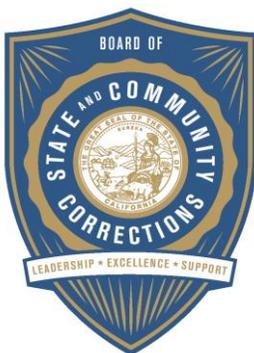


# POLICY AND PROCEDURE MANUAL FOR TRAINING PROVIDERS

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**Revised July 2012**



## **BOARD OF STATE AND COMMUNITY CORRECTIONS**

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# STANDARDS AND TRAINING FOR CORRECTIONS POLICY AND PROCEDURE MANUAL FOR TRAINING PROVIDERS

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# I. INTRODUCTION

## A. Standards and Training for Corrections (STC) Program

The purpose of the Standards and Training for Corrections (STC) Program is to raise the level of competence of the state's local corrections and probation personnel. The program accomplishes this by providing a course certification and delivery system, technical assistance, training and support to local corrections and probation departments statewide. In addition, participating departments are allocated subvention funding through the STC Program.

Through research, planning, design and assessment, the STC Program assists local agencies in ensuring they select and train qualified people and maintain staff proficiency through job-related skills training. Counties and cities participate in the STC Program voluntarily. In exchange for this support and subvention funding, they agree to follow all program regulations, policies, and procedures.

Local agencies participating in the STC Program use this state funding to help pay course tuition costs in addition to other allowable expenses. The STC course certification process includes a thorough review of the proposed course costs by budget category and line item. Providers of STC certified training are required to adhere to STC allowances, policies, and procedures with regard to the calculation of course costs and trainee tuition. The program operates this way for two reasons:

- First, because state funds are used to cover the cost, STC has a responsibility to ensure that the courses are cost-effective;
- Second, a thorough review of course costs by STC, coupled with an agreement by the training provider that they will adhere to STC policies and procedures with regard to tuition calculations, eases the burden on local departments to negotiate course fees independently with each training provider.

### **Special information concerning approved course costs and tuition:**

Requests for certification of all courses where tuition will be greater than \$2.00 per hour, per trainee (\$16.00 dollars per trainee for an 8-hour training day) must include course cost information, and the budget must reflect that intended charges for designated budget categories will not exceed caps established by STC. Courses where tuition will not exceed \$2.00 per hour, per trainee are exempted from this requirement, because such low tuition rates are deemed cost-effective on their face.

Procedures for calculating allowable course costs and course tuition are set forth later in this manual.

## B. Purpose of the Manual

This manual is designed to assist training providers with the certification of their courses. It provides policies and procedures for course certification, information and forms necessary to apply for course certification, procedures for billing departments for training delivered, and procedures for collecting and maintaining information required by the STC Program. The goal of this manual is to help training providers deliver efficient, cost-effective, high quality training.

## C. How to Use This Manual

This manual is divided into the following sections:

- ◆ **Sections I, II, and III** deal with general information about the STC Program. They cover STC's purpose, the law under which the program was established, and the regulations that govern the program's operation.
- ◆ **Section IV** provides a general overview of the STC certification process. It details the types of certifications available, tuition policies, information on course attendance, advertising, modification of certified courses and evaluation of courses, testing, monitoring, conflict of interest issues, and other pertinent information about the certification process.
- ◆ **Sections V and VI** present the training provider with the how-to's of the certification procedures, information on how STC evaluates certification requests, and fiscal information about certifications.
- ◆ **Sections VII and VIII** provide information on computing costs and billing for courses.
- ◆ **Section IX** details the record keeping requirements for training providers.
- ◆ **Appendix A** contains a sample invoice for tuition.

STC is committed to working closely with training providers and departments to promote the delivery of quality training. STC assigns a Field Representative to every training provider and participating department. STC Field Representatives are available to provide technical assistance and consultation about all aspects of the STC Program.

## **II. GENERAL PROGRAM INFORMATION**

### **A. The Standards and Training for Corrections (STC) Program**

#### **1. Organizational Structure**

The STC Program is administered by the STC Division of the Board of State and Community Corrections (BSCC). The BSCC's purpose is to provide statewide leadership, coordination, and technical assistance to promote effective state and local efforts and partnerships in California's adult and juvenile criminal justice system. This purpose reflects the principle of aligning fiscal policy and correctional practices, including prevention, intervention, suppression, supervision, and incapacitation. The goal is to promote a justice investment strategy that fits each county and is consistent with the integrated statewide goal of improved public safety through cost-effective, promising, and evidence-based strategies for managing criminal justice populations.

#### **2. Program Responsibilities**

The goal of the STC Program is to collaborate with local corrections officials to improve the competence of the local corrections workforce through research based and effective selection and training standards.

The responsibilities of the STC program include:

- Assisting local corrections and probation departments in selecting qualified persons for employment and in maintaining staff proficiency;
- Administering an efficient and effective training certification and delivery system; and,
- Providing technical assistance and support to all participating departments and providers.

### **B. The Law**

The STC Program provides a standardized, state-coordinated local corrections selection and training program. The program was established in the California Penal Code on July 1, 1980. Sections 6024 through 6036 establish the BSCC and define its scope and responsibilities. The intent of the law is to improve the skills and raise the level of competency of local corrections and probation officers and other correctional personnel.

