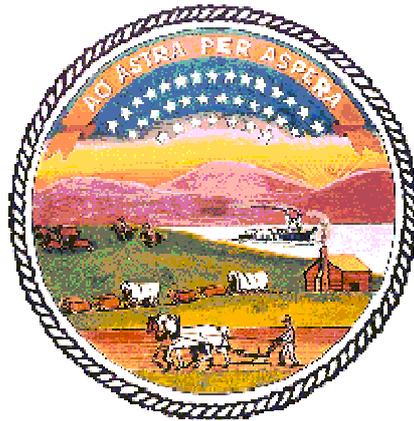


KANSAS

COMMUNITY CORRECTIONS



STANDARDS MANUAL

ADULT INTENSIVE SUPERVISION PROGRAMS (AISP)

KANSAS DEPARTMENT OF CORRECTIONS
COMMUNITY AND FIELD SERVICES DIVISION
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**PART ONE
ADMINISTRATION AND MANAGEMENT**

**SECTION A
GENERAL ADMINISTRATION**

Principle: *A written body of policy and procedure establishes agency goals, objectives, standard operating procedures, and a system of regular review.*

Mission

1A-ADM-100 There shall be a written document delineating the agency's mission within the context of the corrections system. This document shall be reviewed and updated as needed.

Discussion: The mission statement should be concise, and serve as the focus for agency activities. The mission clarifies the agency's purpose and role.

1A-ADM-101 There shall be a written statement that describes the philosophy, values, goals, and objectives of the agency. This statement shall be reviewed and updated as needed.

Discussion: None

Organizational Structure

1A-ADM-102 KDOC shall be notified in writing of any organizational changes within 30 working days from the date of the change.

Discussion: To provide a clear administrative picture, current organizational information is necessary. The information should include program groupings, staffing patterns, span of control, and lines of authority.

Policy Formulation

1A-ADM-103 There shall be written policy and procedure governing the development, approval, monitoring, and implementation of agency policies.

Discussion: None

1A-ADM-104 A Policy & Procedure Manual governing the operation and maintenance of all program components and services shall be accessible to all staff. The manual shall be reviewed annually and updated as needed.

Discussion: Manuals of standard operating procedures assist staff in successfully carrying out their assignments and ensure overall conformance to program policy and procedure. All staff should be thoroughly familiar with the sections concerning their functions.

1A-ADM-105 Written policy, procedure and practice shall require that new or revised policies and procedures be disseminated to staff, volunteers and interns, **prior** to implementation with the date of implementation specified on the document.

Discussion: None

1A-ADM-106 Open

1A-ADM-107 Agencies shall comply with all applicable zoning ordinances, and building, sanitation, health and fire codes.

Discussion: None

Inter-Local Agreements

1A-ADM-108 Agencies shall have documentation of approved Inter-Local Agreements as required by K.S.A. 12-2901 through 12-2907 and applicable amendments.

Discussion: None

Performance Objectives

1A-ADM-109 Open

1A-ADM-110 Open

Placement & Assessment

1A-ADM-111 Open

1A-ADM-112 Written policy, procedure, and practice shall require documentation of the authority to place a client in a community corrections program component.

Discussion: Each client's case file should contain evidence of their legal placement. The authority to place may be documented by a Court Order, statute or Courtesy Transfer Agreement.

1A-ADM-113 Agencies shall have written policy, procedure, and practice which govern how incidents of domestic violence are responded to by the agency.

Discussion: None

1A-ADM-114 Open

1A-ADM-115 There shall be written policy, procedure, and practice governing the release or transfer of supervision of clients.

Discussion: Collaboration with local stakeholders (judges, probation officials, county attorney, public defender) to ensure efficient utilization of community corrections resources is encouraged.

1A-ADM-116 Open

Work Hours

1A-ADM-117 Agencies shall establish written policy, procedure, and practice which govern how supervision contacts will be made with clients during hours other than 8:00 A.M. to 5:00 P.M., Monday through Friday.

Discussion: None

Staff Workload

1A-ADM-118 Agencies shall establish written policy, procedure and practice governing how staff workloads will be determined, managed, and monitored.

Discussion: The efforts of all field staff should be considered in meeting the contact requirements set forth by the agency. While assigned to community corrections, clients frequently receive assistance from staff associated with other program components and services. Examples are: Surveillance, EMD, Resource Developers, and Community Service Work Coordinators. In most instances, the assigned ISO is no longer the sole provider of services or the sole coordinator of resources for clients.

Opportunities for Clients

1A-ADM-119 Agencies shall establish written policy, procedure, and practice for developing employment, education, and vocational opportunities for clients.

Discussion: None

1A-ADM-120 There shall be written policy, procedure, and practice governing the supervision of clients with special needs.

Discussion: A mental and/or physical condition that requires different accommodations or arrangements than a general population offender normally would receive. Offenders with special needs may include, but are not limited to, developmentally disable, mentally ill, physically handicapped, chronically ill, and the disabled or infirm.

Incentives/Sanctions

1A-ADM-121 Agencies shall establish a range of incentives/sanctions to respond to client behavior. Written policy, procedure, and practice shall govern their use.

Discussion: Incentives/sanctions should be individualized and match the client's behavior.

Contractual Services

1A-ADM-122 Open

1A-ADM-123 Open

1A-ADM-124 Agencies providing services to all clients shall develop a system for monitoring and documenting a contract provider's compliance with state and federal codes or practices relevant to clients.

