



Colorado Community Corrections Standards

**Revised
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State of Colorado
Department of Public Safety
Division of Criminal Justice
Office of Community Corrections

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MESSAGE FROM THE DIRECTOR

Over the past year, the Standards Sub-Committee of the Fifth Governor's Advisory Council has been working on this revision of the Community Corrections Standards. The members of this sub-committee have many years of experience in community corrections in Colorado. Membership included representatives from the Governor's Advisory Council, the Colorado Community Corrections Board Association, the Community Corrections Coalition, the Department of Corrections, and the Division of Criminal Justice, Office of Community Corrections.

The Community Corrections Standards were revised in 2005 when the standards for residential and non-residential programs were combined. Since implementation of these standards, the Division has, of course, been auditing against these standards and determined that the language in some standards could be improved and additional standards were required. The Standards Sub-Committee was once more convened to discuss the changes and make recommendations to the Advisory Council. The Advisory Council approved the recommended changes in June, 2005. The subcommittee reconvened in 2006 to make further edits to the standards in light of recommendations from the Office of the State Auditor and other policy changes in the State of Colorado.

Any program seeking exception to a standard must first submit the written request to the local board for approval. The Division of Criminal Justice will review waiver requests and provide written approval or denial of the request. Waiver approvals will be granted for a one-year period unless the Division of Criminal Justice has issued a time limited or event-specific waiver. Local community corrections boards also have the statutory authority to exceed these standards if they choose.

On behalf of the Colorado Department of Public Safety, Division of Criminal Justice, I thank those who have participated in the development of this set of standards and those who will assist in their implementation. The state of Colorado continues to be a leader in the community corrections field because of the dedicated people who work at all levels in our criminal justice system.

Jeanne Smith
Director
Division of Criminal Justice
Colorado Department of Public Safety

PREFACE

Community Corrections began in Colorado with the enactment of the first “Community Corrections Act” in 1974 under the leadership of Senator Ralph Cole.

The strength of Colorado Community Corrections is its emphasis on community control. Most offenders eventually return to the communities where their families are located. Community Corrections is a viable alternative to incarceration that makes our communities safer places to live by providing appropriate supervision to offenders. Offenders who are gradually reintegrated into Colorado communities in a supervised setting that incorporates appropriate treatment pose far less risk to the community than those returning without supervision.

The administration of the Community Corrections program was consolidated under the Division of Criminal Justice in the Colorado Department of Public Safety in 1986. The first Governor’s Community Corrections Advisory Council was formed by Executive Order to assist the Division in evaluating the program and recommend improvements. One recommendation of the Council was to develop program standards to define minimum requirements for providers and establish measures of program accountability.

The first set of standards for residential community corrections programs was issued in 1988, with standards for non-residential services following in 1991. The standards for residential and non-residential services were revised and combined in 2002. This 2007 revision clarifies some standards and adds a few new standards to meet the demands of an expanding and changing system of community corrections.

The Standards Sub-committee would like to thank the members of the Fifth Governor’s Community Corrections Advisory Council, the Colorado Association of Community Corrections Boards, the Colorado Community Corrections Coalition, the Colorado Department of Corrections, Division of Adult Parole and Community Corrections and the Colorado Department of Public Safety, Division of Criminal Justice, Office of Community Corrections, who assisted in the development of these standards.

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1-000 ADMINISTRATION

The standards in this section address the broad organizational purpose and structure of the community corrections program. By meeting these standards, the program assists local communities, local and state government, and other criminal justice agencies to understand its philosophy, values, legal structure, resource allocation, fiscal policy and controls, and achievements in serving community corrections clients.

1-000 ADMINISTRATION

1-010: The public or private agency operating a community corrections program 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 current documentation as follows:

a. Public Agencies

1. The executive or legislative order of the unit of local government designating the agency as a community corrections program.
2. An organizational chart indicating the agency's position within the local government and a listing of the administrative officer(s) authorized to act as the legal agent(s) of the agency.

b. Private Agencies

1. Certificate and articles of incorporation
2. List of the Board of Directors
3. Corporate bylaws and names of officers authorized to sign contracts or authorize expenditures.
4. All documentation pertaining to the standards

1-020: The administrators shall maintain a mission statement that describes the general purpose, goals, and organizational values guiding the operation of the program. The mission statement shall be reviewed at least annually and updated as needed.

1-030: The administrators shall maintain a current internal organizational chart at each program location that accurately lists all positions involved in the community corrections program and demonstrates the lines of authority and agency structure. The organizational chart shall be reviewed annually and updated as needed.

1-040: The administrators shall manage the program's fiscal affairs with:

- a. An annual budget, prepared at the beginning of the contract period or organization's fiscal year, that anticipates revenue from individual sources and outlines projected expenditures by operational categories and line items. The budget shall be reviewed and updated throughout the year as required by the governing authority of the program.
- b. Written policies and procedures that employ recognized accounting procedures to control and record the receipt, maintenance and dispersal of funds associated with operation of the program.

- c. A system to regularly compare the actual revenues and expenditures associated with the operation of the program and the categories and line items of the annual budget.

1-050: The administrators shall provide to the DCJ a complete independent financial audit report(s) covering the agency's fiscal year(s) relevant to the contract period. Offender funds, if maintained by the program, shall be included in the scope of the independent financial audit.

Discussion/Definitions: *The DCJ may waive the requirement for an annual audit and accept a financial review by an independent auditor if the DCJ and the local community corrections board concur, in writing, that the service of the program has been satisfactory and that a full independent audit has been completed within the past three years. If the community corrections program is operated as a unit of government or by a larger corporate entity, a segment audit or review may be required by the DCJ and/or local community corrections board.*

A compilation of internally prepared financial statements will not be considered to be in compliance with this standard.

1-060: The administrators shall maintain proof of insurance coverage at levels required in state contracts at the local program or agency headquarters.

1-070: The administrators shall prepare an annual report for the DCJ, the program's governing authority, the local community corrections board, and referral agencies. The report shall contain statistical summaries of activities and accomplishments during the year, delineated and segregated by sub-programs, such as IRT, non-residential and residential, with reference to the stated mission and goals of each component. Information shall include, but not be limited to, the number and types of offenders served, success rates, average length of placement, restitution paid to victims, and a listing of services provided to offenders.

Discussion/Definitions: *Annual reports provide important information to both the organization itself and to key external groups and individuals. The information demonstrates program accountability for the community. Individual program statistics are available for facility administrators from the Division of Criminal Justice, along with composite statewide statistics.*

2-000 PERSONNEL

The standards in this section emphasize the value of program staff who are involved daily with monitoring, supervision, treatment, and service delivery essential to effective management of offenders within Colorado communities. People are the key elements of any organization, and community corrections programs are expected to place high priority on the support and management of program personnel. Selection and hiring practices must be fair and thorough. Once hired, employees must be adequately trained, supported and supervised. Job roles and responsibilities must be well defined and carefully communicated, and program staff must clearly understand how to maintain professional relationships with offenders assigned to community corrections programs.

2-000 PERSONNEL

- 2-010:** The program shall maintain written personnel policies that are available to all staff and accessible by employees at their work sites. The policies shall include hiring practices, promotions, grievance procedures, staff development, performance appraisals, benefits, disciplinary procedures, terminations, and other requirements more fully described in this section.
- 2-020:** The program shall maintain written job descriptions and salary ranges for all positions. The job descriptions shall include job titles, minimum qualifications, responsibilities and duties.
- 2-030:** The program shall maintain and implement hiring and promotion policies that provide equal employment opportunities and prohibit discrimination in accordance with state and federal law.
- 2-040:** After applicants have been offered a conditional position, the program shall assure that a background investigation is conducted and the results are documented in the applicant's personnel file. The background investigation shall include a CCIC/NCIC criminal history and warrants check, verification of compliance with job qualifications, and a review for prior criminal record through fingerprint identification. The program shall submit a fingerprint card to the appropriate screening agency within 15 working days of the applicant's conditional hire. Until such time as a fingerprint record check is returned, the employee shall not work without direct supervision. The program shall obtain approval from the local community corrections board, referral agencies and the DCJ before employing anyone with a history of a felony conviction. The program shall **not** hire anyone who is under current jurisdiction for probation, parole, or other conditional release for a felony or misdemeanor offense (including driving under restraint, and driving under the influence or while impaired by alcohol or drugs).
- 2-050:** The program shall maintain a confidential personnel file for each employee that is accessible to the individual employee. The file shall be maintained in a standardized and indexed format and shall contain records of the background investigations, dates of employment, training records, performance appraisals, commendations, disciplinary actions, and related records. Information from the files shall be available to the local community corrections board and/or state oversight agencies only for the purpose of verifying compliance with standards or contractual requirements. It shall be the responsibility of the local community corrections board and oversight agencies to maintain the confidentiality of the information.
- 2-051:** Employee medical records shall be maintained in a separate individual file. Written policies and procedures shall govern the confidentiality of these medical records in accordance with current state and federal law.