### III. REGULATIONS

The regulations for counties and cities that choose to participate in the STC Program are found in Title 15, Division 1, Subchapter 1, Articles 1 through 9, Sections 100-358 of the *California Code of Regulations (CCR)*. Hereafter, references to these regulations will be by section only. Copies of the regulations may be obtained by calling the BSCC's general phone number, (916) 445-5073, or at the BSCC website:

<http://www.bscc.ca.gov/programs-and-services/stc/resources>

#### A. Program Participation by Local Corrections Agencies

Each fiscal year, sheriffs, police, probation, and local corrections departments choosing to participate in the STC Program submit an annual training plan (ATP) to the BSCC. The plan consists of a declaration of positions subject to STC standards identified by (STC) job category. The plan forecasts the minimum number of hours of training that will be provided for each job category. Training plans for a fiscal year (July 1<sup>st</sup> - June 30<sup>th</sup>) are submitted to STC by April 15<sup>th</sup> of the prior fiscal year.

#### B. Categories of Training

There are two categories of courses certified by STC: Core training and annual training.

##### 1. Core Training Courses

Core training consists of entry-level or basic training linked to specific job classifications within the first 12 months of appointment to a position.

The BSCC has identified the following six specific training courses as core training. Each course has a specific course outline and number of hours. The entry-level courses have subject matter and instructional objectives that must be presented in set time frames. The trainee's understanding of this subject matter is also evaluated through a testing process in the core course.

##### a) Probation Officer Core Course

In addition to cardiopulmonary resuscitation (CPR) as required by Emergency Medical Services (EMS), the Probation Officer Core Course consists of a minimum of 196 hours of instruction in specific performance/instructional objectives. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed in the first year of job assignment as a probation officer.

b) Juvenile Corrections Officer Core Course

In addition to First Aid and CPR as required by EMS, the Juvenile Corrections Officer Core Course consists of a minimum of 160 hours of instruction in specific performance/instructional objectives. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed in the first year of job assignment as a juvenile corrections officer.

Trainees who have successfully completed CPR and First Aid, and are currently certified, do not need to repeat these subjects.

c) Adult Corrections Officer Core Course

In addition to First Aid and CPR as required by EMS, the Adult Corrections Officer Core Course consists of a minimum of 176 hours of instruction in specific performance/instructional objectives. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed in the first year of job assignment as an Adult Corrections Officer.

Trainees who have successfully completed CPR and First Aid, and are currently certified, do not need to repeat these subjects.

d) Adult Corrections Officer Supplemental Core Course

The Adult Corrections Officer Supplemental Core Course consists of a minimum of 56 hours of instruction in specific performance instructional objectives. It is designed for the adult corrections officer who has previously completed the Peace Officers Standards and Training (POST) Basic Academy Course. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed within the first year of job assignment as an adult corrections officer.

e) Supervisor Core Course

The Supervisor Core Course consists of a minimum of 80 hours of instruction to be completed during the first year of assignment as a supervisor in a jail/adult institution, juvenile institution, or probation department.

Satisfactory completion of the POST-certified "Supervisory Training Course" satisfies STC's core training requirement for supervisors.

f) Manager and Administrator Core Course

The Manager and Administrator Core Course consists of a minimum of 80 hours of instruction to be completed during the first year of assignment as a manager or administrator.

The POST-certified *Management Training Course* or the *Executive Development Course* may be substituted for this core course.

Note: “EMS” as used in the core course descriptions means the local or regional EMS authority.

For those training providers who wish to certify and deliver core training, review of and adherence to additional publications is required, specifically:

- ◆ Handbook for Presenting Core Courses
- ◆ Core Course Manual(s)
- ◆ Knowledge/Skill Maps
- ◆ Physical Tasks Training Manual(s)

All entry-level core course subject matter relates directly to job task performance. Participating agencies are encouraged to have their eligible staff complete this training before an actual work assignment.

## **2. Annual Training Courses**

Annual training is mandatory for all full participation eligible staff that have completed core training.

Annual training is specialized or refresher training that develops or enhances job-related skills. Flexibility is permitted in course content and method of instruction in order to meet changing conditions and local needs.

During any fiscal year, each eligible staff shall complete at least the minimum number of hours of appropriate annual training:

<b>Journey Probation Officer</b>	<b>40 hours</b>
<b>Journey Juvenile Corrections Officer</b>	<b>24 hours</b>
<b>Journey Adult Corrections Officer</b>	<b>24 hours</b>
<b>Probation Supervisor</b>	<b>40 hours</b>
<b>Supervising Juvenile Corrections Officer</b>	<b>40 hours</b>
<b>Supervising Adult Corrections Officer</b>	<b>24 hours</b>
<b>Manager</b>	<b>*40 hours</b>
<b>Administrator</b>	<b>*40 hours</b>

\* Managers and administrators of jails/adult institutions can be trained at 24 hours per year if the participating department has requested, and the BSCC has approved, a variance to Section 184(A)(7) and (8) of Title 15 CCR.

## **IV. GENERAL INFORMATION REGARDING CERTIFICATION OF COURSES**

The intent of the course certification process is to provide high quality, cost-effective, job-related training. Certification of a course authorizes the training provider to advertise it as meeting the requirements of STC.

The following information is applicable to both annual required training and core training except where noted. However, because the curriculum and testing requirements for all core training is research based and prescriptive in nature, all providers of core training must also reference the job-specific core training manual (juvenile corrections officer, adult corrections officer, and probation officer) and the Handbook for Presenting Core Courses.

### **A. Overview of Course Certification Procedure**

A certified course consists of job-related instruction approved by STC for sheriffs, police, probation, and local corrections department eligible personnel. Job-relatedness is established when the relationship between the training and the jobs performed by corrections personnel who work in local jails/adult institutions, probation departments and juvenile institutions can be articulated.

To receive STC certification, training providers must submit a request for certification (RFC) to STC. The application is submitted on-line via the BSCC website at:

<http://www.bscc.ca.gov/programs-and-services/stc/resources>

STC staff reviews all requests. Approved STC certifications are valid for a maximum of one year.

