

**PRETRIAL SERVICES
PROGRAM
ACCREDITATION
STANDARDS CHECKLIST
AND GUIDELINES**

NATIONAL ASSOCIATION OF PRETRIAL SERVICES AGENCIES



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PRETRIAL SERVICES ACCREDITATION STANDARDS

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ACCREDITATION STANDARDS FOR PRETRIAL SERVICES PROGRAMS

SECTION 1: PERSONNEL PRACTICES

STANDARD		AUDITOR GUIDELINES	
<p>1.01 Program employees with pretrial responsibilities have, at minimum:</p> <p>A. A baccalaureate degree from an accredited college or university, or</p> <p>B. An associate degree, or 60 college credits, and at least one year’s full-time criminal justice experience or two years part-time experience; or a high school diploma and 4 years full-time experience.</p>		<p>MANDATORY</p> <p>Based on job descriptions and may be based on local, state and/or federal policies and/or procedures. Examples of pretrial services job functions include conducting pretrial investigations, making recommendations to the court, performing community supervision functions, and supervising staff responsible for any of these functions. Redaction of personal identifying information is acceptable in the review of personnel records.</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address elements of the standard	Review of policies and documentation of consistent implementation	Review of policies and documentation of consistent implementation over time	
Process Indicators			
Job Descriptions for each pretrial services job	Review	Review	
Personnel records	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
<p>1.02 Written personnel/human resource policies are in place and readily available to all current employees. The policies address at minimum,</p> <ul style="list-style-type: none"> A. Recruitment procedures, including EEO provisions; B. Job descriptions/qualifications for all positions; C. Benefits, holidays, leave, and work hours; D. Retirement, resignation, and termination policies; E. Whistleblower policy; F. Conflict of Interest policy; and G. Grievance procedures. 		<p>MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Job Descriptions for each pretrial services job	Sampling	Sampling	
Staff Interviews	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
<p>1.03 If background investigation is required prior to hiring a pretrial services applicant, the program has a written policy as to the procedures and the types of resources used to complete that investigation.</p>		<p>NON-MANDATORY, OR NON-APPLICABLE IF A BACKGROUND INVESTIGATION IS NOT REQUIRED Documentation of universal application of the procedures for all the positions for which an investigation is required. Must be complete with all elements contained in the policies and procedures</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Completed background investigation documentation	Sampling	Sampling	
Personnel records	Sampling (with permission)	Sampling (with permission)	

STANDARD		AUDITOR GUIDELINES	
<p>1.04 A written policy which requires all new pretrial services employees to complete a minimum of 35 hours of documented training and orientation related to the job function and program policies and procedures. To include:</p> <ul style="list-style-type: none"> A. An orientation to the program’s role, mission, goals, policies, and procedures; B. Work environment and regulations; C. Rights and responsibilities of the employee; D. Applicable statutes, rules, case law, administrative orders, and E. Hands on and/or field training. 		<p>MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Documentation of training	Sampling of training records	Sampling of training records	
Personnel records	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
1.05 A written policy which requires all pretrial services employees to complete a minimum of 24 hours of documented job related training annually, as directed by the program.		MANDATORY Training may be accepted which is web based, in house, and/or external to the program. Documentation of consistent application.	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Documentation of training	Sampling	Sampling over three years	
Personnel records	Sampling (with permission)	Sampling (with permission)	
NAPSA certification records	Specific to staff members	Specific to staff members	

STANDARD		AUDITOR GUIDELINES	
1.06 Written policies and procedures are in place which require that at the time of the initial accreditation and at any time thereafter at least 30 percent of the pretrial services employees are currently certified Pretrial Professionals through NAPSA.		MANDATORY Documentation of consistent application	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Documentation records of staff certifications	Sampling	Sampling over three years	
Personnel records	Sampling (with permission)	Sampling (with permission)	
NAPSA certification records	Specific to staff members	Specific to staff members	