2-060: The program shall conduct employee performance appraisals at least annually. Such appraisals shall be based upon defined criteria as established by the program. The results of the evaluation are to be discussed with the employee, the review signed by the employee and the evaluator, and a copy placed in the employee's personnel file.

2-070: The program shall maintain current personnel policies that define ethical and professional conduct between staff or agents and offenders under supervision. The policies shall prohibit:

- a. The use of official positions to secure or receive advantages, gifts or favors.
- b. The display of favoritism or preferential treatment for individual offenders or groups of offenders.
- c. Any personal or business relationship with offenders or offenders' family or associates.
- d. The assignment of work duties that result in offenders having supervisory control over other offenders.
- e. The assignment of work duties to offenders that improve the value of the facility or provide personal benefit to any staff or agent of the program.

Program personnel shall report any attempt to violate these relationship guidelines immediately to the program director. Any exception to the above must be approved, in writing, by the program director.

2-080: Program personnel shall not engage in any criminal conduct. If any employee is investigated by law enforcement, arrested or charged with any criminal offense, the program shall notify the local community corrections board, referral agencies and the DCJ immediately by phone. The notification must clarify the work status of the employee during disposition of pending charges. The program director or administrators shall submit a written report to the board and state agencies within 72 hours of the telephone notification.

Discussion/Definitions: A sample form for documenting this information may be obtained from the DCJ web site.

2-090: The program shall have a written policy that provides for an alcohol/drug-free workplace. At a minimum, the policy shall address the following areas:

- a. Prohibition of the use of illegal drugs.
- b. Prohibition of the possession of illegal drugs.
- c. Procedures used to ensure compliance with the alcohol/drug-free workplace policy.
- d. Availability of treatment and/or counseling for substance abuse.
- e. Penalties for violations of the policy.
- f. Specific circumstances under which substance testing of employees may be conducted in the following areas: pre-employment, random drug testing, and testing based on reasonable suspicion.

2-100: All full-time and part-time program and security staff shall receive twenty hours of formal orientation training, including review of program policies and procedures relevant to the performance of their duties, before receiving an unsupervised work assignment. Provision of this orientation shall be documented in training or personnel files.

2-110: All full-time program and security staff shall receive a minimum of forty hours of job-related training annually. In the first year of employment, twenty hours may be the formal orientation training addressed in standard 2-100. Part-time program and security staff shall receive a prorated amount of training equivalent to that provided to full-time staff.

2-120: Ancillary and administrative staff shall receive a minimum of twenty hours of job-related training annually. During their first year of employment, this training shall include a documented review of the program policies and procedures relevant to the performance of their job and a general orientation to the program. Part-time ancillary and administrative staff shall receive a prorated amount of training equivalent to that provided to full-time staff.

Discussion/Definitions: *The general orientation to the program, although not as comprehensive as that required for program and security staff in standard 2-100, should include an overview of the various services provided to offenders by the program, an informal tour, and other features which will give the ancillary and administrative staff a general understanding of how the program operates.*

2-130: Training events shall be documented in personnel or training files with topic, date, duration, trainer, participants, evaluation methods or results, and shall include the employee's and the supervisor's signature. Training events must be:

- a. Sanctioned by the agency
- b. Based on pre-determined training objectives or goals
- c. Related to the job
- d. Scheduled in advance of the event
- e. Delivered by a qualified trainer

Discussion/Definitions: *Examples of acceptable trainings include first aid/CPR courses, training videos or workshops by qualified instructors, and "on the job" training with specific objectives that meet the qualifications detailed in the standard. Activities such as performance evaluations, supervision or staff meetings without pre-determined training objectives, or informal tours, do not qualify as training.*

2-140: Program case managers shall have a baccalaureate degree in social or behavioral sciences, criminal justice, or related fields. Related education or experience may be substituted on a year for year basis.

2-150: The program administrator shall have, at a minimum, a baccalaureate degree in social or behavioral sciences, criminal justice, business or public administration, or related fields; or four years of related administrative or management experience.

2-151: All security staff shall have, at a minimum, a GED or High School Diploma.

2-152: Any staff member who has contact with offenders must be at least 18 years old.

2-160: All volunteers shall be subject to all standards related to their assigned duties.

3-000 MANAGEMENT CONTROLS

The standards in this section describe the activities and approaches that program directors are expected to use to monitor and direct the daily operation of the program. Management controls guide the activities within the program, assuring that the program achieves its objectives and demonstrates the level of quality expected by the community and criminal justice agencies, as well as its own administration. Controls are implemented by measuring and analyzing the following:

- C System inputs, such as funding and offender referrals and placements;
- C System processes, such as offender monitoring and treatment;
- C System outputs, such as restitution payments to victims, and;
- C System outcomes, such as positive completion rates.

Measurements are developed through data collection, and documentation of activities so that managers are aware of critical inputs and processes that may be affecting outputs and outcomes.

3-000 MANAGEMENT CONTROLS

3-010: The program shall maintain a current policy and procedure manual, readily accessible by all staff, that describes the purpose, philosophy, programs and services, and operating procedures of the program. The manual shall address all requirements, programs, or services delineated by these standards. The program shall operate in accordance with this manual and all staff shall be familiar with its contents. The manual shall be reviewed at least annually by the governing authority or program administrator, and updated when necessary. The program shall outline a system to ensure that changes in program policies and procedures are reviewed, prior to their implementation, with any state agency or local community corrections board that will be affected by the change.

Discussion/Definitions: *Policies articulate the organization's position and direction on operational issues and must be current. Procedures define and describe the activities and methods to implement the policies. Procedures should be developed on all operational functions, including, but not limited to, intake, orientation, evaluation, assessment, sign in/out, case processing plans, facility searches, U/A's, terminations, escapes, etc. Changes to the program's policy and procedure manual must be made available to applicable staff and state oversight agencies. Both local and state oversight agencies must be provided with current copies of the policy and procedure manual, if requested.*

3-020: The program shall have a written policy requiring monthly staff meetings that include security and program staff. Documentation of the meetings shall include dates, times, issues discussed and staff attendance.

Discussion/Definitions: *Staff meetings are essential to program cohesiveness. Security staff, program staff, and the program administrators need to have regular opportunities to communicate about issues regarding offenders in the program (e.g. criminal history, attitude, program adjustment, responses to sanctions, and other issues related to offender management and risk reduction). Staff meetings are also an opportunity to review policies and procedures to ensure consistency and compliance by all staff, as well as possible improvements.*

3-030: The program shall establish written screening criteria or guidelines for the acceptance or rejection of offenders referred by state criminal justice agencies and the transfer of offenders between residential and non-residential supervision. Copies of the criteria or guidelines shall be provided to the local community corrections board, the Department of Corrections, the Division of Criminal Justice, the Chief Probation Officer for each Judicial District referring offenders, and the Chair of the State Parole Board. Subsequent changes to those criteria or guidelines shall be provided, in writing, to all agencies affected by the change within thirty days of such issuance.

Discussion/Definitions: *The criteria or guidelines provide referral agencies with information regarding offenders acceptable for placement. The criteria also more clearly define a program's target population, providing opportunities to specialize programming*

to supervise and serve that population. The criteria or guidelines governing acceptance should include, but not be limited to: types of information to be gathered and reviewed on applicants prior to admission; specific criteria for acceptance; and procedures to be followed when accepting or not accepting referrals.

3-040: The program shall provide a written response to the referring agency within two weeks of the receipt of the referral indicating acceptance, rejection, or need for additional information, based on criteria established in standard 3-030.

3-050: The program shall have screening criteria that prohibit discrimination on the basis of ethnicity, primary language, color, religion, creed, disability, sexual preference or national origin.

3-060: The program shall comply with special conditions as required by the referring agency or community corrections board.

3-070: The program shall receive an offender only if:

- a. The local community corrections board has approved the placement or the offender meets board eligibility requirements; and
- b. A court order has been issued specifying the offender's sentence to community corrections; or
- c. An Executive Assignment Order (EAO) has been issued from the Department of Corrections; or
- d. A copy of the Parole Agreement/Order (PAO) or modification specifying the placement in community corrections has been issued.

3-080: Any program supervising sex offenders and domestic violence offenders must comply with the requirements of the Colorado Revised Statutes, as amended, on sex offender management and domestic violence offender management.

3-090: Any program supervising offenders serving a sentence for any of the offenses listed within the Victim Rights Act must conform to the requirements of the Colorado Revised Statutes, as amended, on victim notification requirements.