All certification requests must be sponsored by a local STC participating department (except when an STC participating department is the provider). Providers must obtain course sponsorship from an STC participating corrections agency as part of the certification process for a new course. When a training provider completes the on-line request for certification, the course will automatically be sent to the local department designated by the training provider via the Internet. The local department will review the course on-line and if sponsored, the course will automatically be forwarded to STC.

Departmental administrators and training managers may review courses for sponsorship. This is done through the department's RFC work base on the internet. Sponsoring a course indicates that the administrator or training manager has reviewed the course and has concluded that it might meet a portion of departmental training needs. The sponsorship process is the initial screening of a proposed course's quality, job-relatedness, and cost-effectiveness, and is only

required on the initial certification. The act of sponsoring signifies a need for the course, which is a prerequisite to STC certification.

Course certification requirements include, but are not limited to the following criteria:

- Job-related topic, content, and performance objectives;
- A demonstrated need for the course;
- A demonstrated capability to provide quality training;
- The cost of providing the instruction in relation to the benefits;
- The extent to which eligible staff may attend the course;
- The frequency with which the instruction can be provided in relation to the need;
- The ability to provide the instruction within California; and,
- Adherence to policies and procedures established by STC.

## **B. Enrollment**

Certification of a course by STC does not guarantee or imply the enrollment of trainees. Therefore, potential training providers must work with potential training consumers (i.e., probation departments, sheriffs' departments, police departments, and local departments of corrections) to ensure course offerings correspond to training needs and that the departments will enroll a sufficient number of trainees.

STC policy requires departments to notify the training provider of cancelled enrollments a minimum of 15 calendar days before the course. If a department has enrolled a specific number of participants in a certified course and that number of participants does not attend the course, the provider may charge the department the cost of tuition for absent trainees. If an emergency occurs which prevents a trainee from attending, the training manager should advise the provider immediately.

When departments enroll participants in an STC certified course, they incur an obligation to the provider. The terms and conditions of this obligation are negotiable between the department and the provider. The provider may require written confirmation. Also, a provider may require a nonrefundable deposit that will be applied to the tuition cost for those who attend the course. However, this deposit cannot exceed the maximum course cost.

See Section VII, Billing Computation, for detailed information on fiscal risks to a Provider.

## **C. Tuition Policies**

STC has comprehensive policies and procedures establishing maximum allowances for the various costs associated with course delivery. All course costs and maximum tuition charges must be approved by STC as part of the course certification process.

An exception is made (and no course cost information is required) for courses where tuition charges will not exceed \$2.00 per hour per trainee (e.g., \$16.00 per trainee for an 8-hour course). Such low-cost courses are presumed to be cost-effective and local agencies may use STC funds to pay discretionary course costs that fall below this threshold.

Even when course costs have been approved by STC, these costs represent maximum possible amounts and are the basis for determining the maximum tuition listed in the STC Course Catalog.

- A maximum of \$120.00 per participant, per classroom day (8 hours) may be charged by a training provider for a certified course (\$15.00 per classroom hour per participant).

Actual course and instructor travel costs (not to exceed line items and maximum approved amounts) are used to calculate tuition charges for billing. Usually, actual tuition charges will be less than the maximum approved amount and vary with each course offering. This occurs because the actual course delivery costs, travel costs, and/or other related costs are less than the maximum projected costs.

## **D. Certification Restrictions**

There are a number of activities engaged in by corrections personnel that, while increasing their professional competence, are not consistent with STC's criteria for certified training.

The following are examples of certification restrictions:

- Meetings of any type by any group or organization will not be certified. Certification may be granted for training courses held immediately before or after a meeting.
- Professional group or association courses limited to association or group members will not be certified.
- A course that restricts attendance to a single department will not be certified, except when the purpose of the course is for the improvement of a specific department and attendance by persons outside the department would jeopardize the success of the course.
- Conference events that do not meet certification criteria in terms of instructional design and format will not be certified. Examples of sessions

that will not be certified include general sessions, ceremonies and keynote speakers. (Departments may apply for WRE training credits.)

- Courses of less than four hours per day will not be certified under the regular certification process unless the RFC is from a participating agency.

## **E. Types of Certification**

Any type of course certification by STC is valid for one year.

### **1. Certification**

Certification is for job-related training that has been approved by STC for training of eligible staff.

### **2. Recertification**

Recertification is for currently certified courses that the provider wishes to offer beyond the one-year certification. These courses must meet all certification criteria.

## **F. Course Attendance**

Providers are responsible for accurately reporting and attesting to, the number of hours of attendance of each participant. Credit for actual classroom attendance is granted on an hour-for-hour basis. An STC course roster must be completed for each presentation of the course and a copy mailed to each trainee's department within 30 days of the conclusion of the course. The original roster must be mailed to STC within 30 days of course completion.

## **G. Certificate of Course Completion**

For any STC certified course (core or annual), providers may, at their discretion, issue certificates of course completion. If a certificate is issued, it must include the following information:

- Name of the training provider;
- Name of the trainee;
- Official title of the course;
- Total number of STC certified hours for the course;
- STC certification number for the course;
- Date of course completion;
- A statement that the course was successfully completed by the trainee; and,
- Signature of the training provider.

Issuance of a certificate of course completion does not satisfy the requirement for the course roster.

Refer to the manual entitled *Handbook for Presenting Core Courses* for information concerning certificates of completion for core courses.

## **H. Provider Testing and Evaluation of Trainees**

On an optional basis, at the request of participating agencies with staff in attendance, providers of either core or annual courses may prepare an evaluation of attendees' performance in training. This evaluation should be done according to the specifications of the department. It may include such dimensions as attitude, assertiveness, oral communication, written communication, initiative, interpersonal skills, judgment, maturity, personal appearance, responsibility, and other items specified by the attendee's employing department.