Discussion: None

Community Service

1A-ADM-125 There shall be written policy, procedure, and practice governing the assignment and completion of Community Service Work. **Payment in lieu of Community Service Work shall be prohibited.**

If additional Community Service Work Hours are assigned as an internal sanction, a policy must exist stating the authority for adding such hours as a consequence for specific behaviors. The authority must come directly from the court, be authorized as a condition of probation, or be stated in a list of alternative sanctions provided to the clients (approved by the Court) at the onset of probation.

Discussion: The agency shall document any approved changes of community service work hours in the client file. Donations of food to Food Banks are allowable exceptions.

Program Monitoring

1A-ADM-126 Open

1A-ADM-127 Agencies shall have written policy, procedure and practice governing **supervisory** reviews of case records assigned to subordinate staff.

Discussion: Agencies that adhere to standards of supervisory reviews are able to provide staff with timely and supportive feedback relevant to their work with clients assigned to the agency. Periodic reviews help to ensure that clients are receiving the level of monitoring and services that is consistent with the agency's mission, purpose, and Community Corrections Field Services Standards. Reviews can be used by a director as a tool to measure agency and staff performance.

Public Information

1A-ADM-128 Agencies shall have written policy, procedure, and practice governing media access and public information.

Discussion: Directors are encouraged to identify who, within the agency, may release or discuss with the media, information relevant to agency operation or client participation. Federal and state laws that preserve a client's rights to privacy must be adhered to.

1A-ADM-129 Agencies shall have written policy, procedure and practice governing confidentiality and the protection of client case records.

Discussion: Repair persons and vendors should not be allowed to carry out their duties within a facility without the direct supervision of staff. Staff should take the necessary precautions to ensure that client records and related documents are properly stored. Additionally, the privacy of supervision sessions should be maintained.

Safety and Control

1A-ADM-130 Written policy, procedure, and practice shall define how unusual incidents and crisis situations shall be managed by agency staff

Discussion: The intent of this policy is to provide direction for agency staff. It is important for agency staff to know how to contact supervisory staff during assigned work hours.

Firearms and Other Weapons

1A-ADM-131 There shall be written policy, procedure, and practice governing the use of firearms/weapons by surveillance officers. This will cover the use of force, deadly force, and ongoing training certification with the use of firearms/weapons carried and this must meet all state and local law enforcement officer certification requirements.

Discussion: None

SECTION B FISCAL MANAGEMENT

Principle: *A written body of policy and procedure establishes the agency's fiscal planning, budgeting and accounting procedures and establishes a system of regular review.*

Fiscal Control

1B-ADM-200 Agencies shall have written policy, procedure and practice governing fiscal internal controls.

Discussion: At a minimum, agencies shall address the following internal controls:

- Credit card usage
- Payroll and supporting documentation
- Travel
- Petty Cash
- Bonding for appropriate staff
- Signature controls
- Use of vouchers
- Deposits

1B-ADM-201 Agencies shall have written policy, procedure, and practice governing the retention, storage, and destruction of agency fiscal, program and client records and documentation.

Discussion: None

1B-ADM-202 Written policy, procedure, and practice shall govern the collection, recording, depositing, and disbursement of client accounts.

Discussion: All transactions should be documented when clients are required to deposit their earnings in an account designated for clients. Employees are discouraged from keeping large amounts of cash on hand. Deposits should be made at the end of each working day.

Client Fees

1B-ADM-203 Agencies shall have written policy, procedure and practice governing the assessment of client fees. Policy, procedure, and practice shall be reviewed annually and updated as needed.

Discussion: Agency policy should identify which services will be assessed, the associated cost for each service, and provisions for indigent clients. Imposing client fees can be rehabilitative and is encouraged. This standard will allow clients to assume some of the associated cost for services without being overloaded with excessive financial demands. The timely collection of restitution should always take precedence over the collection of client fees.

1B-ADM-204 Agencies shall have written policy, procedure and practice prohibiting the assessment of fees for like services by more than one (1) program component at a time.

Discussion: DRC and Intensive Supervision Probation clients should not be paying duplicate fees to both program components. An example is UA fees.

Budgets

- 1B-ADM-205 Agencies shall have written policy, procedure, and practice requiring all offender generated income by adult services programs, even if services are offered to non-offender participants, be reported to the Department of Corrections in a manner determined by the Secretary.
- Discussion:** The reporting of client generated income will assist KDOC in determining program costs.
- 1B-ADM-206 Agencies shall have written policy, procedure and practice requiring all revenue sources outside of the State's General Fund be reported to KDOC within ten (10) working days of award notification.
- Discussion:** The Department of Corrections needs to review information in a timely manner to meet statewide funding objectives, prevent budget discrepancies, and to enhance the State's ability to respond to emerging needs. Other sources of revenue may include, but are not limited to, grants from the National Institute of Corrections, Substance Abuse and Mental Health Services Administration and the Bureau of Justice Assistance.
- 1B-ADM-207 Agencies shall have written policy, procedure, and practice governing staff reimbursement for attendance in job related travel, training, workshops or conferences.
- Discussion:** At a minimum, policy, procedure, and practice should include discussion of registration fee, mileage, hotel cost, and meal reimbursement.

Inventory, Purchasing and Insurance

- 1B-ADM-208 Open
- 1B-ADM-209 Agencies shall have written policy, procedure and practice governing the requisition and purchase of supplies, equipment, and contractual services.
- Discussion:** Supplies, equipment, and contractual services should be obtained on a competitive bid basis, or according to the governing county's purchasing requirements. Agency procurement of supplies, equipment, and contractual services using a state contract does not require a separate competitive bid process. The agency shall have documentation of non-competitive bid when only one source is available to procure supplies, equipment, or contractual services.
- 1B-ADM-210 Agencies shall have written policy, procedure and practice requiring all assets be insured the same as required by county policy.
- Discussion:** Agencies shall provide proof of current insurance coverage and county policy and procedures with regard to insuring assets.