3-100: The program shall comply with the DNA testing requirements as specified by Colorado Revised Statutes, as amended.

3-110: The program shall have written policies and procedures that provide increasing opportunities and privileges for offender involvement with family and community activities prior to final release.

3-120: The program shall have written policies and procedures to specify timely arrangements and appropriate procedures for offender disciplinary hearings and decisions. Disciplinary hearings for rule violations by Transition offenders and Parolees shall be conducted in a manner approved by the Department of Corrections. Disciplinary hearings for court-referred offenders shall be conducted in a manner approved by the community corrections board and local probation office. These procedures shall be provided to the offender in writing in accordance with time frames established in standard 4-010.

3-130: The program shall have written policies and procedures for the handling of offender grievances or complaints, including an appeal procedure. This policy must state that each offender in the program has the right to file a grievance and include the following areas:

- C The various levels of appeal;
- C Time guidelines and policy for response to the grievance shall be provided to offenders in writing;
- C The grievance shall be transmitted without alteration, interference, or delay to the party responsible for receiving and investigating grievances;
- C The person reporting the grievance should not be subject to any adverse action as a result of filing the report.

Records of all grievances or complaints, and the final disposition, shall be maintained in offender case records as well as a centralized administrative file.

3-140: The program shall be responsible for reporting the Daily Offender On and Off-grounds Count to the Division of Community Corrections in the Department of Corrections each day according to procedures established by the Department of Corrections and the DCJ.

Discussion/Definitions: *The Department of Corrections forwards these daily count sheets to the DCJ for further review. All populations reported on the count sheet are reviewed and should be accurately reported.*

3-150: The program shall have written policies and procedures to define and specify procedures for dissemination of routine documentation, such as: supervision plans, supervision plan modifications, termination summaries, and quarterly and monthly reports, as requested by referring or oversight agencies.

3-160: The program shall have written policies and procedures to define the calculation of time credit or sentence reduction for offenders in accordance with procedures outlined by the Department of Corrections for Transition offenders, or as specified in Colorado Revised Statutes, as amended, for Direct Sentence offenders. A current copy of this calculation shall be maintained in the offender's individual case file.

Discussion/Definitions: Procedures and forms to meet this standard have been distributed to programs and are available upon request from the DCJ or at the DCJ website. Forms and procedures are subject to revision and must be used and followed.

3-170: The types of incidents regarding offenders that require written notification to referral and oversight agencies shall include, but are not limited to:

- a. Medical emergencies requiring hospitalization
- b. Arrest
- c. Illegal weapon possession
- d. Media involvement
- e. Death
- f. Violent acts per 16-11-309, C.R.S.
- g. Escapes
- h. Use of force

The format and deadlines for each notification may vary depending upon the referral or oversight agency, and should be included in program policy and procedure.

3-180: All active individual offender case records shall be audited within the first 45 days of admission. At a minimum, the records shall be audited to assure all documentation required by standards is present: admission documents, assessments, supervision plans and revisions, chronological notes, etc., and in the appropriate order prescribed by agency policy and procedures. A similar audit of the file shall be completed within 30 days of termination. Review shall be documented in each case record.

3-190: The program shall have written policies and procedures that provide for a well-documented system of regular internal auditing and self-monitoring of operations and programming. The following functions shall have a documented review or audit by program staff at least once every calendar quarter:

- a. Drug and alcohol testing systems
- b. Medication monitoring
- c. Sign-in/out records (residential only)
- d. Off-site monitoring records
- e. Contraband inspections
- f. Offender service delivery reports (including attendance logs, progress notes, treatment curriculum, etc.)

- g. Headcounts
- h. Monthly service standards for non-residential offenders
- i. Quarterly testing of fire prevention alarm systems
- j. Quarterly emergency evacuation drills

Audit documentation for each of these functions shall be maintained by the program.

The audit documentation shall include recommendations by staff auditor(s) for enhancements and/or modifications to existing program policies, procedures, and practices based on internal audit outcomes to ensure compliance with standards.

Discussion/Definitions: *Internal audits may discover errors of commission as well as omission and serve a quality control function for the program operations.*

3-200: The program shall have access to and use an organized system of information collection, retrieval and review. All records, printed or electronic, shall be available upon request, for review by referral and oversight agencies. The Information Technology System (ITS) shall have a backup system to ensure data retention and availability in accordance with contract requirements.

Discussion/Definitions: *It is recommended that the program establish an ITS for collecting statistical data, and review this data for future planning purposes. An organized system of data collection will provide the program with information to determine the type of offender best served by the program and the trends in its referral and intake system. Program staff should participate in identification of information needs, and guidelines should be established concerning the security of all information on offenders.*

3-210: The program shall have policies and procedures to require that all program documentation be legible, accurate and systematically filed. Program documentation shall be signed and dated by all parties involved, i.e., intake paperwork, supervision plans, plan revisions, progress reports, etc. The signature can be original or documented via electronic means (electronic signature and/or biometric verification). Electronic signatures and biometric verification methods must be secure and auditable.

3-220: Each non-residential offender shall be assigned to one of the following levels of supervision based on the offender's risk of re-offending, need for services (as determined by the standardized offender assessment process), and adjustment to supervision:

- 1. Intensive
- 2. Regular
- 3. Minimum
- 4. Administrative

Monthly service standards for the levels shall be:

Frequency of Services each Month by Level				
Service	LEVEL			
	1	2	3	4
Case Management Meetings	4	3	2	1
Phone Contacts	3	2	1	1
Employment Verifications	2	2	1	1
Home Visits	1	1	*	*
Drug Testing	2	2	1	*
Breathalyzer Testing	2	1	1	1

(NOTE: Any service frequency listed as "*" above shall be conducted at least once each quarter.)

3-230: The procedures that result in transfers from a lower to a higher level of supervision shall provide for an administrative review for the offenders affected by the transfers pursuant to Colorado Revised Statutes.

4-000 SECURITY

The standards in this section address the security of the community, staff and offenders in community corrections programs. Public safety is a primary concern and agencies must have well-structured environments and security programs designed to reduce risk and liability and increase public acceptance and support for the programs.

These standards define the **minimum** procedures that program staff are expected to use to monitor offenders in the program and during periods of authorized release in the community. Key security issues addressed by these standards include escapes, offender sign-outs and furloughs. Special attention is also given to testing for drug and alcohol abuse, a significant contributing factor to criminal behavior and unsuccessful outcome in community corrections programs.

4-000 SECURITY

4-010: Within 12 hours of admission each offender shall be advised in writing of the following:

- a. Program rules and regulations
- b. Disciplinary actions
- c. Grievance procedures
- d. Program orientation
- e. Facility emergency equipment and exits
- f. Location of community legal services
- g. Services provided by the program
- h. Personal responsibility for medical and dental services/expenses
- i. Location of emergency medical and other health care services

The staff and the offender shall sign and record the date and time of the notification, and a copy shall be maintained in the offender's case record.

4-020: An intake interview shall be completed with each incoming offender within 12 hours of admission. Each offender shall be interviewed to record, at a minimum, the following basic information:

- a. Name
- b. Address
- c. Date of Birth
- d. Gender
- e. Race/Ethnicity
- f. Social Security number
- g. Contact person in case of emergency
- h. Person authorized to claim property if not claimed by the offender (residential only)
- i. Photograph of the offender
- j. Entry date and time

The staff and the offender shall sign and record the date and time of the notification. A copy shall be maintained in the offender's case record.

4-030: Within 12 hours of admission a health inventory of the offender shall be conducted. The inventory shall, at a minimum, include the following items: special dietary needs, current medications, current medical needs/concerns, dental problems and other health problems, as reported by the offender. The inventory shall be documented by date, time and signature of the offender and the staff conducting the interview and shall be maintained in the offender's case record.

4-040: All prescribed medications for offenders shall be secured and their use shall be monitored to ensure compliance with instructions of the prescribing medical authority. Records shall be kept to document this monitoring of prescribed medications to

offenders and these records and medications shall be audited at least twice each month. Policies and procedures shall govern the disposal of unused medications. Policies and procedures shall address the circumstances under which the offender may take non-controlled, prescribed medication off grounds.

4-050: The program shall have written policies and procedures that direct staff response to offender medical emergencies.

4-060: The program shall have at least one staff member on duty at all times who is trained in emergency first aid and CPR.

4-070: The residential program shall have policies and procedures for a system to inventory and secure incoming offender property within 12 hours of admission. Procedures shall specify which items are allowable for offender possession or storage at the facility. A copy of the inventory, signed and dated by both staff member and offender, shall be provided to the offender at intake. Policies and procedures shall also address the maintenance of the inventory after admission, and shall dictate proper disposal of property upon the offender's departure if not claimed by the offender.