Tests designed to measure mastery of the material presented during annual training courses are optional. However, providers are strongly encouraged to develop testing instruments for all STC courses.

All certified entry-level core courses must include testing as prescribed for that course. For more information about testing in core courses, please refer to the appropriate core training manual and the Handbook for Presenting Core Courses, an STC publication.

## **I. Course Numbering System and Course Categories**

Each certified course is assigned a 10-digit number. The first four digits constitute the provider or agency's user identification number and the final six digits constitute the course identification number. These two numbers, separated by a hyphen, constitute the complete course certification number.

Each regularly certified course will be categorized according to the course content listed below: These categories do not apply to alternative credit courses (special certifications, intensified format courses, or courses approved for work-related training and education credit).

### **LEGAL (1.00)**

- 1.01 Ethics and Values
- 1.02 General (e.g., Asset Forfeiture, Facility Standards, Inmates Rights)
- 1.03 Liability (e.g., Abuse of Force, Civil Rights, Color of Authority)
- 1.04 Juvenile Law/Issues Update
- 1.05 Adult Law/Issues Update
- 1.06 832 PC

### **PROCEDURAL (2.00)**

- 2.01 Booking/Intake Classification
- 2.02 Investigations and Information Gathering (e.g., Crime Scene, Evidence, Interviews)
- 2.03 Demeanor and Testifying in Court

## **COMMUNICATION (3.00)**

- 3.01 Basic Writing Skills
- 3.02 Report Writing
- 3.03 Interpersonal Communications (e.g., Conflict Resolution, Listening, Speaking)
- 3.04 Instructor Development
- 3.05 Public Relations (e.g., General Public and Media Relations)
- 3.06 Radio/Video Communications
- 3.07 Foreign and Sign Languages
- 3.08 Computer Training (e.g., CLETS, NCIC, Software/Hardware Use)

## **SAFETY AND SECURITY (4.00)**

- 4.01 Arrest, Search and Seizure
- 4.02 Restraints (e.g., Chairs, Electronic Devices, Handcuffs, Stun Belts)
- 4.03 Facility Security
- 4.04 Water Safety
- 4.05 Transportation (e.g., Defensive Driving, Inmate Transportation)
- 4.06 Emergencies (e.g., Bombs and Explosives, Hostage Situations, Riots, Suicide Prevention)
- 4.07 Special Use Teams (e.g., Cell Extraction, Hostage Negotiations, SWAT)
- 4.08 Fire and Life Safety
- 4.09 Unarmed Self Defense
- 4.10 Less-Lethal Weapons (e.g., Baton, Bean Bags, Sting-ball Grenades)
- 4.11 Firearms (All Firearms Training except for 832 PC)
- 4.12 Jail and Field Training Officer
- 4.13 Chemical Agents
- 4.14 Field Tactics

## **MEDICAL AND MENTAL/EMOTIONAL ISSUES (5.00)**

- 5.01 First Aid/CPR
- 5.02 Disease Control
- 5.03 Substance Abuse
- 5.04 Mental/Emotional Issues (e.g., Developmentally Disabled, Non-/In-Custody Offenders)

- 5.05 General (e.g., Dealing with Death, Eating Disorders, Stress, Sex Education)

### **CASEWORK (6.00)**

- 6.01 Case Management (Time/Caseload Management, Community Resources, Correctional Programs)
- 6.02 Counseling
- 6.03 Cultural Awareness
- 6.04 Abuse (Child, Domestic, Elderly, Incest, Sexual)
- 6.05 Gangs, Hate Groups, Occult

### **MANAGEMENT AND SUPERVISION (7.00)**

- 7.01 Organizational Development (Strategic Planning, Team Building, Organizational Policies and Procedures)
- 7.02 Fiscal Issues and Budgeting
- 7.03 Personnel Issues
- 7.04 Supervisor Update Training
- 7.05 Manager/Administrator Update Training

### **CORE COURSES (8.00)**

- 8.01 Probation Officer
- 8.02 Juvenile Corrections Officer
- 8.03 Adult Corrections Officer
- 8.04 Adult Corrections Officer Supplemental (Supplemental to POST Basic Academy)
- 8.05 Supervisor
- 8.06 Manager/Administrator

### **MULTIPLE TOPIC OR MULTIPLE TRACK COURSES (9.00)**

- 9.02 Multiple Topics (A traditional course containing a variety of subjects—e.g., a 24-hour course with a variety of unrelated subjects such as CPR, report writing, defensive tactics, etc.)
- 9.03 Multi-Track Courses (An event attended by many trainees that offers a variety of training sessions simultaneously; e.g., TMS, Jail Managers' Seminar, Keys, etc.)

## **J. STC Publications, Advertising, and Marketing**

### **1. STC Course Catalog and Calendar**

STC maintains a course catalog and calendar at the BSCC website:

<http://www.bscc.ca.gov/programs-and-services/stc/resources>

The catalog is updated continuously and contains summary information on every course certified by STC except for courses designated as being agency specific. The course calendar provides current information on upcoming course presentation dates and locations.

Every effort is made to ensure the accuracy of the information contained in the catalog and calendar. However, unpublished changes may occur, and departments should always verify information with training providers. Training providers are advised to provide the STC Program with timely, accurate, and updated information so the calendar will reflect the correct content of the courses.

### **2. Advertising**

The STC 10-digit course certification number must be printed on all announcements, brochures, bulletins, or other publications soliciting participation by STC eligible personnel. Providers cannot advertise the class as certified by BSCC or STC until official notice of certification has been received from STC. Providers cannot advertise a course as having certification pending.