STANDARD		AUDITOR GUIDELINES	
<p>1.07 Written policies and procedures are in place which require that pretrial services staff, including line, management and supervisory staff, receive an annual written performance review. The protocol should include:</p> <ul style="list-style-type: none"> A. That the performance review is based on performance during the rating period; B. The criteria used in the review are based on a job description for the position occupied by the employee and specific job related measures as designed by the program; C. Performance reviews are performed by the employee's direct supervisor or manager with direct knowledge of the employee's work; D. Performance reviews are conveyed to an employee in an interview setting; E. Employees are given an opportunity to provide written comments to be included in the performance review; F. That the employee is provided with a written copy of the completed review; G. Employees are given an opportunity to sign the performance review; and H. Reviews are signed by the supervisor completing the review and by any designated management authority. 		<p>MANDATORY</p> <p>Auditor should confirm compliance through viewing a sampling of recent performance reviews. Documentation of consistent application. There may be an exemption for the top executive of the organization, if there are no provisions/policies for evaluation for that position.</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Staff Interviews	Sampling	Sampling	
Documentation of reviews	Sampling (with permission)	Sampling over three years (with permission) No review should exceed 24 month span	

STANDARD		AUDITOR GUIDELINES	
1.08 Written policies are in place which outline safety/security procedures, A. For office arrests, if applicable B. For office and detention facility safety and security practices and procedures C. For field safety/security practices, if applicable		MANDATORY Documentation of consistent application	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Interviews with staff	Sampling	Sampling	
Interviews with jail or lock up personnel, if applicable	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
<p>1.09 A written plan is in place which addresses emergencies such as fire, flood, civil unrest, weather related events and other types of disruptions to services. Such a plan, at minimum, includes the following:</p> <ul style="list-style-type: none"> A. Location of complete floor plans; B. Requirement for posting signs in public areas showing egress routes from the offices and buildings; C. Evacuation plans and staff training; D. Existence and location of continuation of operations plan which includes detailed directions for maintaining program services during an emergency; E. Annual review or inspection of such a plan. 		<p>MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Interviews with staff	Sampling	Sampling	
Documentation of distribution and training of staff	Observation/review	Observation/review	
Annual review	Documentation	Up to 3 reviews	

SECTION 2

ORGANIZATION AND MANAGEMENT

STANDARD		AUDITOR GUIDELINES	
2.01 The program maintains a dated organizational chart which is distributed or readily available to all personnel and updated as the organization changes.		MANDATORY Documentation of consistent application	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Organizational chart showing components and functions.	Review	Review	
Proof of distribution or observation of posted charts	Observation	Observation	
Documentation of updating the chart, if applicable	Documentation of updating, if applicable	Documentation of updating, if applicable	

STANDARD		AUDITOR GUIDELINES	
<p>2.02 A written policy system is in place which includes procedures for creating and disseminating agency policies and addresses at a minimum:</p> <ul style="list-style-type: none"> A. Procedures for indexing, updating, revising, and/or purging each type of policy; and B. Identification of individuals or positions within the organization or program having authority to issue and revise written policies; C. Dissemination of new or revised policies to all affected employees prior to implementation; D. For computerized systems, sufficient electronic and/or hard copy back-up of the policies in case of data loss; E. Sufficient hard copies in manuals, placed at specified locations so all employees have ready access to the policies; F. Storage of written policies, whether by their incorporation into manuals or by their storage in a computerized documentation system; and G. Acknowledgment indicating receipt and review of policies by affected employees, whether in written or electronic form. 		<p>MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
New/revised policies indicating dissemination and effective dates.	Sampling	Sampling	
Proof of receipt of new and revised written policies by all affected employees.	Review	Review over three years	
Review of written policy and/or program manuals, or electronic access system.	Review	Review for updates/revisions	
Review of backup of written policies	Observation	Observation	

STANDARD		AUDITOR GUIDELINES	
2.03 A written policy is in place that clearly defines the lines of supervision and accountability within the organization.		MANDATORY Documentation of consistent application include organizational charts, job descriptions, program operations manuals	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Documents which support protocol	Review	Review, look for updates during period of review	
Staff/management interviews	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
2.04 The pretrial services program has a mission statement which is posted and/or distributed to all employees.		MANDATORY Documentation of consistent application	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Proof of mission statement	Review/Observe	Review/Observe	
Proof of distribution or observation of posted statement	Review/Observe	Review/Observe	

STANDARD		AUDITOR GUIDELINES	
2.05 Written goals for the pretrial services program are formulated on an annual basis and translated into measurable objectives.		MANDATORY Documentation of consistent application	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Performance outcomes	Review	Review/Note updates/Revisions	
Documentation of annual review	Review	Review/Note updates/Revisions	