4-080: The program shall have written policies and procedures that govern the substance abuse testing of all offenders and shall address, at a minimum, the following areas:

- a. The time lapse between offender notification of testing and the collection of samples for urinalysis shall be no more than 2 hours.
- b. Chain of custody and testing of samples shall be designed to meet acceptable evidentiary standards. Documentation shall include the date and time of tests, substances tested, staff and offender identification.
- c. Urinalysis samples shall be stored in a manner that is approved in writing by the outside testing laboratory.
- d. Programs utilizing in-house substance abuse testing equipment, to include breath testing equipment, shall operate in accordance with the manufacturer's guidelines, including collection, storage and testing and shall maintain certification documentation within the personnel files of all operators.
- e. Programs utilizing drug screening kits shall ensure that the kits meet Food and Drug Administration standards and are used in strict compliance with the manufacturer's instructions.
- f. Programs shall conduct urinalysis and other testing for alcohol and controlled substances using basic safety precautions.
- g. Programs shall visually monitor urinalysis collection using staff of the same gender as the person being tested.
- h. Programs utilizing outside testing shall maintain documentation of the laboratory's license or certification.
- i. Offenders shall not be charged an additional fee for substance abuse testing except as noted in 4-090, or without written approval of the DCJ.

Discussion/Definitions: Due to the serious consequences for offenders with positive urinalysis results, precautions must be taken to ensure the proper collection, supervision, handling, storage, transportation, and testing of urine samples.

Sensible sanitary practices should be followed. No smoking, eating or drinking shall be allowed at the testing site. Rubber gloves should be used by all staff during the handling of samples. No food or medications should be stored in the immediate vicinity where urine samples or test chemicals are stored.

4-090: All positive test results that the program intends to use to transfer an offender to a higher level of custody shall be confirmed by gas chromatography/mass spectrometry (GC/MS) at an outside laboratory, except when an offender admits to use.

The program shall not pass along the costs of confirmatory tests to the offender if the initial test result proves to have been a false positive, unless it can be shown that the false positive was likely caused by use of an adulterant, masking agent, or other attempted manipulation of the test result by the offender.

4-100: A urine sample shall be taken within 12 hours of the offender's admission into the program. This initial sample shall be tested for the following controlled substances:

- a. Cocaine metabolite
- b. THC
- c. Amphetamines
- d. Opiates
- e. Barbiturates

All entry urine samples shall be tested, using any private clinical laboratory, or by using in-house substance abuse testing equipment. Drug screening kits may not be used for this purpose. An entrance urinalysis test is not required if an offender transfers from residential to non-residential when both programs are operated by the same community corrections agency.

Discussion/Definitions: Timely initial substance testing can provide the program with valuable information concerning the offender's substance use and condition at time of admission. The information can be used to direct future substance testing as well as programming.

4-110: Interim urinalysis testing shall be conducted randomly on each offender. For offenders in a residential program these interim tests shall be conducted at least twice during each full calendar month. For offenders under non-residential supervision the interim testing shall be conducted in accordance with standard 3-220. Each interim sample shall be tested for at least two of the following controlled substances:

- a. Cocaine metabolite
- b. THC

- c. Amphetamines
- d. Opiates
- e. Barbiturates

Offenders shall be tested for their drug of choice at least once a month. Gaps between urine tests shall not exceed 30 days.

Discussion/Definitions: *Alcohol is not considered a controlled substance and is not tested under this standard. The above testing rates represent minimum testing requirements. More frequent testing may be indicated for some offenders based on case assessment or requests by referring agencies.*

The offender's drug of choice should be determined by reference to the Pre-Sentence Investigation Report (PSIR), the Inmate Assessment and Treatment Form (IATF) or the Standardized Offender Assessment-Revised (SOA-R).

4-120: A urine sample shall be taken within 12 hours prior to the offender's successful discharge or transfer from the residential program. At a minimum, this sample shall be tested for the following controlled substances:

- a. Cocaine metabolite
- b. THC
- c. Amphetamines
- d. Opiates
- e. Barbiturates

Documentation of this exit urine test shall be maintained in the offender's case record. All exit urine samples shall be tested, using any private clinical laboratory, or by using in-house substance abuse testing equipment. Drug screening kits may not be used for this purpose.

4-130: A breath test or urinalysis test for alcohol shall be conducted on each offender within 12 hours of admission and positive termination.

A random breath test or urinalysis test for alcohol shall be conducted on each offender in a residential program at a rate of no less than one (1) per seven (7) day period. Gaps between testing may not exceed seven days. See standard 3-220 for acceptable non-residential interim testing requirements. An entrance alcohol test is not required if an offender transfers from residential to non-residential when both programs are operated by the same community corrections agency.

4-140: The program shall maintain record keeping systems for substance abuse testing that provide (1) information in individual case records sufficient for case management functions, and (2) aggregate substance abuse testing results within the facility records for broader management functions.

Discussion/Definitions: Case managers and treatment staff must have easy access to testing information to determine if supervision plans are being followed or need to be revised. Aggregate drug testing information enable program managers to monitor testing levels and ensure that minimum testing levels are met. Aggregate data also identifies trends that may indicate needed changes in treatment/programming or in testing patterns.

4-150: The program shall have written policies and procedures that direct the isolation and observation of offenders who are intoxicated or under the influence of controlled substance(s).

4-160: The program shall have written policies and procedures that provide for the random monitoring of each residential offender's off-site location. The offender's off-site location shall be randomly verified through personal contact or phone contact, initiated by program staff. Offenders shall be randomly monitored at least once in each calendar week, exclusive of job search monitoring. The offender's off-site location shall be monitored with at least two (2) work and two (2) pass verifications each month. Documentation shall include the time of the monitoring, date, offender location, signature of the staff, and results of the verification. For offenders under non-residential supervision, the frequency of location monitoring shall be conducted in accordance with standard 3-220.

Discussion/Definitions: A known supervisor or treatment provider may verify an offender's location.

4-161: The program shall have written policies and procedures that provide for a system of offender accountability, including a practice for verifiable monitoring, while offenders are on job search status.

4-170: The program shall have written policies and procedures that govern the issuance of all passes that include review and approval by the referring agency, if required. Offender's off-site location must be monitored in accordance with standard 4-160.

Discussion/Definitions: Due to the potential need of such documentation during legal proceedings, proper documentation relating to time and place must be maintained.

4-171: The program shall have written policies and procedures that govern the issuance of all furloughs that include review and approval by the referring agency, if required, for initial furlough privileges or whenever the absence exceeds 18 hours. While on furlough, the offender's location will be verified during each 12-hour period of absence via staff-initiated contact with the offender. Documentation of location verification shall include offender name, method of verification, date, time, location, and staff signature.

Discussion/Definitions: *Due to the potential need of such documentation during legal proceedings, proper documentation relating to time and place must be maintained. As with regular monitoring, furlough verifications are meant to establish accountability.*

4-180: The program shall have written policies and procedures that outline procedures and conditions by which monitoring of the offender is conducted on and off grounds. Specific procedures shall address areas related to pursuit, confrontation, use of force, and law enforcement assistance, pursuant to current state statute and standard rules of evidence. Policies and procedures shall establish the limits for staff monitoring activities and requirements for contacting law enforcement agencies.

4-190: The program shall have written policies and procedures restricting the use of physical force by staff. If physical force is used by program staff, the incident shall be fully documented.

Discussion/Definitions: *Staff of community corrections programs are not usually peace officers or staff of a secure correctional facility. Use of or possession of deadly weapons is prohibited. Use of force shall be limited to force that would reasonably be used by citizens to protect persons, property, premises, or to assist law enforcement officers (Refer to 18-1-704 through 707, C.R.S.). If physical force is used, the situation must be thoroughly documented with names, dates, circumstances, and justifications.*

4-200: There shall be at least 4 random headcounts conducted during each 8-hour period at residential programs, during which each offender's physical presence or itinerary will be observed. A record shall be made of the time and date of such counts and signed by the staff member conducting the count. The status of offenders off facility grounds at the time of the count shall be included in headcount documentation.

4-210: A log shall be kept for each residential offender for the purpose of recording all authorized absences from the facility. Documentation within each entry shall be legible and include, at a minimum, offender name, date, time of departure, destination by street address, authorized purpose, expected return time, actual return time, and offender signature. Staff and offender signatures prior to the offender's departure and following arrival will verify all entries. Authorizations for location changes shall be clearly and consistently documented and shall adhere to all the documentation elements with the exception of offender signature. Signatures can be original or documented via electronic means (electronic signature and/or biometric verification). Electronic and biometric verification methods must be secure and auditable.