### **3. Marketing**

Participating departments have discretion in choosing training providers and courses to meet training needs. For this reason and because STC certification does not guarantee course attendance, it is incumbent on the provider to establish and maintain effective communication with participating departments and training managers.

A directory of participating departments and training providers is available on the STC website. This directory lists the names, addresses, and phone numbers of all department heads and training managers. STC believes frequent dialogue between providers and department representatives not only benefits the marketing efforts of providers but also enhances the quality of training.

## **K. Modification of Certified Courses**

Modifications of a certified course include changes in an approved course, such as minor outline changes, new or different instructors, or other changes that do not

affect the approved budget or the substance of the course. Additions or deletions of a scheduled course offering are modifications, but they are accomplished by using the “dates” hyperlink in the RFC work base.

## **1. Changes in Certified Courses**

### **General**

Changes in a certified course, including cancellation, instructor change, or course outline, must be submitted to STC at least 10 calendar days before the effective date of the change.

### **Tuition Changes**

The only allowable budget increases that may be made in a course during the term of certification are for:

- Training room rental
- Course staff travel

Any request for an increase in the approved tuition fee as a result of higher costs in these areas must be received at least 20 calendar days before the course offering. These requests may be denied and training providers may not charge increased fees without receiving written or on-line approval from STC before the course offering.

### **Emergency Changes**

When an unforeseen event causes last minute changes in a certified annual course, such as the addition of an instructor not already approved as a primary or alternate, the provider must notify STC immediately by telephone and follow with notice by email. The STC Field Representative may require the provider to notify departments with registered participants. In all cases the written notification to STC must be done within 10 calendar days.

## **2. Cancellation of Certified Courses**

Providers may cancel a scheduled course. If that course has registered participants, the provider must notify STC and all agencies with registered participants of the cancellation at least 10 calendar days before the first scheduled day of the course. Failure to notify all departments with registered participants may subject all of that provider’s certifications to revocation.

Exceptions to the 10-day policy will be considered on a case-by-case basis when an emergency occurs; e.g., illness of the instructor. If the emergency occurs 10 days or less before the scheduled training, providers must notify STC and all agencies with enrollees immediately. Justification for the cancellation must be submitted to STC in writing or via e-mail within 10 calendar days of the cancellation. Low participant enrollment is not considered adequate reason to cancel a course with less than 10 days notice to departments.

Providers should use STC's on-line system to delete presentation dates from the RFC system when the course is not delivered as scheduled or has been cancelled in advance of 10 days before the advertised date.

### **3. Addition of Course Offerings**

For courses with a valid certification, providers may add additional presentation dates any time prior to the delivery date. Such additions are made using the on-line system.

## **L. Peace Officer Standards and Training (POST) Certified Courses**

STC recognizes POST certification for a limited number of courses (e.g., training required under 832 PC); training providers should not assume that STC and POST certifications are equivalent. If you have questions about dual certification of courses by both STC and POST, please contact an STC Field Representative.

## **M. Suspension/Revocation of Course Certification**

### **1. Causes for Suspension/Revocation**

Causes for suspension/revocation of a training provider's course certification include:

- ◆ No demonstrated need for the course.
- ◆ Presentation of poor quality or non job-related courses as disclosed by participant course evaluations; department evaluations; STC monitoring of courses; or other sources.
- ◆ Violation of standard operating agreements demonstrated by not adhering to STC Program regulations, policies, and procedures; not adhering to work outlined in the approved request for certification; non-cooperation with the BSCC or the State Controller's Office; or not adhering to a contract for training services with a participating department.

## **2. Process of Suspension/Revocation**

If there appears to be sufficient cause to revoke a course certification, the following process will be followed:

- A. The STC Field Representative will initiate the proceedings by presenting the information to the Deputy Director of STC.
- B. If the Deputy Director determines there is sufficient cause for action, the training provider will be sent a letter that will contain the following:
  - ◆ Notification of suspension pending revocation and the reasons;
  - ◆ A request that the provider submit information that may affect the decision (the response must be received by STC within 15 working days upon receipt of the notification); and,
  - ◆ Notification of the suspension of the certification(s) until the matter is resolved.
- C. If the provider responds with additional information within the 15 working days, the Deputy Director will review the information, make a final disposition, and notify the provider by mail within 10 working days. If the provider does not provide additional information within 15 working days, the course certification(s) will be revoked and the provider will be notified by mail within 10 working days.

## **3. Effect of Suspension/Revocation**

If a course certification is suspended or revoked, STC's name and course certification number may not be used or implied in any advertisement that is published after the date of the suspension or revocation.

Departments will not receive credit toward BSCC's training requirements and cannot expend STC funds for courses after the certification is suspended or revoked.

It is the responsibility of the training provider to notify all departments with registered participants that the certification has been suspended or revoked. Failure to do so may result in departments refusing to pay for course tuition.

## **N. Evaluation of Certified Courses, Participants and Instructors**

### **1. Course Evaluation by Participants**

**\*This policy does not apply to STC Core Courses. Evaluations for STC Core classes are still required and should be sent to STC.**

The purpose of the STC program is to enhance the competency of local corrections personnel. This in part is achieved through the continuous

evaluation and improvement of the quality of STC certified courses. Course evaluation by participants is a vital element in this process.

Providers can download the required evaluation form from the BSCC-STC website at <http://www.bscc.ca.gov/programs-and-services/stc/resources>

Providers are no longer required to send course evaluations to BSCC when submitting the original STC course roster. It is the training provider's responsibility to ensure that the evaluation forms (pdf's or copies) are provided to the attending agencies upon the completion of each course.

Participants should be given sufficient time to thoughtfully complete the evaluation form at the end of each course. They should be encouraged to complete the entire form and be reminded of the importance their responses play in assisting STC, training providers, and participating departments in their efforts to improve the course content and delivery.

