

1.1.A.9 Corrections Review Team (CRT) Procedures

I Policy Index:



Date Signed: 03/27/2015
Distribution: Public
Replaces Policy: N/A
Supersedes Policy Dated: 03/27/2014
Affected Units: All Units
Effective Date: 04/01/2015
Scheduled Revision Date: January 2016
Revision Number: 6
Office of Primary Responsibility: DOC Administration

II Policy:

The Corrections Review Team (CRT) is a team of DOC staff selected to review a DOC unit/facility to ensure its operations are consistent with DOC policy and the department's mission, vision and values. The CRT process is designed to support the application of sound policy, strengthen staff understanding of operations and policy and to identify policies, practices and/or procedures which may be further enhanced or revised to ensure the safe and efficient operation of the unit/facility.

III Definitions:

Corrections Review Team (CRT):

A group of DOC staff selected to participate in the review of a respective DOC unit.

Corrections Review Team (CRT) Coordinator:

For the purposes of this policy, the DOC policy and compliance manager will be the CRT coordinator. The CRT coordinator is responsible for preparing the CRT audit items to be reviewed at each DOC unit, serving as a liaison between the CRT and the unit, participating with the review and completing the CRT reports.

CRT Unit Contact:

The CRT unit contact is the assigned staff member from each DOC unit who will be the point of contact for the CRT coordinator to schedule an upcoming review, address questions, assist with gathering information, communicate relevant CRT information to appropriate personnel within the unit, etc. The CRT unit contact is designated by the CEO of each respective institution.

Compliant:

For the purposes of this policy, compliant is defined as acceptable and unit practice meets criteria set forth in DOC policy, statute, rule or regulation in which generates the audit item.

Marginally Compliant:

For the purposes of this policy, marginally compliant indicates partial but not full compliance with an audit item. Typically, marginal compliance would be compliance at a greater than fifty (50%) percent level but less than full compliance.

Non-Compliant:

For the purposes of this policy, non-compliant is defined as the lack of information/material to support compliance with DOC policy. Typically, if more than fifty (50%) percent of records reviewed for an audit standard don't support compliance of the standard, the element is non-compliant.

CRT Report:

The complete CRT Report is the document that includes the CRT's findings, the CEO's responses to those findings and any comments by the CRT. This report is submitted to the Secretary of Corrections for review and is maintained by the CRT Coordinator (See [Attachment 5](#)).

IV Procedures:**1. Scheduling CRT Review:**

- A. The CRT coordinator will coordinate the date(s) of the CRT review with the unit/facility CEO and CRT team members.

2. CRT Review Team:

- A. The CRT coordinator will identify and maintain a list of DOC staff who have participated in CRT reviews.
 - 1. Typically staff will not review the unit where they are assigned.
 - 2. Staff selected to conduct the CRT evaluation will receive prior approval from their respective CEO/supervisor before participating in a CRT review.
 - 3. Prior to participating in a CRT review, staff members will:
 - a. Review the CRT Procedures policy;
 - b. Review the Initial CRT Item Listing; and

3. Record Selection Process:

- A. **Files:** The CRT will typically pre-select offender and/or staff files/records for review.
 - 1. A pre-review [CRT Offender and Staff List](#) (See [Attachment 2](#)) will include files/records identified for review.

Note: During the course of the CRT review, the CRT team may request additional files/records.

B. Interviews:

- 1. Staff and offenders may be interviewed as part of the CRT review.
- 2. Interviews are subject to the availability of staff and offenders.

4. Criteria Reviewed:

- A. The CRT Coordinator will select review items contained within DOC policy and/or unit OMs.

1. Audit items may also be based on requirements contained within state or federal statute, administrative rule, professional standards, national standards, or contract agency policy, i.e. Department of Social Services and Department of Health.
 2. The Secretary of Corrections or designee may direct specific items or procedures be reviewed during a CRT review.
- B. An [Initial CRT Item Listing](#) will include all review items identified for audit and will be reviewed by the CRT team prior to being provided to the CEO of the unit/facility (See [Attachment 3](#)).
- C. Once the [Initial CRT Item Listing](#) has been approved by the team, the CRT coordinator will provide the CEO and/or his/her designee the [Initial CRT Item Listing](#).