Discussion/Definitions: *Sign-out logs are essential accountability documents. Because these documents are frequently used in disciplinary proceedings, accurate information is critical. Destination information should include a specific location and indicate the type of sign-out (e.g. pass, work, furlough). To ensure validity, all entries must be legible and clearly reflect the offender's location within the community.*

4-220: The program shall have written policies and procedures that define contraband and have a detailed procedure for its detection, confiscation, storage, disposal, and documentation. Disciplinary actions that could result from the possession of contraband shall be defined and made available to the offender. Procedures shall include guidelines for contraband searches that include "pat" searches, room searches, vehicle searches, personal property searches and limited visitor searches.

4-230: The program shall have written policies and procedures that govern program response to work stoppages, natural disasters, or other disruptions of normal work routines. For programs with single coverage shifts, policies shall require that "on-call" staff be able to respond to the facility within 30 minutes.

Discussion/Definitions: *Pre-determined back-up procedures are imperative, particularly when the program schedules single coverage shifts. It is advisable to have administrative or supervisory staff on-call or at the facility at all times.*

4-240: Residential programs shall provide an acceptable staffing pattern that concentrates security staff during the program's peak hours. The overall ratio of security staff to the program's current residential population shall be a minimum of one full-time (or full-time equivalent) security staff member per twelve residential offenders. At a minimum, programs with a residential population of 40 or more shall be covered by at least two security staff members during peak hours.

Security staff shall be on-site and trained in security policies and procedures. Non-security staff used to provide backup to security staff shall be trained in applicable security policies and procedures and their primary responsibility shall be security duties during this coverage period.

4-250: The program shall have written policies and procedures that govern the transportation of offenders by program staff. The policy shall prohibit transportation of offenders in personal vehicles unless the program provides insurance for such transportation.

Discussion/Definitions: *The uninsured transport of offenders raises serious liability issues. Unless the insurance policy(s) includes "non-owner" coverage, such transport should not occur. Other safety and liability issues that should be considered include staff, offender and public safety. Staff that lack proper credentials or have unacceptable driving histories should not be permitted to transport offenders.*

4-260: 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 the referring agencies and the Colorado Revised Statutes, as amended. Procedures to be followed after an escape shall be clearly outlined by the program.

At a minimum, and within two hours after offender's unauthorized absence is discovered, prompt notification shall include:

- a. Appropriate referral agency and the community corrections board (if required)
- b. Law enforcement agencies
- c. Victim where requested notification has been made
- d. Any third parties known to be at risk

Discussion/Definitions: *Currently the Department of Corrections has established policies for reporting escapes of offenders under its jurisdiction. The Fugitive Reporting System, as revised, is used for offenders under the jurisdiction of the courts. (See Standard 6-191)*

5-000 FACILITIES

The standards in this section address the quality and safety of the living and working environment for program staff and offenders. Facilities must be in compliance with applicable zoning, building, fire, and health codes. In addition, facilities must meet space requirements, providing adequate living space for resident offenders, as well as providing sufficient space for staff and for offender services.

5-000 FACILITIES

5-010: The program shall remain in compliance with all applicable building codes and zoning requirements. Proof of compliance shall be kept on file at each program location.

5-020: The program shall comply with the regulations of the fire authority having jurisdiction. Compliance shall be verified by an annual inspection by the local fire department that provides suppression services. In the event the local authority having jurisdiction does not provide fire code inspection services, the program shall obtain an annual fire safety inspection from a Colorado certified fire safety inspector. Proof of compliance shall be kept on file at each program location.

***Discussion/Definitions:** Many areas of the state are protected by volunteer fire departments that may not have qualified fire inspectors. In areas of the state where there are not certified inspectors, the Colorado Department of Public Safety, Division of Fire Safety can conduct fire safety inspections at the request of the local authority having jurisdiction on a fee for service basis. The Division of Fire Safety also maintains a listing of Colorado certified fire safety inspectors.*

5-030: The residential program shall provide flame-retardant mattresses and pillows in good condition, with labels that indicate the fire safety performance requirements.

5-040: The residential program shall maintain an automatic sprinkler system, where required by the local building code.

5-050: The residential program shall have a fire protection alarm system and an automatic smoke detection system that is approved by the authority having jurisdiction. All system elements shall be tested on a quarterly basis; adequacy and operation of the systems are to be approved by a state fire official or other qualified authority annually. Written documentation shall be maintained at the facility.

5-060: The program shall store all flammable liquids and hazardous materials (paint, cleaners, adhesives, etc.) in their original containers and away from kitchen and dining areas, furnaces, heaters, sleeping and high traffic areas.

5-070: All program locations shall conduct random emergency evacuation fire drills at least once quarterly. Documentation of these drills shall be maintained at each program location. Documentation shall include the following: time, date, staff initials, number of participants, response time and comments.

5-080: Program staff shall have immediate access to a first aid manual and appropriate medical supplies.

Discussion/Definitions: For a list of appropriate medical supplies, refer to the American Red Cross or American Medical Association.

5-090: A minimum of 50 square feet of floor space shall be provided per offender in sleeping areas of the residential program, of which no more than 4 square feet shall be closet or wardrobe space.

5-100: The program shall provide separate space for each of the following:

- a. Private individual counseling
- b. Group meetings
- c. Monitored visitation (residential only)
- d. Dining (residential only)
- e. Food preparation (residential only)

Discussion/Definition: Multi-purpose areas shall only be used for one of the events listed above, at any given time.

5-110: The residential program shall provide space for visits by family members, attorneys, criminal justice officials and other appropriate visitors and maintain policies and procedures to monitor and control such visits.

5-120: The residential program shall maintain, at a minimum:

- a. One operable toilet for every 10 offenders, or combination of toilet and urinals for every 10 offenders.
- b. One operable wash basin for every 6 offenders (hot water not to exceed 130 degrees).
- c. One operable shower or bath for every 8 offenders (hot water not to exceed 130 degrees).
- d. One operable washer and dryer for every 12 offenders, or access to commercial laundry machines within 2 miles of the residential program.

Discussion/Definitions: The hot water supply shall be sufficient to meet the reasonable needs of each residential offender on a daily basis.

5-130: The program shall comply with all health and sanitation codes of the jurisdiction having authority. Written reports of inspections by state and local authorities shall be maintained at each program location. In the event there are no local city and/or county codes applicable, state codes will prevail. In the event that no local or state codes are applicable, appropriate national codes shall be applied.

5-140: 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 board. Meals:

- a. Shall be approved and reviewed annually by a registered dietician.
- b. Shall be specially prepared if required for documented medical reasons.
- c. A weekly menu for all meals shall be posted.

5-150: The program and surrounding property shall be kept in safe repair and in clean and sanitary condition at all times. Written policies and procedures shall define regular housekeeping and maintenance routines, with daily documented inspections.

Discussion/Definitions: *Compliance with health and sanitation codes is vital to the safety and well being of the offenders.*

5-160: Resident offenders may be assigned house cleaning chores and duties following written policies and procedures that provide for the fair and equal distribution of such assignments. (Also reference standard 2-070)

Discussion/Definitions: *The distribution of daily offender chores requires impartiality and consistency by staff. This includes the monitoring and supervision of all offender chores. Clear written guidelines should exist concerning the distribution of additional chores as a result of disciplinary action.*

5-170: The program shall have written policies and procedures that provide for regular inspections to ensure that each offender's bedding is clean.

6-000 CASE MANAGEMENT

The standards in this section address offender assessment, development and revision of case supervision/treatment plans, and the tracking and recording of offender progress while in community corrections programs. These standards are intended to prioritize services to offenders, concentrating on those problems most related to criminal behavior, and making the most efficient and effective use of limited resources to increase public safety.

6-000 CASE MANAGEMENT

6-010: A separate case record shall be maintained for each offender in the program. Each individual case record shall include, at a minimum, the following information that is uniformly filed and kept current:

- a. Commitment documents from referring agencies, including background information
- b. Proof of eligibility or acceptance by the local community corrections board
- c. Intake and admission information forms (see standards 4-010 and 4-020)
- d. Individual case assessment and supervision plans, documentation, and reviews
- e. Release of information and other consent forms
- f. Chronological entries and progress reports documenting developments of the case, including compliance with special conditions
- g. Documentation of treatment attendance and progress
- h. Financial information including: employment, earnings, taxes paid, court ordered payments and collections
- i. Copies of incident reports, disciplinary actions, disciplinary appeals, and grievances
- j. Copies of correspondence, referral forms, or other documents related to the case
- k. Termination forms, summaries, and notices
- l. Case record map

6-020: Offender medical records developed by licensed health care professionals while the offender is in the program shall be maintained in a separate individual file. Written policies and procedures shall govern the confidentiality of these medical records in accordance with current state and federal law.