Participating agencies are encouraged to review course evaluation information when considering the use of an established course. Providers shall maintain completed evaluation forms on file for a minimum of three years.

## **2. Evaluation of Instructors**

Selected instructors should have the knowledge and skills necessary to teach the subject of the core tasks. A problem may occur when an instructor may have expertise in the subject matter, but lacks effective presentation skills. Another instructor may be a specialist who lacks the generalist skills of focusing on performance-based training. These instructors may possess job experience and knowledge that are valuable resources, but are unable to convey the information effectively. The provider should closely monitor the new instructor and provide assistance whenever needed.

Instructors are evaluated by trainees, STC staff, and the provider. Trainees evaluate the instructors through the use of STC's course evaluation form, plus provider-specific forms that some have developed for their own management purposes. STC staff evaluates the instructors through on-site monitoring of course presentations and qualitative reviews of lesson plans, test items and procedures. Training providers should develop a system for evaluating the competencies of each instructor.

## **3. Monitoring**

STC staff may monitor any certified course. Staff determines whether the course objectives are being met and evaluate the course quality and costs. Monitoring may include, but is not limited to:

- ◆ Determination of adherence to the RFC;

- ◆ Review of lesson plans and achievement tests;
- ◆ Analysis of instructor's presentation;
- ◆ Review of participant feedback;
- ◆ Review of instructor/training provider feedback; and,
- ◆ Review of fiscal records.

## **O. Conflict of Interest**

Providers and participating departments should be aware of a potential legal problem which may arise whenever staff of a participating department are paid to instruct members of their own department. All participating departments must adhere to county and departmental policy on conflict of interest. It is recommended that the agency's legal counsel be consulted regarding this issue.

## **P. Appeals: Application of Regulations or Policies**

These appeal procedures are intended to provide a review of staff actions in the application of the regulations or policies and procedures governing the administration of STC's training delivery system. They are to be used when the process described for suspension or revocation of course certification does not apply. A provider or prospective provider of a course may appeal a BSCC staff decision on the basis of alleged misapplication, capricious interpretation of the regulations, policies, and procedures, or substantial differences of opinion that may occur concerning the proper application of regulations, policies or procedures.

If a provider is dissatisfied with an action of the STC Field Representative, he/she may appeal the cause of the dissatisfaction to the Deputy Director of the STC Division of the BSCC. Such appeals shall be filed within 30 calendar days of the notification of action with which the provider is dissatisfied.

The appeal shall be in writing, and shall:

- ◆ State the basis for the dissatisfaction;
- ◆ State the action being requested of the Deputy Director; and,
- ◆ Include any documentation related to the cause for dissatisfaction.

The Deputy Director will review the correspondence and related documentation and render a decision on the appeal within 30 calendar days, except in those cases where the provider withdraws or abandons the appeal. (The procedural time requirement may be waived with the mutual consent of the provider and the Deputy Director.)

The Deputy Director may render a decision based on the correspondence and related documentation submitted by the provider and may consider other relevant

sources of information deemed appropriate. The decision of the Deputy Director shall be in writing and shall provide the rationale for the decision.

If the provider is dissatisfied with the decision of the Deputy Director, he or she may file a request for review by the BSCC Executive Director. Such a request shall be filed within 30 calendar days after receipt of the Deputy Director's decision. The requested review shall be in writing, and shall:

- ◆ State the basis for the dissatisfaction;
- ◆ State the action being requested of the Executive Director; and,
- ◆ Attach any correspondence related to the appeal with and from the Deputy Director.

The Executive Director, after reviewing the appeal and the correspondence related to the review, may decide the matter on the record, or request additional information. After a decision is made by the Executive Director, notice of the decision shall be mailed to the provider. The decision of the Executive Director shall be final.

## V. PROCEDURE FOR REQUESTING CERTIFICATION OF COURSES

### A. Certification of Courses

All requests to certify courses must be submitted to STC a minimum of 20 calendar days prior to the first course offering for any annual course. Requests for certification of core courses must be submitted to STC at least 60 days prior to the first course presentation. Providers are encouraged to allow even more lead time if:

- ◆ You are a new provider;
- ◆ You are requesting certification of a core course for the first time;
- ◆ The course material or presentation format is unusual; or,
- ◆ The course costs are higher than typically approved.

The advance filing time allows STC Field Representatives the opportunity to review the request, discuss and resolve any concerns, and certify the course. Requests for certification not submitted in a timely manner may result in the inability to conduct a course on a desired date.

Even though the same application package is used for both annual and core courses, there are different policies and procedures for certifying each type of course. Therefore, it is important to review the applicable sections governing the type of course for which you are requesting certification.

Requests for certification of both core and annual courses are submitted via the Internet. Providers that do not have a user ID and PIN may apply at the STC website: <http://www.bscc.ca.gov/programs-and-services/stc>

The RFC packet is divided into the following sections:

- Course Information
- Face Sheet
- Performance Objectives
- Instructor Information
- Course Outline
- Course Dates
- Course Costs for Staff
- Course Costs for Supplies and Operating Expenses
- Costs for Consumables

- Course Costs for Training Room Rental and Instructor Travel
- Assurance Statement (a check box needed before submission)
- Agency Sponsorship (must be indicated prior to submission)

## **B. Overall Fiscal Guidelines Summary**

STC must approve course costs and maximum tuition rates for all courses where tuition will exceed \$2.00 per hour, per trainee (e.g., \$16.00 per trainee for an 8-hour course). Detailed budget information is required for all courses where tuition will exceed this amount.