Audits

- 1B-ADM-211 Open

SECTION C PERSONNEL

Principle: *A written body of policy and procedure establishes the agency's staffing, recruiting, promotion, benefits, and review procedures for all staff.*

Policy Manual

1C-ADM-300 Written policy, procedure and practice shall require a current personnel policy manual which has been approved by the governing authority. The manual shall be available for staff reference. At a minimum, the following areas shall be covered:

- Mission and Philosophy statement
- Organizational chart
- Recruitment, promotion, and equal employment opportunity provisions
- Job descriptions and qualifications, including salary determinations
- Benefits, holidays, leave, and work hours
- Personnel records and staff evaluation
- Staff development, including in-service training
- Resignation and termination
- Disciplinary, grievance and appeal procedures
- Rules relevant to political activities
- Rules of conduct
- Sexual harassment
- Americans with Disabilities Act
- Drug free work place
- Prison Rape Elimination Act (PREA)

Discussion: Written personnel regulations help ensure equitable and consistent treatment of all staff. Every staff member should have the opportunity to review the personnel manual at the time of employment. The manual should always be available to staff.

Orientation

1C-ADM-301 Written policy, procedure, and practice shall require that orientations for full-time staff, part-time staff, interns and volunteers be completed prior to any independent job assignment. Documentation of orientation completion shall be placed in each staff member's personnel file. Orientation topics shall include, but not be limited to:

- Community Corrections Act and mission
- Statutes and regulations pertaining to community corrections
- Review of personnel and program policies and procedures
- Tools and techniques for effective client management
- Review of local and state resources
- Work place diversity
- Courtroom protocol
- Review sanctions and incentives policy
- Evidence Based Practice
- Staff work place and field safety and security issues
- Universal precautions

Discussion: The nationally recognized standard recommends forty (40) hours orientation of all staff, with the exception of non-administrative support staff. Non-administrative support staff is recommended for sixteen (16) hours of orientation.

1C-ADM-302 Written policy, procedure, and practice shall require that each staff, following an orientation to the agency, sign a statement acknowledging receipt of relevant personnel policies, and his/her responsibility for being aware of their contents.

Discussion: Signing a statement which acknowledges receipt of and responsibility for the personnel policies should follow the orientation with the agency director/administrator or supervisor. All questions pertaining to staff responsibilities should be answered. Staff should periodically review the manual and ask questions whenever necessary.

Criminal Record Checks

1C-ADM-303 Written policy, procedure and practice shall require that a criminal record check be conducted on all new staff.

Discussion: Criminal record checks will assist agencies in determining appropriate candidates for employment. When a criminal record is discovered, the agency should be guided by established county policy.

Standards of Conduct

1C-ADM-304 Agencies shall establish Standards of Conduct and make them available to all staff. Standards of Conduct shall at a minimum address:

- The treatment of all clients
- The acceptance of favors, gifts, or services from clients or their family members
- Business/personal relationships with clients or their family members
- Engaging in criminal conduct or behaviors which may bring discredit upon the agency

Discussion: To protect the integrity of the agency, its staff must be thoroughly familiar with the Standards of Conduct and be held accountable for compliance.

SECTION D STAFF DEVELOPMENT

Principle: *A written body of policy and procedure establishes staff development programs, and requirements for all categories of personnel.*

Coordination

1D-ADM-400 Open

1D-ADM-401 Open

Administrative and Supervisory Staff

1D-ADM-402 Agencies shall establish written policy, procedure, and practice governing the completion and documentation of forty (40) staff development hours by all full-time non-clerical, administrative and supervisory staff. Staff hours will be recorded and kept in the employees personnel file.

Discussion: The following training areas are suggested: management and leadership practices, labor law, employee-management relations, laws pertaining to the justice system, coordinating resources, sexual harassment, federal and state laws pertaining to clients, and work place diversity. The following staff development topics are recommended: human relations and communication skills, crisis intervention, managing clients with special needs, office management, counseling resistive clients, strategies for effective case management, sanctions, incentives, cultural diversity, gang intervention strategies, developing community resources, report writing, legislative process, and the rights and responsibilities of clients.

Full-Time Non-Administrative Staff

1D-ADM-403 Agencies shall establish written policy, procedure, and practice governing the completion and documentation of forty (40) annual staff development hours by full-time non-administrative staff and sixteen (16) hours for support staff. The topics shall be relevant to staff functions. Staff hours will be recorded and kept in the employees personnel file.

Discussion: The following staff development topics are recommended: human relations and communication skills, crisis intervention, managing clients with special needs, office management, counseling resistive clients, strategies for effective case management, sanctions, incentives, cultural diversity, gang intervention strategies, developing community resources, report writing, legislative process, and the rights and responsibilities of clients.

Part-Time Staff

1D-ADM-404 Agencies shall establish written policy, procedure, and practice governing staff development requirements for part-time staff, interns, and volunteers.

Discussion: Staff development topics should pertain to staff functions, and the functions of interns and volunteers.

1D-ADM-405 Agencies shall have written policy, procedure, and practice governing the selection of staff to participate in staff development opportunities.