6-030: The program shall have written policies and procedures that govern the confidentiality of case records and shall address, at a minimum, offender access to records, staff access, and release of information to third parties. Offender records shall be maintained in accordance with federal and state laws.

6-040: The program shall have written policies and procedures that govern the release of information to third parties including authorized representatives of criminal justice or oversight agencies. The program's "Release of Information Form" shall address circumstances under which releases are permitted and restrictions on the type of information to be released. Staff and agents of the program shall have clear instructions on the release of information to third parties.

The structure and identification of information to be placed on the form includes, but is not limited to:

- a. Name of person, agency or organization requesting information
- b. Name of person, agency or organization releasing information

- c. The specific information to be disclosed
- d. The purpose or need for the information
- e. Expiration date
- f. Date consent form is signed
- g. Signature of the offender
- h. Signature of individual witnessing offender's signature

Copies of the consent form shall be maintained in the offender's file.

Discussion/Definitions: *It is extremely important that the confidentiality of records be respected and maintained at all times. Program policies must specify what information will be available to the offender, particularly when his/her mental and social adjustment might be affected; when a co-defendant is involved; when informants' names are recorded, or when victim information is included.*

6-050: The program shall have written policies and procedures that provide for secure storage of all case records, logs, and records in accordance with contract requirements. Records must subsequently be disposed of in a manner ensuring complete confidentiality.

6-060: The program shall have written policies and procedures for assigning each offender to a case manager within one working day after the offender's admission to the program.

Discussion/Definitions: *Program staff must be accessible to offenders for advice, counseling and supervision. Every effort shall be made to match case managers and offenders based on risk, need and responsivity. Caseloads shall be set at a level reasonable enough to ensure compliance with all standards and referral agency requirements. Consideration of lower caseloads should be given to case managers supervising specialized offender populations such as: sex offenders, seriously mentally ill offenders and female offenders.*

6-070: Case managers shall meet individually at least once each week with each residential offender on their caseload. Gaps between meetings shall not exceed 10 calendar days. For offenders under non-residential supervision, case management meetings shall be conducted in accordance with standard 3-220. The purpose of the meeting is to discuss progress towards objectives identified in the offender's supervision plan and address problems that may be impinging on the offender's reintegration within the community. Sessions shall be documented in the chronological notes in the offender's file.

Discussion/Definitions: *Case management meetings should be scheduled in advance to allow both parties to prepare and identify topics for discussion. Adequate time should be allowed to fully discuss case progress and problems.*

6-080: Chronological or progress notes shall be entered into an offender's case record each time there is a scheduled meeting, an event or information potentially affecting the direction or progress of the case, and any interagency communication regarding the

particular case and shall adequately document the content of the event. All entries shall be legible, accurate, systematically filed in the offender's case record and signed and dated by the staff member making the entry. The signature can be original or documented via electronic means (electronic signature and/or biometric verification). Electronic signatures and biometric verification methods must be secure and auditable.

Discussion/Definitions: *A consistent coding system and format should be used to identify the type of event being recorded (individual, collateral, staffing, etc.). Because such documentation is often used for disciplinary hearings or other important case decisions, legibility and accuracy are critical.*

6-090: The program shall have written policies and procedures for systematically assessing all incoming offenders for their individual criminal risks, criminogenic needs, and responsivity to various intervention strategies. The assessments shall be completed and documented in the offender case record within 10 working days of the offender's admission. Programs may use assessments that were completed within six months prior to placement. Assessments shall include:

- a. The Level of Supervision Inventory (LSI)
- b. Simple Screening Instrument - Revised (SSI-R)
- c. Adult Substance Use Survey – Revised (ASUS-R)
- d. Service/Treatment Recommendation Worksheet (TxRW)

If the program elects to screen for mental illness, the screening process shall include the Colorado Criminal Justice Mental Health Screen for Offenders – Adult (CCJMHS-A)

Discussion/Definitions: *The Level of Supervision Inventory (LSI) should be re-scored every six months and when significant events occur in the offenders placement (e.g. new drug use, transfer to non-residential placement).*

The assessment of offender criminal risk, criminogenic need, and individual responsivity should include (1) a careful consideration of referral information and offender behavior in the program, and (2) a systematic application of assessment instruments that have established validity and reliability. This assessment process serves as the basis for subsequent case analysis and supervision plan development.

State criminal justice agencies and treatment agencies have implemented a system-wide substance abuse screening and assessment process (16-11.5-101, et.seq., C.R.S, as amended). This mandated assessment process supplements these standards.

6-100: Case managers shall formulate a personalized supervision plan for each offender that specifies supervision approaches. The case manager and the offender shall plan the interventions targeted to address particular criminogenic needs and referral agency treatment requests. Supervision plans shall include measurable criteria of expected positive behavior and accomplishments and a time schedule for achievement. Both residential and non residential original supervision plans shall be completed, signed, and dated by both the case manager and the offender within 15 working days of the

offender's program entry date. A summary of the individualized assessment and/or supervision plan shall be provided to the referral or oversight agency upon request.

The supervision plan must be tied to the Standardized Offender Assessment - Revised (SOA-R) and to evaluation outcome. The recommended type of supervision plan is a problem-oriented format that separately identifies each of:

- a. The offender's key behavioral problems
- b. Short-range behavioral objectives that address the above problem
- c. Specific steps the offender needs to take in the immediate future to accomplish the established objectives
- d. The specific steps the case manager will take to assist and/or hold the offender accountable for accomplishment of identified objectives

Discussion/Definitions: Care should be taken to avoid over-loading any offender with too many objectives to accomplish at any one point; two to four behavioral objectives is a range most offenders are likely to manage during a given period. The achievement of objectives should be reinforced soon after the desired behavior occurs. Positive reinforcement accelerates behavior changes and should be meaningful to the offender.

6-110: Case managers shall perform a documented review of offender progress to include supervision plans at least once each month and revise the plan if indicated by case developments. This review shall note progress, problems, or need for revisions to the supervision plan. Any modifications to the supervision plan or expectations of the offender shall be personally reviewed with the offender and a written record of the modifications shall be made in the case record, signed, and dated by the offender and case manager.

Discussion/Definitions: Offenders in community corrections programs have adjustments to make, and modifications to supervision plans must be reviewed in a staff meeting or by an individual staff member. It is essential that the program records reflect this progress, or lack of it, in the individual case record. Items of special concern in this review include, at a minimum, the reviews of the rater box items on the Level of Supervision Inventory (LSI), the short-range objectives specified in the offender's supervision plan and any special conditions required by the referring agency or local community corrections board (if not integrated into the supervision plan). This review provides some assurances that offenders are not overlooked in the treatment and reintegration process. Level 3 and level 4 non-residential offenders' progress and supervision plans may be done quarterly.

6-120: The program shall establish written policies and procedures governing the movement of offenders through various levels of supervision. Areas such as time frames and completion of program expectations will be addressed in these policies and procedures.

6-130: The program shall develop a specific plan for offender employment services. The plan shall include preparation for job search readiness including: aptitude testing, job

referrals, public transportation, and facility phone access during business hours. Community employment resources shall be described in detail.

Discussion/Definitions: Programs shall develop specific strategies for minimizing common obstacles to employment for offenders. Issues that should be addressed include: inadequate transportation and phone access, insufficient support during the job search process, and lack of familiarity with local employment resources.

6-140: The program shall review each offender's educational status to determine if attendance in Adult Basic Education (ABE) or General Equivalency Degree (GED) program is indicated. Information regarding ABE and GED services shall be made available to appropriate offenders including information on costs, locations, and enrollment procedures.

6-150: The program shall develop a written plan to address offender treatment, to include procedures for assessment, referral, treatment and monitoring. Treatment resources shall be described in detail and be supported by written curricula. The plan shall be revised or updated as needed.

Discussion/Definitions: Programs are required to maintain listings of other treatment resources and refer offenders to the most appropriate service based on assessment conclusions.

6-160: The program shall make appropriate referrals to qualified treatment providers to meet the needs of the offenders accepted for placement. Participation and progress in treatment shall be regularly monitored by the program to include monthly verification of attendance. Offenders shall be advised upon intake, or upon a decision to refer, of the reasons for the referral, their responsibilities for payment and participation in treatment.

Discussion/Definitions: Programs should establish a regular system of monitoring offenders' participation in treatment including periodic on-site visits, telephone contact, written reports or other monitoring techniques.