STANDARD		AUDITOR GUIDELINES	
<p>2.06 The program has, or has access to, an information system that provides the following, at a minimum:</p> <ul style="list-style-type: none"> A. Identification of defendants and location in jail and/or detention facility; B. Demographic information; C. Criminal history; D. Release conditions; E. Verification of compliance; F. Release recommendation status; G. Case assignment information, if applicable; H. Court date information; I. Court notice verification; J. Termination status, if applicable; K. Court appearance status; L. Date, time, and identifying information of the person entering case notes, if applicable; M. Current charges and case number; N. Alias information; and O. References (i.e., contact information, employment verification, school verification, etc.) 		<p>MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Management information system review	Documentation of collection of information and sources	Review of documentation and updating any changes to the collection of information	
Case files	Sampling/review	Sampling/review over three years	

STANDARD		AUDITOR GUIDELINES	
<p>2.07 The program formally provides an opportunity for defendants to give feedback on a voluntary basis about the program and its services. The program has a written policy which addresses the procedures involved with providing such an opportunity to defendants including, but not limited to:</p> <ul style="list-style-type: none"> A. When such opportunities for feedback are given to defendants; B. What is asked of defendants; C. How such information is used. 		<p>NON-MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Evidence of program providing opportunities for defendant feedback	Documentation	Documentation	
Evidence of use of information gathered from defendants	Documentation	Documentation	
Staff interviews	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
2.08 A written policy is in place which describes specifically how and how often the pretrial services program engages criminal justice partners in obtaining feedback on program performance.		NON-MANDATORY	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Evidence of participation in active communication related to program performance with the local criminal justice system	Interviews with criminal justice partners/any reports about measuring performance	Interviews with criminal justice partners/reports of on-going measurement	Documentation of consistent application
Evidence of use of the input from the criminal justice partners	Management interviews/reports	Management interviews/reports	

STANDARD		AUDITOR GUIDELINES	
<p>2.09 A written policy is in place which outlines procedures for collecting and analyzing the following data on an annual basis which include, at minimum,</p> <ul style="list-style-type: none"> A. Percent of defendants eligible for release by statute that the program assesses for release eligibility B. Number of defendants interviewed by the pretrial services program prior to magistrate or first appearance court; C. Number and percent of defendants who are recommended for any type of pretrial release by the program; D. Number and percent of defendants who did not qualify for a release recommendation based upon program criteria and/or overrides of risk assessment instrument; E. Number of defendants and percent released to the responsibility of program prior to first appearance court, at first appearance, or after first appearance; F. Total number and percent of defendants released to the responsibility of the pretrial services program; G. Number and percent of defendants released to the program with simultaneous monetary bond; H. Court appearance rate for defendants on pretrial release under the responsibility of the program; I. Number and percent of program defendants who successfully complete supervision, if applicable; and J. Number and percent of program defendants arrested for law violations and/or violations of conditions while under pretrial supervision, if applicable. 		MANDATORY	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process indicators			
Data collection verification	Review data collection	Review data collection over time	
Data analysis documentation	Reports	Reports	

STANDARD		AUDITOR GUIDELINES	
<p>2.10 The program produces an annual report that can be shared, when required or necessary, or can be used to engage in discussion and planning with appropriate criminal justice partners and stakeholders that includes the following information, at a minimum:</p> <ul style="list-style-type: none"> A. Trend analysis of data collected for Standard 2.12; B. Major developments and achievements; and C. Any special projects. 		<p>NON-MANDATORY</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Annual report	At least one	Up to 3 reports	
Distribution documentation, if applicable	Distribution Lists and means of conveyance	Review of last three year's lists of distribution and conveyance	

STANDARD		AUDITOR GUIDELINES	
<p>2.11 A written policy is in place which details the nature, and frequency of communications with and among program staff which promotes staff effectiveness and understanding of the program’s role and responsibilities, and fosters an atmosphere of problem solving.</p>		<p>MANDATORY Documentation of consistent application Documentation might include an account of the number, frequency and types of meetings, general content, other forms of communications with staff</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Communications documentation	Documentation of communications, meetings, telecommunications, etc.	Review of samples of communication documentation over 3 years	
Staff interviews	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
<p>2.12 A written policy is in place which establishes under what circumstances an interpreter for a defendant is required and the procedures for obtaining qualified interpreter(s). The policy also addresses the appropriate circumstances under which staff or relatives of the defendant can be used.</p>		<p>MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Staff interviews	Sampling	Sampling over three year	
Documentation of use of Interpreters, if applicable	Review of case/payment records	Review of case/payment records over time	