Discussion: None

**SECTION E
MANAGEMENT INFORMATION SYSTEM**

Principle: *A written body of policy and procedure establishes the agency's procedures for information storage and retrieval, case records, daily reports, evaluation, and research.*

Information System

1E-ADM-500 Policy, procedure and practice shall require that agencies establish an organized system of information storage and retrieval.

Discussion: Information systems facilitate decision making, research, and timely responses to inquiries.

1E-ADM-501 Written policy, procedure, and practice shall require that information pertaining to clients assigned to a community corrections agency be recorded and maintained as required by the Kansas Department of Corrections.

Discussion: None.

1E-ADM-501A Community corrections act agencies shall enter and maintain case management information in TOADS databases, with the exception of Parole/Facility Only Areas, for each adult felony client assigned to its supervision. Case management information shall be created and maintained in TOADS in a complete, timely, and accurate manner.

Discussion: The agency director, or designee, is responsible for ensuring that information in TOADS is complete, timely, and accurate.

1E-ADM-501B Within two (2) working days after notification of assignment of a client to community corrections, the supervising community corrections agency shall ensure the following:

- The assigned client has a case management record in TOADS; and
- A status entry has been created in TOADS that reflects the current status of the client.

Discussion: If extenuating circumstances exist which prevent the supervising agency from meeting this deadline, the fact that the deadline has not been met and the reason for the deviation should be recorded in the TOADS contact database.

1E-ADM-501C Within thirty (30) calendar days after notification of assignment of a client to community corrections, the supervising community corrections agency shall ensure that all TOADS databases contain complete and accurate client case management information.

Discussion: If extenuating circumstances exist which prevent the supervising agency from meeting this deadline, the fact that the deadline has not been met and the reason for the deviation should be recorded in the TOADS contact database.

1E-ADM-501D Any new client case information or updates to existing client case information shall be entered into TOADS by the assigned community corrections act agency within five (5) working days after acquiring such information, including, but not limited to addresses, statuses, employment history and statuses, contacts, supervision/case plans, case information, offense descriptions, substance abuse testing, interventions, and obligations.

Discussion: If extenuating circumstances exist which prevent the supervising agency from meeting this deadline, the fact that the deadline has not been met and the reason for the deviation should be recorded in the TOADS contact database.

Research & Special Projects

1E-ADM-502 Written policy, procedure, and practice provide that the director reviews and approves all research projects prior to implementation.

Discussion: Research activities can contribute to more efficient and effective agency operation and services; public safety and client accountability. Researchers or other individuals working in the program should be informed of all policies regarding confidentiality. Any research projects which utilize data derived from OMIS or TOADS must be submitted to Kansas Department of Corrections for approval.

1E-ADM-503 Written policy, procedure, and practice shall require programs to collaborate, at least annually, with local resource providers, Courts, law enforcement, public defender's office, district attorney's office and other key stakeholders for the purpose of information exchange.

Discussion: Collaboration is critical to effective management and decision making. Furthermore, it helps prevent or reduce the likelihood of the duplication of continuous efforts and costs.

1E-ADM-504 Open

Distribution of Reports

1E-ADM-505 Open

Case Records

1E-ADM-506 Open

1E-ADM-507 There shall be written policy, procedure and practice governing the content and organization of client case files. Each file shall include either in hard copy or electronically:

- Demographic information
- Documentation of legal authority to participate (Journal Entry/Probation Agreement)
- Documentation of orientation/intake
- Appropriately signed and dated releases of information
- Initial risk/need assessments and all reassessments
- Drug testing record and results
- Supervision/case plans
- Clinical evaluation and assessment reports
- Written communication (may include but not limited to resource providers, victims, and others related to the case)
- Legal documents
- Discharge report (as applicable)
- Documentation of supervisory case file review
- Photo of client
- Chronological record of contacts, events, and actions
- Employer notification (if applicable)
- Employment and intervention information

Discussion: The information required in the TOADS database is not required to be in the hard copy file.

1E-ADM-508 Open

Client Access to Records

1E-ADM-509 Agencies shall establish written policy, procedure, and practice governing a client's access to information contained in his/her case file.

Discussion: None

PART TWO PROGRAM COMPONENTS

SECTION A ADULT INTENSIVE SUPERVISION (AISP)

Principle: *AISP Adult Intensive Supervision contributes to public safety and client accountability by using a combination of surveillance, effective case management, and client contacts, (re)habilitative services, and related activities.*

Initial Contact and Orientation

2A-PRO-100 Written policy, procedure, and practice shall require that staff have contact with a client within two (2) working days of sentencing. Unless otherwise specifically ordered by the court, staff shall initiate contact with each client, during the Pre-Sentence Phase, within two (2) working days of receiving notice that the client is SB 123 eligible. Staff shall ensure a referral for SB123 substance abuse assessment is completed prior to the scheduled sentencing date.

Discussion: If extenuating circumstances exist which prevent the supervising agency from meeting this deadline, the fact that the deadline has not been met and the reason for the deviation should be recorded in the TOADS contact database. Initiating contact with a client might occur via written correspondence, telephone conversation, personal visit, or other means that the agency determines to be appropriate and effective.

Staff should provide clients with temporary instructions regarding specific rules, restrictions on activities and whereabouts, expectations, orientation schedule, and related tasks. Staff should begin the process of gathering pertinent information and setting the tone of supervision. A photograph of the client should be taken during the intake/orientation meeting.