6-170: At termination, a discharge summary shall be prepared that reviews the offender's performance in the program. If the offender is to transfer to a non-residential program, probation, or parole, the summary shall also include recommendations to assist with continuity and transition of supervision. The discharge summary shall be signed and dated by the case manager upon completion and a copy shall be maintained in the offender's case record. Upon termination of the offender, a discharge summary shall be submitted to the referring agency within five working days, if required.

Discussion/Definitions: At a minimum, this report summarizes in narrative form activities that occurred during the program, unusual occurrences, treatment during supervision that affected the outcome of supervision, and the staff's assessment of the reasons for the successful or unsuccessful outcome.

6-180: The program shall assist each offender in developing a budget (financial management plan) that corresponds with the offender's pay period. It should prioritize the offender's financial obligations and assist the offender in addressing those obligations. The written budget shall be signed and dated by the offender and case manager and maintained in the case record.

Discussion/Definitions: *Offenders are to be encouraged to develop both short and long-term budgets to prepare for reintegration into the community and meet financial obligations imposed by the criminal justice system. Such budgets are not required for unemployed offenders.*

6-190: The program shall have policies and procedures that describe documentation to be maintained for individual recording of financial transactions related to placement in the program (such as earnings, subsistence fees, restitution, fines, treatment fees and savings). Receipts for financial transactions shall be provided to the offenders. Monthly statements, signed and dated by the offender and staff, shall be provided to each offender with the status of offender funds (if maintained by the program) as well as the status of bills or debts to the program. A final financial statement shall be provided to both the offender and the referral agency, if required, upon termination. A copy shall be maintained in the offender's case record.

6-191: A Limited Power of Attorney form, signed and dated by the offender and staff, shall govern the distribution of offender funds, if maintained by the program, in the event of escape in accordance with statute.

6-200: The program shall have an established process to monitor the payment of restitution in accordance with the requirements of the local jurisdiction.

6-201: The program shall establish policies and procedures that set realistic expectations to allow offenders to comply with their court ordered and other statutorily allowable fees. Programs shall document justification for exceptions to this requirement in the client's monthly financial report.

Intake Phase – Upon intake to the residential program, offenders without employment or any external source of income would not be expected to contribute to court ordered fees/fines/costs or interest (restitution) until they have obtained and maintained employment of at least 32 hours per week for 2 months.

All financial resources are to be spent on essential expenses. No restitution or savings payments are required in this phase. If at any time during this phase the offender becomes financially stabilized, they will move to the next phase.

Prioritized Essential expenses:

- Court ordered child support
- Subsistence (rent)
- Treatment (group or individual treatment fees, polygraphs)
- Medical expenses (doctor appointments, medication)
- Transportation (bus tokens or passes, bicycle maintenance)
- Employment expenses (equipment and clothing)

Stability Phase – During this second phase, the offender has become financially stable enough to take on the added listed obligations while in the residential program. The remainder of the offender's income after the "Essential Expenses" have been paid will be divided among the listed obligations by approximately the listed percentages:

Additional Obligations

- Restitution – 40% (restitution and court costs)
- Savings – 40% (for savings for independent living)
- Personal expenses – 20% (leisure, family, clothing)

Re-Entry Phase – During this phase the offender has moved to a non-residential phase of community corrections. The remainder of the offender's income after the "Essential Expenses" have been paid, will be divided among the listed obligations by approximately the listed percentages:

Additional Non Residential Obligations:

- Restitution – 60%
- Savings – 40%

6-202: The program shall have written policies and procedures that allow for the identification of offenders who have court-ordered child support obligations. At a minimum, the policies and procedures will address the provision of information to offenders at the initial case management meeting regarding the process to modify court ordered child support. The program will be compliant with the procedures established by the DCJ and the Division of Human Services – Child Support Enforcement regarding the provision of offender information and employment status.

6-210: Offenders shall obtain both program approval and, if required, referral agency approval before entering into any contract.

6-220: The program shall have written policies and procedures that define when offenders under supervision will be permitted to drive and use privately owned vehicles. The policy shall include, at a minimum, the requirement of a current and valid driver's license, proof of insurance, Department of Motor Vehicle record, and referral agency approval, if required. Copies of all documentation shall be maintained in the offender's case record.

Discussion/Definitions: *Allowing offenders to drive raises potential liability issues. Before offenders are authorized to drive, risk to the offender and community must be assessed. An example of high risk is a license revocation within the past 3 years. Other considerations may include the relationship of the offender's driving history to his/her offense (past or present). Due to the importance of current and valid documentation, programs should implement some sort of "tickler" system that alerts staff, ahead of time, of upcoming expiration dates.*

Glossary

Administrative staff - Those employees who do not have direct contact with offenders as part of their regular job duties.

Agent - Anyone working on behalf of the program.

Ancillary staff - All program staff, regular or temporary, not included under administration, program or security.

Aptitude testing - Testing of one's ability to learn or to establish employment suitability.

Audit (financial) - The purpose of an audit is to provide a reasonable basis for expressing an independent opinion on the financial statements of the agency by performing procedures such as assessing control risk, testing accounting records, and obtaining corroborating evidence through inspection, observation and confirmation.

Biometric identification - Automated techniques for identifying individuals by using physiological or physical characteristics, including iris, retina, hand geometry, finger, face, handwriting and voice recognition techniques.

Breath test - Test administered to determine if alcohol has been consumed.

Case record map - Index of document locations within a case record.

CCIC - Colorado Crime Information Center.

Chores - General housekeeping duties.

Chronological notes - A recording of offender progress while in community corrections.

Community Corrections - A community-based program that provides residential and/or non-residential accommodations and supervision for felony offenders, and provides programs and services to aid in the reintegration of the offender into the community.

Community Corrections Board - A governing authority that has the authority to enter into contracts, establish programs, accept or reject offenders for placement and establish and enforce standards.

Conditional employment - An offer of employment that is contingent on the results of a background investigation.

Contraband - Forbidden items as established by the program policies.

Controlled substances - Substances identified as illegal by state law.

Criminogenic - Producing or leading to criminal behavior.

Criminogenic needs - Those individual problems or conditions that lead to criminal behavior.

CRS - Colorado Revised Statutes.

DCJ - Colorado Division of Criminal Justice, Department of Public Safety.

Direct sentence - Also known as diversion or direct placement, it is the sentencing of a felony offender to community corrections by the courts.

Direct supervision - A new employee must be supervised by another employee of the program who has a completed background investigation (including the receipt of the fingerprint card results) and formal orientation training.

DOC - Colorado Department of Corrections.

Drug of choice - The drug that the offender has used frequently and predominantly in the past; some offenders will have more than one.

Drug screening kit - A portable drug screening device.

Employment verification - A staff initiated contact with an offender's employer or verification through documents such as pay stubs, pay checks, etc.

Financial Review - The objective of a financial review is to obtain a reasonable basis for expressing independent limited assurance that the financial statements are in conformation with generally accepted accounting principles (GAAP) or another accepted basis of accounting. Though less comprehensive than an audit, a review is more comprehensive than a compilation of financial statements and relies heavily on inquiry and analytical procedures.

Full time equivalent - Any combination of employees whose working hours equal a minimum of 32 hours per week.

Full time security staff - A security staff employee who works at least 32 hours per week.

Furlough - Any authorized absence from the residential program for over 18 hours but not exceeding 48 hours.

Generally Accepted Accounting Procedures - (GAAP) - A set of accounting standards, rules, and procedures for reporting earnings and losses in financial statements that was created by the Financial Accounting Standards Board and other standard-setting bodies and professional organizations.

Governing Authority - The legal entity that operates the community corrections program, i.e. the corporate board of directors or governmental unit authorized to act as the legal agent of the agency.

Grievance - A statement expressing a complaint against a real or imagined wrong, or a circumstance believed to be unjust and grounds for complaint.

Health inventory - Self reported medical history.

Home visit - A visit by a staff member to the offender's residence and having personal interaction with the offender.

In-House - Inside the facility.

In-House Substance Abuse Testing Equipment - Urinalysis testing equipment that is maintained and operated by the program.

Individual Responsivity - The likelihood that an intervention targeted to address a criminogenic need will have the desired effect of eliminating criminal behavior.

Job Search Status – Any time period when an offender is looking for a job.

LSI - Level of Supervision Inventory. The LSI is an assessment tool that measures the risk and needs of an offender.

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

NCIC - National Crime Information Center.

Non-Residential - Applies to Direct Sentence offenders who have successfully completed residential placement and are now living independently in the community.

Offender - Anyone under criminal justice supervision.

Offender Funds – the system in which the program collects and distributes all monies received or earned by the offender during their residential placement.

Operable - In working order and suitable for use.

Oversight agency - The agency responsible for funding allocations, contracts and standards compliance. (refers to DCJ)

Parolee - A DOC offender released to the community by the Colorado State Parole Board before his/her sentence has expired.