STANDARD		AUDITOR GUIDELINES	
2.13 A written policy is in place which outlines procedures for facilitating effective communication and services with persons with disabilities and with those for who have difficulty with written and/or spoken English.		MANDATORY Documentation of consistent application	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Staff interviews	Sampling	Sampling	
Physical environment and facility	Observation	Observation	

SECTION 3
PRETRIAL SERVICES RISK ASSESSMENT
AND RECOMMENDATIONS

STANDARD		AUDITOR GUIDELINES	
3.01 The program uses an objective risk assessment instrument that has been validated for the jurisdiction within the past ten years using scientific methods and/or established pretrial release criteria supported by local empirical evidence validated within the past 10 years to make an assessment of risk.		MANDATORY Documentation of consistent application	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Pretrial release recommendation criteria documentation or risk assessment instrument validated locally within 10 years	Documentation of RAI/program criteria as well as consistent use. Documentation of the reasons allowed for overriding the risk assessment findings, the number and percent of overrides, if applicable, and who has the authority to approve overrides.	Review of RAI, criteria and any changes in policy, procedure, overrides and/or updates	
Staff Interviews	Sampling	Sampling of Staff interviews	
Judicial interviews	Sampling of judges with direct contact with the program	Sampling of judges with direct contact with the program over the period	
Case files	Sampling of case files	Sampling of case files over the three year period.	
Observations	Observation of case preparation	Observation of case preparation over period	

STANDARD		AUDITOR GUIDELINES	
<p>3.02 Written policies and procedures are in place for conducting pretrial investigations which, based on current evidence based practice, should encompass the following:</p> <ul style="list-style-type: none"> A. Any appropriate statutes and/or court rules which affect the content and means of the investigation; B. Evidence based policies and practices with regard to the nature and content of the investigation; C. Ties to the community; D. Residential history; E. Financial status; F. Employment history; G. Mental health history, IF APP; H. Substance abuse history, IF APP; I. Criminal record; J. Past court appearance record; K. Prior community supervision and outcomes, if applicable; L. Fingerprint clearance, if applicable M. Probation/parole/conditional release status; and N. Pending charges. 		<p>MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Completed investigations	Sampling	Sampling over three years	
Staff interviews	Sampling	Sampling	
Random Judicial Interviews	Sampling of Judges who have direct contact with the program	Sampling of Judges who have/had direct contact with the program	
Observations	Observation of case preparation	Observation of case preparation	

STANDARD		AUDITOR GUIDELINES	
<p>3.03 A written policy is in place which requires the program to attempt to interview and assess risk for each defendant over whom the program has responsibility to make recommendations for conditions of release and to offer an objective and accurate report to the court at or before the initial appearance before a judicial officer.</p>		<p>MANDATORY</p> <p>Reports may be conveyed verbally, in writing, or a combination thereof. Documentation of consistent application. Evidence of screening of all defendants over whom the program has responsibility.</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Court reports and defendant interviews	Sampling	Sampling over three year	
Staff interviews	Sampling	Sampling over three year	
Jail data	Sampling of data to assess the number of defendants eligible and number interviewed and reports made	Sampling of data over time. Program must produce jail snap shot data with matching interviews.	
Observations	Observation of case preparation	Observation of case preparation over period	

STANDARD		AUDITOR GUIDELINES	
3.04 A written policy is in place which gives guidelines for staff on making appearances and/or contact with the court, the reason and the nature of the appearance and/or communication, and the content.		NON-MANDATORY Documentation of consistent application	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Case File review, if applicable	Sampling	Sampling over three years	
Staff interviews	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
3.05 A written policy is in place which requires the review of the pretrial jail population periodically to identify defendants who qualify for pretrial release pending case disposition and provides guidelines for staff to address the detention of eligible defendants.		MANDATORY Documentation of consistent application	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Documentation of periodic review of pretrial detainees in jail after initial interviews	Evidence of how, how often, and what is done with such reviews	Review of documentation of last three years	
Case Files	Any case files containing reviews and what efforts were made	Any case files containing reviews and what efforts were made over review period	
Staff interviews	Sampling	Sampling over three year	

