcount** – procedures for the authorization, documentation, and coordination of offender movement and for the accurate accounting of the CCP offender population.

**Pass** – an authorized absence for a short period of time.

**Prescribed Medication** – medication prescribed by a licensed health care professional.

**Problem Statement** – a clear concise description of the issues that need to be addressed by a problem solving team.

**Program Assessment** – the process of conducting an examination of an entity, or its individual components, to determine compliance with published standards, and/or whether a contractual agreement is being adhered to.

**Program Evaluation** – a process approved by the ADOC for collecting, analyzing, and using basic information to assess how well a program is achieving its goals and objectives.

**Qualified Treatment Providers** – individuals or agencies that meet the state standards and certification requirements for providing specific types and levels of treatment.

**Quarterly Program Evaluation Form** – form for reporting CCP summary statistics on program participants that are filled out quarterly and submitted to ADOC.

**Random Drug Testing** – a test conducted in a method that is not predictable.



**Reasonable Suspicion Testing** – drug testing of employees or offenders based on observed or reported incidents.

**Recidivism** – re-offending, re-arrest.

**Referral** – a recommendation to an offender to consult a professional within a particular field of expertise.

**Reimbursement Invoice** – an ADOC document submitted by CCPs listing (eligible) offenders for reimbursement.

**Residential** – a therapeutic intervention process for individuals who cannot or do not function satisfactorily in their home environment.

**Restitution** – court ordered compensation.

**Risk** – the assessed probability of continued criminal behavior.

**Risk Factors** – conditions of an individual's behavior that are associated with the risk of committing a crime.

**Risk/Needs Assessment Instrument** – a tool which determines an offender's level of risk and supervision requirements. It also outlines the specific programmatic needs of offenders.

**Substantial Compliance** – that performance of a contract, while not full performance, is so nearly equivalent to what was bargained for that it would be unreasonable to deny the promisee the full contract price subject to the promisor's right to recover whatever damages may have been occasioned him by the promisee's failure to render full performance.

**Supervision Plan** – a written document included in an offender's file that is individually tailored to an offender and outlines the goals, objectives, and requirements to be completed while under supervision.

**Uniform Accounting System** - The presentation of financial statements by different companies using the same accounting procedures, measurement concepts, classifications, and methods of disclosure.

**Verification** – establishment or confirmation of the truth.

**Violation** – an action or inaction by an offender that is contrary to the conditions of supervision.