Pass - Any non-work, non-job search sign out that is 18 hours or less.

Peak hours - Monday through Friday from 4:00 p.m. to midnight, and Saturday, Sunday, and holidays from 8:00 a.m. to midnight.

Personal contact - A face-to-face contact between the offender and a staff person.

Phone contact - A staff initiated telephone call to the offender.

Prescribed medications - Medication prescribed by a licensed health care professional.

Probation - Agents of the court responsible for the referring and monitoring of Direct Sentence offenders to community corrections.

Program - The agency contracting with the local community corrections board to provide community corrections services.

Program staff - Those employees or agents who are involved in the provision of services to offenders such as case management, assessment, educational or skills building groups or treatment.

Prompt - Done without delay.

PSIR - Pre-Sentence Investigation Report.

Qualified treatment providers - Individual or agencies that meet the state standards and requirements for providing specific types and levels of treatment.

Random - The event is conducted in a method that is not predictable.

Reasonable suspicion testing - Drug testing of employees or offenders based on observed or reported incidents.

Referral agency - The agency with legal authority to refer offenders for placement.

Reinforcement - To reward a desired response in order to encourage its repetition.

Restitution - Court ordered compensation.

Risk - The assessed probability of continued criminal behavior.

Savings – Earnings set aside to meet financial obligations upon community re-integration.

Screening - The use of specific criteria to evaluate potential community corrections placements.

Security staff - Those employees who are involved in program security, public safety issues, and offender monitoring.

Segment audit - A segment is generally defined as a component of an enterprise that is engaged in providing a product or service to a certain group of customers or in a certain geographic area. A segment audit or review may be required if the community corrections program is being operated as a part of a unit of government or by a large corporate entity. The segment audit or review would follow the same guidelines as a financial audit or financial review, but would focus on the community corrections agency or agencies that are under the jurisdiction of these standards.

Service delivery - Refers to services provided by treatment professionals or program staff.

Service provider - Refers to qualified treatment provider (see above) or other licensed or

certified individuals or agencies providing education or skills-based programs.

SOA-R - Standardized Offender Assessment (Revised)

Special condition - Additional or unusual placement requirements.

Staff initiated monitor - The program staff placing a call to the offender's sign out location for the purpose of verifying the offender's present location.

Subsistence - Established fee the offender is charged by the program in order to reside in the residential facility

Third parties - Anyone outside the criminal justice system.

Transition - An offender placed in the community corrections program who is under the jurisdiction of the Colorado Department of Corrections (DOC)

Verification - Establishment or confirmation of the truth.

Working Day - Monday through Friday from 8:00 a.m. to 5:00 p.m., exclusive of holidays.

Appendix

Administrative Procedures for Program Audits and Appeals

AUDITS

The Colorado Division of Criminal Justice (DCJ) has statutory authority to audit Community Corrections programs at least once every three years. Boards and programs are notified two weeks in advance that an audit will be conducted. The audit team is generally on-site from 3 to 5 days. Audits measure compliance with the Community Corrections Standards and the statutes governing all aspects of Community Corrections, including earned time, restitution collection and victim notification. The DCJ audit team consists of staff members of the Office of Community Corrections (OCC), local board staff and/or members, Department of Corrections Community Corrections Agents, and local Probation Officers. This team reviews documentation (such as policies and procedures, building and fire inspections, personnel files, and client files), interviews program staff and clients, inspects the physical facility and observes daily operations during the course of the audit.

Following the audit, a report is prepared and sent to the program for comment prior to release to the local community corrections board and referral agencies. This report details all standards reviewed and whether or not the program is in compliance with the standards or statutes. If the issues are life threatening or create a public safety risk, a time-limited remedy will be required by DCJ. The program will be required to provide documentation to DCJ that changes have been made to address the issue. The DCJ may conduct an on-site inspection.

In the event the audit team discovers possible criminal activity, such as falsification of records or tampering with urinalysis testing results, the auditor will notify the Manager of the Office of Community Corrections and a decision will be made whether to notify the local District Attorney to initiate an investigation. This investigation may or may not result in criminal prosecution.

FOLLOW-UP AUDITS

A follow-up audit will be conducted within a 6 to 12 month period following the initial audit. In the event of serious public safety issues, a follow-up may be conducted within 1 to 3 months. Follow-up audits are more limited in scope than the initial audit and the documentation is tested to ensure corrective actions have been taken on all of the recommendations or findings. The DCJ does not notify the agency prior to a follow-up audit. The follow-up is generally conducted by two DCJ audit team members and is usually limited to two days on-site. The files reviewed are chosen from the time period following corrective action of initial audit findings by the program. Again, the report is prepared and sent to the program for review prior to release to the Community Corrections Board.

AUDIT APPEALS

In the event the program is unable to resolve issues related to audit findings with the DCJ Community Corrections Auditor, the program will direct the initial appeal to the community corrections board within 10 days of the final audit report. The board will provide DCJ with a copy of the appeal so that the auditor may provide information to express DCJ's position on the disputed finding(s). The local board will issue a written decision to the program following the next board meeting. The board will forward a copy of that response to the DCJ auditor. If the board supports the program, and the DCJ auditor does not agree, the board's response and the appeal from the program will be forwarded to the Director of the DCJ.

In the event that the board does not support the program's appeal, the program still has the option to appeal to the Director of the DCJ. The written appeal must provide documentation outlining the basis for the appeal and back-up documentation to support the argument. This documentation may include Board input. The Director of DCJ will review the documentation and may choose to meet with the appealing program and board. A letter of support or denial of appeal will be provided within 15 days.

If the program is still in disagreement with the finding, the program may appeal, in writing, to the Executive Director of the Colorado Department of Public Safety (CDPS). The CDPS Executive Director, or an appointed designee, will respond in writing to the appeal within 30 days. The decision of the Executive Director is final. The program does have the option of civil litigation.

SPECIAL LIMITED-SCOPE AUDITS

The DCJ may choose to audit any program in any area of its operation. The decision to conduct a limited-scope audit may be based on a number of factors, such as (but not limited to):

- a. Evidence that the program is not operating within the standards or statutes
- b. Billings are incorrect
- c. Contact by the community corrections board, the public, or staff of a program expressing concern about the operation of the program
- d. Paperwork submitted by the program is consistently incorrect
- e. No paperwork is submitted by the program

Any one of these issues may trigger a limited-scope audit. During these audits, DCJ follows the same basic procedures as with any audit, but no notification is made prior to the audit. Offender files, financial records or other paperwork may be reviewed and staff and offenders may be interviewed. A limited-scope audit may result in a full audit if there is evidence of a significant problem.

WAIVERS

The state recognizes that individual communities may need to define requirements of programs due to unique local circumstances or facility characteristics. Local community boards may exercise that authority under 17-27-103 and 104 C.R.S., as amended, to impose standards or program requirements in addition to the state standards. Programs do not need to request a waiver of a standard if the board has imposed standards that are more stringent than those imposed through the Colorado Community Corrections Standards. A program may seek waivers from the state for compliance with individual standards by following the process outlined below:

- a. Formulate a written request that identifies the specific standard for which a waiver is sought and the justification for the waiver.
- b. Submit the request first to the local community corrections board.
- c. If the local board endorses the request, submit the request with the written board endorsement to the Colorado Department of Public Safety, Division of Criminal Justice. The Division of Criminal Justice will provide written approval or denial of the request and may time limit any waiver request.

Beginning July 1, 2002, a waiver will only apply for a one-year period unless otherwise specified by DCJ. If the program cannot make adjustments to comply with the standards, the waiver must be requested in each subsequent year. The DCJ may choose to approve or deny waivers. If a waiver is denied, the program will be given a specific amount of time (based on the extent of changes needed) to make adjustments to ensure compliance.

TECHNICAL ASSISTANCE

The Division of Criminal Justice may be considered as a resource by the community corrections boards and programs. The Office of Community Corrections staff is available to provide training to staff on issues related directly to community corrections, such as standards compliance, time credit statutes, completion of Client Termination Forms, and the basic Standardized Offender Assessment process. The OCC staff is familiar with most of the community corrections programs statewide and may be able to offer suggestions to improve the operation of a program. In addition, the DCJ has a professional staff with a wide range of knowledge of the criminal justice system, including victims' issues, sex offender management, domestic violence management, juvenile offender issues, research, and the availability of many grant programs.

REVISIONS OR AMENDMENTS TO STANDARDS

If events or statutory changes occur that conflict with the approved Standards, the Division of Criminal Justice may issue revisions or amendments to the Standards to ensure that programs are in compliance with the law. Any revisions or amendments will be issued in writing.