Before you develop the budget for the course, you should review the following fiscal policies relating to STC certification:

- ◆ The budget should reflect maximum cost anticipated for each line-item. Billing is based on actual costs, not to exceed each approved line item. (See Section VII, *Billing Computation*)
- ◆ STC will disallow a budget that has line items not in compliance with fiscal policies, or has costs that are determined not to be cost-effective.
- ◆ A maximum of \$120.00 per participant per classroom day (8 hours) may be approved for a certified course (\$15.00 per classroom hour per participant).

## **C. Request for Certification**

Presented below are general policies and procedures which must be followed in preparing and submitting a request for certification.

### **1. Course Information**

This is the first page of the RFC packet. It captures general information about the provider (name, address, etc.), as well as the specific course contact person. It includes the course title, and specifies whether this is a new course or a request for recertification.

Most of the fields on this page will be automatically completed by the computer based upon information collected when the provider's PIN number was issued.

### **2. Face Sheet**

This section identifies the course as either core or annual and specifies the primary population (target audience). More than one primary population may be designated.

**Class Size:** Pursuant to STC policies and procedures, maximum class size is always 25 percent larger than the minimum class size. Once the minimum class size is entered by the training provider, the maximum class size is automatically calculated by the automated system. The primary significance of the maximum class size is that it governs the amount of profit a private provider may collect for the course. If the provider is not submitting budget information for STC review and approval, the only consideration driving class size should be subject matter and training methodology. For example, classes where the methodology is primarily lecture could accommodate a higher maximum class size than a class such as weaponless defense that requires a higher ratio of instructor(s) to trainees.

The course content and the instructional methods required to teach the content are the primary factors in determining appropriate class size. Generally, the minimum for an STC course is set at 16 or more participants. Greater minimum class sizes are encouraged, when practical, to increase cost-effectiveness of the training. A minimum of 16 is normally required for certification. Written justification is required if the proposed minimum class size is less than 16 (applies only to courses with approved budget and tuition rates).

**Considerations:** Setting the minimum/maximum range has important implications for covering the costs of delivering the course, as well as determining the financial compensation for the provider. Therefore, it is important to understand the billing computation procedures (Section 7) when setting the minimum/maximum class size for the course.

**Course Hours:** Indicates the total length (in hours) of a single presentation of this course.

**Maximum Budget Cost:** Is derived by totaling all course costs projected in the balance of the RFC application. This figure will be automatically calculated based on cost factors entered later in the application package. This data field will be listed as "N/A" if the provider does not include budget information in the request for certification.

**Maximum Tuition per Trainee:** Is calculated by dividing maximum budget cost by the minimum class size. This figure will be automatically calculated by the RFC system based on cost factors entered later in the application package.

The actual tuition will usually be lower depending on the billing computation of actual vs. projected costs (see Section 7, Billing Computation).

Any association or group that allows discounts (or no charge) on STC-certified courses to any group or individual must give the same discount to all STC participants.

This data field will be listed as “N/A” if the provider does not include budget information in the request for certification.

**Department Specific:** Should be checked if the course content has been so heavily customized for a specific agency that attendance by trainees from other departments would be inappropriate.

**One-Time Presentation:** Should be checked if the provider is certain that the course will be delivered only once during the life of the certification.

**Course Summary:** What you write here is exactly what will appear, word-for-word, in the STC course catalog. This will be the initial source of information a participating department uses to select the course. It is to your benefit to write this summary carefully and accurately. Be concise, but complete. This data field is limited to no more than 600 characters.

**Justification for Class Size Less than 16 (applies to budgeted courses only):** Whenever a class size of less than 16 is proposed, a justification must be included. Criteria for smaller class sizes include:

- It is the most cost-effective method of delivering the course;
- Departmental needs require timely delivery of the course;
- There are a limited number of available participants statewide; and,
- Due to the content of the course, a reduced class size is required.

Also, an STC participating agency may request a one-time reduction in the minimum number of participants for specific cost and efficiency reasons. The request must be submitted in writing at least 10 days in advance of the course date and include a clear description of the need for a reduced class size.

### **3. Performance Objectives**

Certification of each course requires clearly stated instructional/performance objectives. STC emphasizes objectives as a means to enhance and evaluate training quality. Well-constructed objectives:

- Provide direction for those who teach the course;
- Focus the trainee's learning; and,
- Serve as a means to evaluate the course.

For course certification, write specific and measurable performance objectives that clearly indicate the job-related knowledge or skill which participants will be able to demonstrate upon course completion (not back on the job). Specify

what the trainee will be able to do, under what conditions, and at what acceptable level.

Examples:

- Without reference to the medical screening handbook, the trainee will be able to describe at least three major symptoms of alcohol withdrawal.
- Given a list of behaviors, the trainee will be able to differentiate between those that are normal and those that are schizophrenic.
- Given a diagram of the jail, the trainee will identify five emergency escape routes within sixty seconds.

For additional information on writing performance objectives please refer to STC publication *A Guide for Writing Instructional Objectives for STC Annual Course Certification* available on the STC web site or through your assigned Field Representative.

### ***Testing Procedures:***

While testing for annual courses is not required, it is highly desirable. Testing can:

- Indicate mastery of the performance objectives;
- Demonstrate the effectiveness of training; and,
- Provide results to departments.

## **4. Instructor Information**

The instructor information form demonstrates the qualification of each course instructor. Formal resumes are not required and cannot substitute for the completed instructor information sheet. Submit information that directly relates to the course as well as any other course delivered by that instructor. It should reflect the instructor's:

- Expertise in the subject area;
- Work experience related to the topic;
- Areas of related training experience;
- Education and training received; and,
- Completion of relevant instructor preparation courses.

Although all sections need not be completed, you should provide enough information to demonstrate the instructor's qualifications to teach the specific subject area(s) identified as his or her responsibility in the course outline.