5. Notification Guidelines of Upcoming CRT:

- A. The following information will be provided to the respective CRT unit contact prior to the review:
1. CRT Summary ([Attachment 1](#));
 2. CRT Offender and Staff List ([Attachment 2](#)); and
 3. Initial CRT Item Listing ([Attachment 3](#)).

6. Review Procedures and Expectations:

- A. The CRT unit contact or CEO will identify and designate a room for the CRT to meet in during the CRT review.
1. This room should have at least one computer drop and or computers available which are capable of providing access to the state's computer system (M-drive, mainframe, COMS, etc.)

7. Exit Interviews:

- A. The lead CRT member will lead the exit interview.
- B. The exit interview will consist of the following:
1. An overview of the findings.
 2. An opportunity for discussion on CRT findings.
 3. An opportunity to answer any questions regarding the CRT findings.
 4. If any additional information is needed for the CRT to complete their review.
- C. The exit interview is intended to provide only an overview and not a complete report.
- D. If the CRT identifies an offender or staff record that is unsatisfactory, the offender or staff name will be noted in the CRT Report or attached addendum along with any comments which cannot be included in the CRT Report.

8. CRT Review:

- A. The following respective DOC units will be reviewed by the CRT:
1. STAR Academy;
 2. Juvenile Community Corrections;
 3. South Dakota State Penitentiary (Jameson/Unit C);
 4. Rapid City Minimum Unit;
 5. Mike Durfee State Prison;
 6. Yankton Minimum Unit;
 7. South Dakota Women's Prison;
 8. Parole Services;
 9. Central Records;
 10. Admission & Orientation; and
 11. Other Units identified by the Secretary of Corrections or his/her designee

V Related Directives:

None

VI Revision Log:

June 2010: New policy.

February 2011: **Deleted** "Initial CRT Report" and **Replaced** with "Initial CRT Item Listing" in Definitions section. **Replaced** term throughout the policy. **Deleted** from ss 3 Record Selection "prior to the Initial CRT Report (see Attachment 3) being provided to the CRT unit contract and the full CRT. **Added** "and will be developed prior to the onsite audit". **Deleted** "are:" from 6. B. 1. **Added** "Offenders identified for interviews will typically not be". Minor grammatical changes.

June 2012: **Deleted** "non-public" and **Replaced** with "public". **Deleted** definition of Lead CRT Member, Random, CRT Audit Members, CRT Offender and Staff List, Initial RCT Item Listing and CRT Findings. **Deleted** 3. "The CRT staff that has been selected must be approved by the lead CRT member in Section 2. **Deleted** d. "Be provided the opportunity to ask questions of the CRT coordinator or lead CRT member" in Section 2 4. **Deleted** "if a specific criterion is being sought, subject to approval by the lead CRT member" in Section 3 2. **Deleted** a. "The selection of offenders for interviews may be made outside the random selection process available in the US database" in Section 3 B. 1 **Deleted** b. "Offenders may be selected based on availability at the time the CRT member wishes to interview a group of offenders" in Section 3 B. 1. **Deleted** b. "Staff will not typically be interviewed other than to gain information and understanding regarding a particular audit item" in Section 3 B. 2. **Deleted** 3. With the approval of the lead CRT member, designated offenders or staff can be interviewed if a specific criterion is being sought" in Section 3 B. **Deleted** B. "Questions regarding the content being reviewed will be discussed with the CRT coordinator prior to the scheduled review" in Section 5. **Deleted** C. "The CRT unit contact and CRT will coordinate a schedule for the interviewing of offenders and/or staff in a manner that provides as little disruption to the institution as possible" in Section 5. **Deleted** C. "The CRT unit contact or designee may be asked to identify an additional room/area where interviews can be conducted" in Section 6. **Deleted** D. "If CRT staff find an offender or

staff record that is unsatisfactory, the offender or staff name shall be noted in the CRT Findings and CRT Report" in Section 6. **Deleted** "DOC Foster Care Program" from Section 8 A.