2A-PRO-101 There shall be written policy, procedure, and practice requiring that client orientations be completed within ten (10) working days of placement. Orientations shall include, but are not limited to:

- The purpose of orientation
- Guidelines, rules, and practices
- Services and related activities
- Major violations
- Internal sanctions/incentives
- Fees associated with services
- Grievance procedures
- Access to case file

2A-PRO-102 Written policy, procedure, and practice shall govern how the completion of orientations will be documented.

Discussion: A checklist identifying the orientation topics may assist programs in ensuring that required and appropriate areas are covered. Acknowledgement of completion should consist of the completion date, with client and staff signatures at the bottom of the Orientation Checklist.

Staff is encouraged to allow time for the client to ask questions. Clients should receive information in writing whenever possible.

Case Plans

2A-PRO-103 Written policy, procedure, and practice shall require staff to develop an individualized supervision/case plan with each client within forty-five (45) days of sentencing. Case plans shall be reevaluated at each contact with a progress note of additions to current goals and/or action steps.

If a client's score on the risk/needs assessment places them at a supervision level IV, an initial case plan shall be completed. Additional case plans are not required to be completed unless the supervision level changes or a new plan is needed.

Plans shall include:

- Goals
- Client action steps
- Progress Notes
- Staff signature, client signature, and current date

Discussion: The case plan shall be written in such a manner that it serves as a map or guide for the supervision process, and it shall be based on the domain needs noted by the risk/needs assessment. A client shall be actively involved in the development of his/her plan and not a mere recipient of the plan. It is important that each client receives a copy of every plan developed.

2A-PRO-104 Written policy, procedure, and practice shall require staff to discuss the case plan monthly with the client and document the progress towards the goals and objectives in the contact notes.

Assessment

2A-PRO-105 Written policy, procedure, and practice shall require that a Risk/Needs Assessment Instrument, approved by the Department of Corrections, be used to determine a client's Risk/Needs level and the minimum frequency of supervision contacts. The risk and needs assessment instrument shall be scored in accordance with instructions approved by the Department of Corrections.

Initial Assessment

- Until an initial risk and needs assessment is completed on the client, a client assigned to a community corrections agency shall be supervised on the highest supervision level.
- Staff shall complete an initial risk and needs assessment on each SB 123 client during the Pre-Sentence Phase, or within the guidelines set by the Court.
- If a client is referred for pre-sentence SB-123 while the client is under current supervision, then staff may use the most recent assessment for submission on the SB-123 case, unless otherwise directed by the courts to complete a new assessment.
- When the Court orders supervision by community corrections during the Pre-Sentence Phase and sentencing is delayed beyond six (6) months of the initial

assessment date, staff need only complete a Risk and Needs Reassessment and not a second Initial.

- If an initial risk assessment was not completed during the Pre-Sentence Phase, an initial risk and needs assessment shall be completed on each client before the end of the first forty-five (45) calendar days after sentencing.

Reassessment

- Staff shall complete a Risk and Needs Reassessment six (6) months after the initial risk and needs assessment. Subsequent reassessments shall be completed every twelve (12) months.
- An additional risk/needs assessment does not need to be completed if there is an additional sentencing prior to the scheduled re-assessment.
- If a client is assessed at a supervision level IV, then reassessments are not necessary unless there are DRAMATIC negative behavior changes or new information is obtained that would change their supervision level.
- A reassessment may occur at any level upon DRAMATIC CHANGE.
- Consider DRAMATIC CHANGE to include behavior or circumstances that have the potential to impact a client's level of risk in a negative or positive way. The impact might lower or increase the level of risk to such a degree that warrants a reassessment of risk. Some examples of DRAMATIC CHANGE are sustained employment or loss of employment, relapse or increased periods of abstinence, change in residence that results from negative or positive behavior, change in family circumstances such as marriage or divorce, a new conviction, discovery of new conviction information, or the completion of case plan objectives.
- When there is a DRAMATIC CHANGE, consider how the change impacts other scoring elements, how strongly the change is tied to the client's criminal patterns, and whether the change is of the magnitude to warrant a reassessment.

Discharge Assessment

- Staff shall complete a discharge assessment on all clients except in the following situations:
 - If the discharge is successful or unsuccessful closed by court, and a risk/needs assessment has been completed in the past six (6) months, completing another at discharge is not required.
 - If a client is revoked and ordered to serve an underlying sentence and an assessment has been completed in the past sixty (60) days another at discharge is not required.
 - If a client dies a discharge assessment is not required.
- A discharge assessment does not need to be completed for interstate compact cases. Staff shall note in the contact notes the reason for not completing the risk/needs assessment.
- A discharge assessment shall be completed only when the client discharges completely from supervision. One does not need to be completed for each of the client's individual cases.
- If a client has been absconded from supervision and there is not sufficient information to complete an assessment, then a discharge risk/needs assessment does not need to be completed. Staff shall note in the contact notes the reason for not completing the risk/needs assessment.

All Clients

- The risk and needs assessment score shall govern the movement of clients between supervision levels.
- Information that provides the basis for risk/needs assessment scores shall be documented as provided in the scoring instructions.

Discussion: A thorough review of all available information, verification of self-reported information (including that pertaining to residence, school and/or training, and employment) and frequent reference to the scoring instructions shall be completed.

Contact Requirements

2A-PRO-106 Written policy, procedure and practice shall require the following minimum contacts:

- Team Meetings with treatment providers at least one time a month for all Senate Bill 123 clients, followed by review with client.
- All clients on AISP for a current sex offense shall be supervised on level I for the first 6 months, then no less than level II for the remainder of their probation.
- Individual agencies shall have written policy governing the supervision level for all clients with a past sex offense if the level differs from the LSI-R score.
- All clients supervised as a sex offender shall have an on site residence verification within 30 days of moving and minimally every 120 days thereafter.