STANDARD		AUDITOR GUIDELINES	
<p>3.06 A written policy is in place which requires that, prior to the commencement of the pretrial interview, the defendant is informed, at a minimum, of the following:</p> <ul style="list-style-type: none"> A. Interviewer’s name; B. The name of the program the interviewer represents; C. That the interview is voluntary; D. That the interview is intended to assist in determining an appropriate pretrial release decision for the defendant; E. Who will get a copy of interview; and F. Any other purposes that the information gathered may be used. 		<p>MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF(S) OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of policies and documentation of consistent implementation over time	
Process Indicators			
Staff interviews	Sampling	Sampling	
Observation of defendant interviews with staff members	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
<p>3.07 A written policy is in place which defines the nature, content, and structure of the pretrial services interview conducted by the program. The policy defines how the interview should be structured to make an accurate assessment of the risks posed and sufficient information to contact the defendant upon release. The policy includes guidelines for conducting pretrial services interviews and assessing, in accordance with applicable statutes and/or court rules, the following information to identify risks and needs posed by the defendant and determine what conditions may mitigate the risks and address the needs.</p> <ul style="list-style-type: none"> A. The defendant’s demographic information B. Education, employment, ties to the community and family C. Criminal history D. Record of appearance in court E. Prior community supervision experiences and the outcomes, if applicable F. Availability of persons to verify information and who might assist the defendant G. Substance abuse, mental health, and or health conditions, if applicable H. Nature of the offense when relevant to determining release conditions I. Pending charges 		<p>MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Staff member interviews	Sampling	Sampling	
Samples of defendant interviews, court reports and observation of interviews	Sampling of case files	Sampling of case files over time. Review changes in the interview structure of content over time.	

STANDARD		AUDITOR GUIDELINES	
<p>3.08 The program should ensure that the orders of the court and all conditions set in the release order are conveyed to the defendant. At minimum that information should include:</p> <ul style="list-style-type: none"> A. Next court date, time and place; B. All conditions written in clear and understandable statements; C. If needed, the conditions should be conveyed in a language understandable to the defendant; D. Consequences of failing to comply with conditions and the potential for further arrests as well as criminal penalties; E. Prohibitions against threats, force or intimidation of the alleged victim, witnesses, jurors, court personnel, etc.; F. Prohibition of any criminal conduct and/or arrests during pretrial release; and G. Any further requirements that the court and/or the program may impose. 		<p>MANDATORY</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Written defendant release statements, copies of court generated documents or supervision agreement	Sampling	Sampling over three years	
Staff Member interviews	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
3.09 A written policy is in place which outlines the procedures for notifying/reminding those defendants for whom program has responsibility of required court appearance dates.		MANDATORY Documentation of consistent application	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Case files	Sampling	Sampling over three years	
Evidence of target population for notification, means and content of notifications	Sampling	Sampling over three years	

SECTION 4

PRETRIAL SERVICES PROGRAM SUPERVISION

STANDARD		AUDITOR GUIDELINES	
<p>4.01 The program offers an array of pretrial release options with a continuum of intensity and restriction based on the assessed risks and needs of the individual defendant. The judiciary should be presented with the least restrictive set of conditions which provide reasonable assurance that the defendant will appear for court and refrain from re-arrest pending case disposition, if applicable under the statute.</p>		<p>MANDATORY OR NOT APPLICABLE, IF PROGRAMS DO NOT OFFER SUPERVISION SERVICES</p> <p>The pretrial release array can include a variety of conditions, the intensity of which should be appropriate for the risks and needs identified. Documentation of consistent and fair application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Court reports, recommendations, and case files	Sampling	Sampling over three years	
Staff interviews	Sampling	Sampling over three year	
Random Judicial Interviews	Sampling of judges who have direct contact with the program	Sampling of Judges who have/had direct contact with the program	