April 2013: **Deleted** "procedures" and **Replaced** with "the department's mission, vision and values" and **Deleted** "serve as a conduit for information gathering and communication between DOC units and identify areas where practice and policy are inconsistent. The CRT process is designed to provide assistance and support of the DOC unit being audited" and **Replaced** with "and to identify policies, practices and/or procedures which may be further enhanced to ensure the safe and efficient operation of the unit/facility" in the "Policy" section. **Deleted** "Audit" and **Replaced** with "Review" throughout the policy. **Deleted** "Audit Members Selection Process" and **Replaced** with Review Team" in title of Section 2. **Deleted** "select" and **Replaced** with "identify and maintain a list" and **Deleted** "to assist with the review of the respective unit" and **Replaced** with "who have participated in CRT reviews" in Section 2 A. **Added** "supervisor" to Section 2 A. 2. **Deleted** "Be familiar with this policy" and **Replaced** with "Review the CRT Procedures policy" in Section 2 A. 3. a. **Deleted** "randomly" and **Replaced** with "pre-select" in Section 3 A. **Deleted** 1. "The CRT coordinator or CRT members may request designated staff or offender files to be reviewed" in Section 3 A. **Deleted** "and will be developed prior to the onsite audit" in Section 3 A. 2. **Deleted** "This will allow the unit and CRT members to prepare for the audit and work ahead before coming on site for the audit" and **Deleted** "randomly or targeted, based on specific criteria" in the Note section of Section 3. **Added** "Staff and/or" and **Deleted** "randomly selected for interview" and **Replaced** with "interviewed as part of the CRT review" in Section 3 B. 1. **Deleted** 2. "Staff may be interviewed during the course of the CRT audit to provide information or explanation regarding the audit items" in Section 3 B. **Deleted** "These interviews are conducted informally during the course of the audit and do not require prior approval or notice" in Section 3 B. 2. a. **Deleted** "prepare" and **Replaced** with "select" and **Deleted** "generally based" and **Replaced** with "contained within" and **Deleted** "to be reviewed by the CRT for the respective unit" in Section 4 A. **Added** "requirements contained within" in Section 4 A. 1. **Deleted** "information" and **Replaced** with "items or procedures" in Section 4 A. 2. **Deleted** 3. "An item that receives a rating other than compliant during a previous CRT and is not correctable will not be found marginally or non compliant based solely on the uncorrectable deficiencies noted in the previous review" in Section 4 A. **Deleted** "CRT unit contact and the full CRT" and **Replaced** with "CEO of the unit/facility" in Section 4 B. **Added** "by the team" and **Deleted** "CRT unit contact the report" and **Replaced** with "CEO the CRT review report" in Section 4 C. **Deleted** "In most situations" and **Added** "and/or computers available which are capable of providing" and **Added** "to the state's computer system" and **Deleted** "CITRIX" and **Replaced** with "COMS" in Section 6 A. 1. **Deleted** B. "The CRT unit contact or designee may be asked to assist in contacting/coordinating offender interviews" in Section 6. **Added** D. to Section 7. **Deleted** designation of "biennial and "triennial" from Section 8. **Deleted** Section 9 Legal Files.

February 2014: Reviewed with no changes.

February 2015: Reviewed with no changes.

Denny Kaemingk (original signature on file)

Denny Kaemingk, Secretary of Corrections

03/27/2015

Date

Attachment 1: CRT Summary

The **CRT Summary** form is located on the state's WAN.

A copy may be printed using **Microsoft Word** as follows:

1. Click [here](#) access the **CRT Summary** by:
 - a. Placing mouse on the word "here" above
 - b. Press and hold the "Ctrl" key on the keyboard
 - c. Click the left button of mouse.

2. Or Select **File/New** from the Menu Bar / Select the **DOC** tab / Select **CRT Summary**.

The gray areas indicate the information that is to be entered.