2A-PRO-107 The following table includes RECOMMENDED GUIDELINES for all other client contacts and verifications.

LEVEL LSI-R SCORE	FACE TO FACE	RESIDENCE VERIFICATION	EMPLOYMNET VERIFICATION	CASE PLAN INTERVENTION OR PROGRAM PARTICIPATION
I 33 +	4 Per Month	1 Per Month	1 Per Month	1 per month for each intervention or program
II 25 – 32	3 Per Month	1 Every 60 Days	1 Per Month	1 per month for each intervention or program
III 17 – 24	2 Per Month	1 Every 90 Days	1 Every 60 Days	1 per month for each intervention or program
IV 0 – 16	1 Per Month	1 Every 90 Days	1 Every 60 Days	1 per month for each intervention or program

The following table contains recommended actions for clients on the following statuses:

CLIENT STATUS	ACTION REQUIRED
JAIL	1 verification per month
TREATMENT	1 verification per month
PRISON	With sufficient frequency verify and ensure that the release date is known and documented in TOADS
ABSCONDER	Verify that a warrant is still active every 6 months

The following table contains required actions for clients on SB123 pre-sentence status:

SB123 PRE-SENTENCE	<p>Staff shall insure scheduling of SB123 substance abuse assessment and completion of the risk/needs assessment as required by statutes within local court guidelines.</p> <p>If client absconds then the case shall be closed in toads until client is located and the court refers the case back to community corrections.</p>
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Discussion: Effective case management practice includes using diverse methods to verify a client's participation and attendance in all required interventions/activities. Variation in methods helps to ensure accountability through multiple sources, and minimizes opportunities for clients to report inaccurate information, and prevents clients from becoming accustomed to a set pattern of verification. Staff should include, but not limit, their efforts to onsite visits; written and verbal reports from resource providers; visits with family, friends, mentors, and other supportive individuals; electronic documentation; and other appropriate methods approved by agency procedures. Contacts and on-site verifications are encouraged as the need arises.

Verification of residence, employment, and interventions should go beyond merely documenting the accuracy of what the client reports. Verification should include information such as the appropriateness of their residence and employment, their performance and participation in interventions and at work, and if there are any noted problems that need to be addressed.

Each agency may set its own policy for verifying an education intervention.

2A-PRO-108 Agencies shall have written policy, procedure, and practice regarding placing clients on an administrative caseload.

Discussion: Administrative caseloads may consist of, but not be limited to, mail in or phone in status, with officer verifying client obligations on a monthly basis. Policies should address criteria for placement on and removal from the caseload. Assessed needs should be minimal and client should be considered compliant under supervision with all of the requirements met, except for payment.

- Administrative supervision could be used for situations to include, but not limited to:
 - Clients who remain under supervision for the purpose of collection of fees, fines and restitution.
 - Clients who score as low risk on the risk assessment and have been compliant on supervision for a minimum 90 day period.
 - Clients who are in the process of compacting out of state but are awaiting acceptance.
 - Other circumstances where the client is not being actively supervised but is sentenced to community corrections.

2A-PRO-109 Open

2A-PRO-110 Open

Notification/Law Enforcement Checks

2A-PRO-111 Written policy, procedure, and practice shall require that agency staff complete periodic law enforcement checks to determine if a client assigned to community corrections had a negative contact with a law enforcement agency.

Discussion: Law enforcement checklist may consist of reviewing local police, sheriff, or highway patrol contact printouts, jail records, and networking with special LEO task forces such as those that monitor gang and drug activity.

2A-PRO-112 Written policy, and procedure shall address notification to employers of a client's assignment to community corrections. In the event a program decides to require it, notification shall be in writing and contained in the client's case record.

Discussion: None

2A-PRO-113 Open

Unemployed Clients

2A-PRO-114 Written policy, procedure, and practice shall require that the agency provide and document structured job search activities for unemployed clients.

Discussion: Interventions shall be utilized to assist clients in preparation, coaching, and encouragement to achieve success.

Case Closure

2A-PRO-115 Open

2A-PRO-116 Open

2A-PRO-117 Open

2A-PRO-118 Open

2A-PRO-119 Open

2A-PRO-120 Written policy, procedure, and practice shall require **supervisory approval** prior to initiating revocation.

Discussion: Supervisory approval helps to ensure internal consistency in the management of violators. Staffing can promote the use of innovative methods to respond to violations.

2A-PRO-121 Written policy, procedure, and practice shall require that agencies identify what criteria are to be met before recommending successful completion of supervision.

Discussion: Criteria shall include progress towards supervision plan objectives and lowering of high risk domains.

Courtesy Supervision

2A-PRO-122 Written policy, procedure, and practice shall require requests for transfer of supervision made in writing with approved forms.

Discussion: Agencies shall use the TOADS “Community Corrections Request for Investigation” and “Application for Transfer of Supervision” forms.

2A-PRO-123 Written policy, procedure, and practice shall require the inclusion of the following case management information with a transfer request:

- Complaint and information (if available);
- Pre-Sentence investigation;
- Journal Entries (if available);
- Orders of Probation
- Diagnostic Evaluations, if applicable.

Discussion: None.

2A-PRO-124 Written policy, procedure, and practice shall the requesting agency shall ensure that all TOADS data fields and databases are complete and up-to-date before submitting the request for transfer to the investigating agency.