STANDARD		AUDITOR GUIDELINES	
<p>4.02 There are written policies and procedures in place which provide guidelines to program staff on informing a defendant about his or her release and the conditions which may apply. Such guidelines include:</p> <ul style="list-style-type: none"> A. Program staff are required to fully explain all conditions and program requirements to the defendant and answer any questions he/she may have about the conditions or terms; B. The defendant must acknowledge in writing that he/she understands all the requirements and/or conditions of his/her release upon the completion of the program staff explanation; C. The program maintains copies of the defendant agreements and acknowledgements; D. The program provides a copy of all such agreements to the defendant; and E. The defendant release agreements are available in languages most prevalent in the jurisdiction. 		<p>MANDATORY OR NOT APPLICABLE, IF PROGRAMS DO NOT OFFER SUPERVISION SERVICES</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Signed defendant acknowledgements	Sampling	Sampling over three years	
Staff Member interviews	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
<p>4.03 A written policy is in place which describes defendants' rights and responsibilities when released under the supervision of the program and the process used to convey that information to defendants. At minimum, the policy should include the following:</p> <ul style="list-style-type: none"> A. A description of the information to be given to defendants; B. The process used to disseminate the information to defendants under supervision and assure receipt; C. The written policies and procedures which address the defendant grievance process, and program response requirements; and D. Any appeals process available to defendants. 		<p>MANDATORY OR NOT APPLICABLE, IF PROGRAM DOES NOT OFFER SUPERVISION SERVICES</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Defendant grievances filed pursuant to the policy and program responses	Review	Review over three years	
Staff interviews	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINE	
<p>4.04 Written policies are in place that define violations of conditions and establish appropriate procedures for addressing violations through the use of graduated and defined responses. The policy clearly defines when the court is to be notified and what responses are to be used by the program.</p>		<p>MANDATORY OR NOT APPLICABLE, IF PROGRAM DOES NOT OFFER SUPERVISION SERVICES.</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Case Files	Sampling	Sampling over three years	
Staff Interviews	Sampling	Sampling	
Judicial interviews	Sampling of those judges who have direct contact with program	Sampling of those judges who have (had) direct contact with program	

STANDARD		AUDITOR GUIDELINES	
<p>4.05 If the program conducts defendant substance abuse testing in house, written guidelines outlining the procedures should include the following:</p> <ul style="list-style-type: none"> A. Supervised sample collection; B. Chain of custody protocols, if applicable; C. Options for a scientific confirmation of positive results when required by court or program; D. Procedures for court notification of positive results and missed testing appointments; E. Case file documentation requirements. 		<p>MANDATORY OR NOT APPLICABLE, IF PROGRAM DOES NOT OFFER SUPERVISION SERVICES</p> <p>Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Laboratory results report, if used	Sampling	Sampling over three years	
Case file documentation	Sampling	Sampling over three years	
Staff interviews	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
<p>4.06 A written or electronic case file is maintained for each defendant released under program supervision. Closed case files are available for review for at least two years after case termination or as required by statute. The case file contains the following, at minimum:</p> <ul style="list-style-type: none"> A. Signed court order or release order; B. Supervision agreement, if applicable; C. Photograph or access to photograph, if available; D. A copy of the defendant’s acknowledgment of rights and responsibilities under release; E. Progress notes; F. Documentation of appearance and compliance with conditions; G. Communications with the court regarding the defendant. 		<p>MANDATORY OR NOT APPLICABLE, IF PROGRAM DOES NOT OFFER SUPERVISION SERVICES</p> <p>Auditors will check both open and closed cases. Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Case files	Sampling/review	Sampling/review over three years	
Court Reports	Sampling/review	Sampling/review over three years	

STANDARD		AUDITOR GUIDELINES	
<p>4.07 The program maintains comprehensive case notes for each supervised defendant, which contain at a minimum:</p> <ul style="list-style-type: none"> A. Documentation of case opening/referral information; B. Documentation of all contacts with the defendant; C. Documentation of all collateral contacts on behalf of the defendant; D. Documentation of verification of court dates; E. Documentation of all violations of conditions; F. Documentation of actions taken in response to violations; and G. Documentation of case closing information. 		<p>MANDATORY OR NOT APPLICABLE IF PROGRAM DOES NOT OFFER SUPERVISION SERVICES</p> <p>Case notes may be hard copy or electronic format. Documentation of consistent application</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Case files	Sampling	Sampling over three years	
Staff member interviews	Sampling	Sampling	

STANDARD		AUDITOR GUIDELINES	
<p>4.08 The program has written guidelines for conducting regular case status reviews, which include the following, at minimum:</p> <ul style="list-style-type: none"> A. Compliance with conditions B. Updates and changes to current case information; C. Court appearance schedules and record of attendance; and D. Any alleged violations of law 		<p>MANDATORY OR NOT APPLICABLE, IF PROGRAM DOES NOT OFFER SUPERVISION SERVICES</p>	
PROOF OF COMPLIANCE	ACCREDITATION	REACCREDITATION	AUDIT TEAM NOTES
Protocol			
Written policies and procedures which address the elements of the standard	Review of protocol and documentation of consistent implementation	Review of protocol and documentation of consistent implementation over time	
Process Indicators			
Case file reviews	Sampling	Sampling over three years	
Staff interviews	Sampling	Sampling	

ADDITIONAL NOTES