South Dakota Department of Corrections Policy Distribution: Non-Public		Attachment: CRT Summary Please refer to DOC policy 1.1.A.9 Corrections Review Team (CRT) Procedures	
CRT SUMMARY			
TO BE COMPLETED BY CRT COORDINATOR			
Unit scheduled to Receive CRT: <input type="checkbox"/> DOC Foster Care <input type="checkbox"/> STAR <input type="checkbox"/> JCC <input type="checkbox"/> SDSP <input type="checkbox"/> RCMU <input type="checkbox"/> MDSP <input type="checkbox"/> YMU <input type="checkbox"/> SDWP <input type="checkbox"/> Parole <input type="checkbox"/> Central Records <input type="checkbox"/> A&O <input type="checkbox"/> Other			
Unit Review Dates: _____ to _____		Estimated Times: _____ to _____	
Lead CRT Member: <input type="checkbox"/> Laurie Feller <input type="checkbox"/> Scott Bollinger <input type="checkbox"/> Other (Designated by DOC Sec.) <input type="checkbox"/> Kevin McLain <input type="checkbox"/> Darwin Weeldreyer			
CRT Unit Contact: _____		Phone #: _____	
CRT Coordinator: _____		Phone #: _____	
DOCUMENTS TO BE PROVIDED TO CRT UNIT CONTACT			
ATTACHMENT TITLE		ATTACHMENT #	PROVIDED
CRT Summary		Attachment 1	<input type="checkbox"/> Yes <input type="checkbox"/> No
Offender & Staff Files		Attachment 2	<input type="checkbox"/> Yes <input type="checkbox"/> No
Initial CRT Report		Attachment 3	<input type="checkbox"/> Yes <input type="checkbox"/> No
TO BE SELECTED BY CRT COORDINATOR & APPROVED BY THE LEAD CRT MEMBER			
CRT Audit Members			
1. _____		6. _____	
2. _____		7. _____	
3. _____		8. _____	
4. _____		9. _____	
5. _____		10. _____	
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Attachment 2: CRT Offender and Staff List

The **CRT Offender and Staff List** form is located on the state's WAN.

A copy may be printed using **Microsoft Word** as follows:

1. Click [here](#) access the **CRT Offender and Staff List** by:
 - a. Placing mouse on the word "here" above
 - b. Press and hold the "Ctrl" key on the keyboard
 - c. Click the left button of mouse.
2. Or Select **File/New** from the Menu Bar / Select the **DOC** tab / Select **CRT Offender and Staff List**.

The gray areas indicate the information that is to be entered.

South Dakota Department of Corrections		Attachment: CRT Offender & Staff List			
Policy		Please refer to DOC policy 1.1.A.9			
Distribution: Non-Public		Corrections Review Team (CRT) Procedures			
CRT OFFENDER & STAFF LIST					
Attach additional CRT Offender & Staff List forms, if more than 20 offenders and/or staff are selected.					
Unit: <input type="text"/>		Review Date(s): <input type="text"/>			
#	Offender Files To Be Reviewed:	Offenders To Be Interviewed	Staff Files To Be Reviewed:	Staff To Be Interviewed:	
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					
15.					
16.					
17.					
18.					
19.					
20.					

Attachment 3: CRT Report

The **CRT Report** form is located on the state's WAN.

A copy may be printed using **Microsoft Word** as follows:

1. Click [here](#) access the **CRT Report** by:
 - a. Placing mouse on the word "here" above
 - b. Press and hold the "Ctrl" key on the keyboard
 - c. Click the left button of mouse.

2. Or Select **File/New** from the Menu Bar / Select the **DOC** tab / Select **CRT Report**.

The gray areas indicate the information that is to be entered.

South Dakota Department of Corrections Policy Distribution: Non-Public				Attachment: Initial CRT Report Please refer to DOC policy 1.1.A.9 Corrections Review Team(CRT) Procedures		
INITIAL CRT REPORT						
Unit:		Review Date(s):				
ENTRY # & DOC STAFF	DOC POLICY & CM TITLES	REVIEW DESCRIPTION	METHOD OF REVIEW	REVIEWER	DATE	STATUS