- If the client who is the subject of a transfer request has been under supervision with the requesting agency for thirty (30) calendar days or more, the risk/needs assessment shall be completed by the sending agency.
- If the client who is the subject of a transfer request has been under supervision with the requesting agency for **less** than thirty (30) calendar days, the risk/needs assessment shall be completed by the receiving agency.

Discussion: The date of sentencing determines when supervision begins, unless otherwise noted by the court.

2A-PRO-125 Written policy, procedure, and practice require the transfer request investigation be completed within 10 working days of receipt.

Discussion: The investigating agency shall investigate the transfer request and send a completed TOADS “Reply to investigation Request” form to the requesting agency within ten (10) working days, indicating its acceptance or rejection of the request.

2A-PRO-126 Written policy, procedure, and practice shall specify supervision requirements pending the outcome of the transfer request.

Discussion: The requesting agency shall continue to supervise the client who is the subject of the transfer request until such time that the requesting agency receives written notification of acceptance from the investigating agency and supervision begins. Supervision may be accomplished through interagency agreement. The requesting agency may enter into a written agreement with the investigating agency for supervision of the client by the investigating agency during the interim until a final determination is made whether to accept or reject the transfer request.

2A-PRO-127

Written policy, procedure, and practice shall include a statement that non-payment of an assessed transfer fee shall not be a reason for denial of a request for transfer.

Discussion: None.

SECTION B SPECIALIZED PROGRAMMING

Principle: *A body of written policy and procedure governing Specialized Programming helps to ensure public safety and enhance client success by creating opportunities for proactive interventions.*

Purpose

2B-PRO-200 Written policy, procedure, and practice shall require agencies to have a written statement of purpose, clearly stated goals, and measurable objectives for each program.

Discussion: The extent to which Specialized Programming is used may depend on client characteristics, the agency's mission, and the availability of resources.

Referral

2B-PRO-201 Written policy, procedure, and practice shall identify the criteria for referral, placement, duration and discharge.

Discussion: The criteria must identify the target population, the selection process, and under what conditions a client may be appropriate for placement, including prioritization.

Orientation

2B-PRO-202 Written policy, procedure, and practice shall require that orientations for clients be completed. Orientation shall include, but not be limited to:

- Rules governing conduct
- Program goals and purpose
- Guidelines and practices
- Available services
- Internal sanctions/violations
- Fees associated with services
- Termination criteria

Discussion: The client orientation shall be documented in client's file.

Documentation

2B-PRO-203 Written policy, procedure, and practice shall require documentation of clients referral, placement, progress, and discharge.

Discussion: Each client should receive feedback pertaining to his/her progress on a regular basis. Recorded attendance shall be documented in client's file.

Liberty Restrictive Programming

2B-PRO-204 Written policy, procedure, and practice shall require that documentation of authorization for liberty restrictive programming be contained in the client's case file.

Discussion: A review of K.S.A. 21-4603 and the Attorney General's Opinion # 93-11 is recommended. The operation of electronic monitoring equipment should be reviewed with the client and other adults residing in the home prior to the implementation of the service.

2B-PRO-205 Open

2B-PRO-206 Open

2B-PRO-207	Open
2B-PRO-208	Open
2B-PRO-209	Open
2B-PRO-210	Open
2B-PRO-211	Open
2B-PRO-212	Open
2B-PRO-213	Open
2B-PRO-214	Open
2B-PRO-215	Open
2B-PRO-216	Open

PART THREE SERVICES

SECTION A DRUG TESTING

Principle: *A written body of policy and procedure helps to formalize drug testing goals and objectives, promote consistency, and ensure direction, understanding, and a unity in purpose.*

Purpose

3A-SER-100 Agencies shall have a written statement of purpose, clearly stated goals and measurable objectives for drug testing.

Discussion: The extent to which drug testing is used may be determined in part by the agency's mission statement, availability of resources, drug use patterns of clients, and judicial requirements. Given the correlation between drug use and crime, drug testing can be an effective case management tool. Drug testing goals may aid in case management and may include all or any combination of the following:

- Identification
- Assessment
- Deterrence
- Monitoring
- Treatment

3A-SER-101 Open

Authorization for Testing and Client Selection

3A-SER-102 Written policy and procedure shall require that proper authorization exists for drug testing prior to testing a client.

Discussion: Authorization to conduct drug tests can be found in State statutes, Court orders, or agency guidelines.

3A-SER-103 There shall be written policy, procedure, and practice that governs the selection and frequency of drug testing.

Discussion: Drug testing can be unscheduled, or based on "reasonable suspicion". Staff should be allowed to test when, in their professional opinion it is in the best interest of the client, the agency, and public safety to do so. Staff should explore a client's past and current history of use, treatment history, and information received from collateral sources.

Selection of Methodologies

3A-SER-104 Open

3A-SER-105 Agencies shall develop written policy, procedure, and practice governing confirmation requirements for drug testing. Policy and practice shall be based on current State statute(s) and regulations, and Court decisions.

Discussion: None

Drug Testing Protocol

3A-SER-106 Written policy and practice shall require that agencies designate collection, testing and storage sites.

Discussion: Storage sites should be secured when staff is not present.

3A-SER-107 Written policy, procedure, and practice shall require that universal precaution be taken during all stages of drug testing operations. The following precautions are required:

- Use of rubber gloves during the handling of specimens
- No eating or drinking in the collections or testing area
- No refrigeration of food where chemical and specimens are stored, and
- Wash hands following drug testing operations

3A-SER-108 Written policy, procedure and practice shall require that the instructions for drug testing be made available to staff.

Discussion: Established procedures help to ensure validity and maintain the integrity of the evidence for future proceedings.

3A-SER-109 Written policy, procedure, and practice shall require continuous observation of all specimens during collections. All departures **require** supervisory approval.

Discussion: Unless the integrity of the specimen collected is protected, the results of the test may be misleading. The collection process should not be unnecessarily intrusive. However, it is crucial that steps are taken to ensure that the client provides an unadulterated specimen. It is recommended that clients not be allowed to take jackets, purses and other hand held items into the collections area or testing area. Departure may be necessary under the following conditions: 1) when the collections process cannot be observed by a staff of the same sex. 2) when there is medical documentation of the client's inability to provide a specimen while under continuous observation.

3A-SER-110 Written policy and practice shall require that the collection of urine specimens be observed by staff of the same sex as the client.

Discussion: None

3A-SER-111 Open

3A-SER-112 Written policy, procedure, and practice shall require that all test results be documented.

Discussion: None

3A-SER-113 Written policy and practice shall require verification when a client is undergoing medical treatment that requires drug therapy.

Discussion: This may consist of viewing medical documentation as provided by the client.

3A-SER-114 Written policy, procedure, and practice shall require that agencies maintain a Chain of Custody on all specimens collected.

Discussion: Established procedures help ensure validity and maintain the integrity of the evidence for future proceedings.

**SECTION B
SERVICES**

3B-SER-200	Open
3B-SER-201	Open
3B-SER-202	Open
3B-SER-203	Open
3B-SER-204	Open
3B-SER-205	Open
3B-SER-206	Open
3B-SER-207	Open
3B-SER-208	Open
3B-SER-209	Open

**SECTION C
SERVICES**

3C-SER-300	Open
3C-SER-301	Open
3C-SER-302	Open
3C-SER-303	Open
3C-SER-304	Open
3C-SER-305	Open
3C-SER-306	Open
3C-SER-307	Open
3C-SER-308	Open
3C-SER-309	Open
3C-SER-310	Open
3C-SER-311	Open

Appendix A Glossary

Case Plan – A written document included in a client's file which is individually tailored for the client and outlines the goals, objectives and requirements to be completed while under supervision.

Contact Definitions/Types ---

Note: Face-to-face (F2F) interaction with a client should include, but not be limited to, discussion regarding elements of the current supervision plan, reviewing current efforts and progress on matters relevant to the client's probation status and supervision.

ADMINISTRATIVE – Miscellaneous case information such as: case reviews, supervisory staffings, informal judicial reviews, drug test results from other agencies or programs, criminal records checks, report forms completed by the client when he/she did not see an officer, and client violation notifications, contacts with the client in jail, and mail that does not fit in other definitions.

ATTEMPTED – An unsuccessful attempt by ISP staff to contact the client or other collateral contacts, or verify residence, employment or interventions.

COLLATERAL – Communication, written or oral, with someone, other than the client, who provides information about the client and that does not meet the definition of employment verification, residence verification or intervention verification. The information provider should be identified by name, whenever possible.

COURT – Formal court hearings, revocations, modifications, reviews, and sentencing's.

EMPLOYMENT VERIFICATION – Substantiation of a client's employment by: on-site visit, oral or written contact with the employer, or pay stub review.

F2F EMPLOYMENT – A face-to-face visit with the client at his/her place of employment where meaningful information is exchanged regarding the client's progress.

F2F FIELD – A face-to-face visit with the client in the community where meaningful information is exchanged regarding the client's progress. (This contact type should not be used to document a home contact or an employment contact)

F2F HOME – A face-to-face visit with the client in their current residence where meaningful information is exchanged regarding the client's progress.

F2F OFFICE – A face-to-face visit with the client in the ISP office where meaningful information is exchanged regarding the client's progress.

F2F SURVEILLANCE – A face-to-face visit with the client, by a surveillance officer, where meaningful information is exchanged regarding the client's progress under supervision. If there is no verbal communication with the client, it should be considered an ATTEMPT.

INTERVENTION VERIFICATION – Communication, written or oral, with a treatment/ service/ education provider who provides pertinent meaningful information about the client's progress or behavior in the intervention.

NO SHOW – The client failed to show for a scheduled visit with ISP staff.

RESIDENCE VERIFICATION – Substantiation that the client's reported residence is the client's actual residence by on-site visit, oral or written contact with the client's family, neighbors or others, and/or review of documents, such as bills, tax assessments, property records

TELEPHONE – Telephone contact with the client OR telephone contact with other persons who do not fit in the INTERVENTION/RESIDENCE/EMPLOYMENT VERIFICATION definitions.

Discharge Report – A written summary of a client's performance while under supervision.

Employment Notification – Notification to a client's employer of the client's assignment to a community corrections program.

Intensive – Refers to the targeting of services and interventions based on risk/needs assessments with ongoing community collaboration.

Risk/Needs Assessment Instrument – A tool which determines a client's level of risk and supervision requirements. It also outlines the specific programmatic needs of clients, which aid staff in the development of effective supervision plans.

Special Needs Client – A client with a disability, whether it be mental, physical, or emotional.

Specialized Programming – Programming provided to the client within the agency or in the community. For example: Cognitive Behavioral Classes, Workforce Development Classes, Anger Management Classes, etc...

Supervisory Review – Client case file reviews performed by an administrative staff member designed to provide feedback on agency and staff performance.

Workload – A formula or policy which outlines the manner in which cases are assigned to staff as well as the number of cases assigned per officer.