A single instance of an instructor's information sheet is maintained in the RFC database. It must adequately describe the instructor's ability to teach any course for which he/she is listed as an instructor. When updating the instructor's information sheet, it is best to be comprehensive and add, rather than delete information.

For courses that rely on current proficiency or license of the instructor, the training provider has the responsibility for ensuring that the instructor possesses the required credentials. Examples of courses that require this level of care and documentation include CPR, First Aid, firearms, chemical agents, use-of-force topics, and courses intended to impart skills considered to be necessary for high risk activities. The provider must clearly state that the instructor possesses the applicable, currently valid, license, certificate or training in the appropriate data field or in the space provided for narrative.

It is the responsibility of the provider to ensure that the instructor's certification remains valid for purposes of any scheduled course presentations delivered under the auspices of the STC certification.

## **5. Course Outline**

Submit a detailed hour-by-hour course outline for each day of the course. Designate the lunch break, and at what point in the training day it will occur. It is not necessary to document other, short breaks. The course outline should include sufficient detail for STC staff to evaluate/identify:

- Course content;
- Job-relatedness;
- Relationship between content and performance objectives;
- Instructional methodology (check all methodologies that apply for any given segment); and,
- Which primary instructor will be teaching each segment.

On the course outline page of the application package, the text box for each segment entitled "Subject or Topic" provides ample room for detail. Design constraints of the application limit individual instructional segments to a maximum of 12 per day. You must organize your outline in a manner that allows you to describe your course as completely as possible within the 12 available segments.

## **6. Course Dates**

Each individual offering of the course must be registered with STC. For presentation of the course enter the date on which the presentation begins, and the date on which it ends. The city in which the course will be delivered must also be entered for each presentation.

For example:

If a complete course were 24 hours (3 days) long, the start date might be 11/4/09 and the end date would be 11/6/09.

For an 8-hour course (one day), both the start and end date would be entered as 11/5/09, because the course begins and concludes on the same date.

If the course is to be delivered over an extended period of time, the only dates that should be entered are the first and last. If a complete course presentation of a single course that is 40 hours long (5 days) is going to be delivered one day a week beginning Monday, 11/2/09, and ending Monday, 11/30/09, only these two dates should be entered. The intervening days on which the middle of the course is delivered are not listed.

For all new courses certification requests, at least one proposed course delivery must be listed. For recertification requests, this is not necessary (unless the course has not been delivered within the previous 24 months). The intent of this policy with regard to recertification is to avoid continuously recertifying courses that are not being used by STC participating agencies.

#### **7. Course Costs for Staff** (applies to budgeted courses only)

***Primary and Alternate Instructors:*** Enter the primary and alternate instructor listed on the course outline. These names will appear automatically in the RFC. For each instructor, list the hourly instructional fee.

The range of fees generally available to providers is up to \$60.00 per instructional hour. For amounts greater than this but not exceeding \$105.00, specific criteria must be met. Whatever amount is set must cover the costs of any benefits as well as instructor preparation time. In negotiating fees with instructors you should consider the skills required, cost-effectiveness, and current market value of comparable instruction.

Requests for instructor rates greater than \$60.00 per instructional hour may be approved upon written justification from the provider. Such requests are evaluated on a case-by-case basis and are considered in the context of the entire course. Approval of instructor rates for one course does not constitute approval of that instructor rate for any other course.

Requests for instructor rates above \$60.00 must be justified in the space provided in the on-line RFC application.

If a course is approved at a higher rate, the rate is valid as long as the conditions under which it was approved continue. The rate will be reevaluated during the recertification process to determine if the conditions leading to approval remain the same. The rate is no longer valid if the course content

changes or is shortened. The rate will be reevaluated if a substitute instructor is proposed.

A. Requests for instructional fees in excess of \$60.00 per hour will be evaluated based on the following criteria:

1. Renowned Instructor with Advanced Credentials

- An instructor who is renowned for expertise in the subject matter (e.g., widely recognized as a leading expert in the subject matter, trains other trainers or experts in the subject matter, is published in the subject matter, etc.).
- An instructor with specialized credential in the subject matter (e.g., medical doctor, psychiatrist, attorney, etc.) whose customary fees in that capacity would be equal to or greater than the hourly instructional fee being requested.

Note: Meeting one or both of the criteria listed above would not be sufficient for the higher fee unless at least one of the additional criteria listed below under Section 2, 3, or 4 below *also* apply.

2. Course Availability

Your requested course content is not otherwise available through STC.

3. Specialized Curricula

Your course content is technical or complex and this specialized curriculum is targeted to trainees who:

- Perform a specialized job function, and
- Require advanced training beyond the introductory or update level.

4. Specialized Application or Custom Course

Your course has been custom designed for the target audience or specifically tailored for each presentation.

B. Courses not eligible for hourly instructor rates above \$60.00 per hour are courses that:

- Have a wide-range application (related to several corrections job functions);
- Are basic overviews;
- Focus on general knowledge;

- Are introductory in nature; and/or,
- Focus on fundamental job skills generic to the rank and file job classification (i.e., rank and file probation officer, juvenile corrections officer, or adult corrections officer).

***Justification for Team Teaching:*** Written justification for team teaching must be provided whenever two or more instructors will be paid for teaching the same instructional segment at the same time.

Because most courses can be taught effectively with one instructor, team teaching is rarely required. When applicable, team teaching is defined as two or more instructors who simultaneously, or in close concert:

- Instruct;
- Demonstrate; or,
- Interact with trainees.

Team teaching may be approved under the following conditions:

- Close instructor observation/interaction is necessary to reduce the likelihood of injury to trainees who are learning specific physical skills (e.g., defensive tactics, weapons use); and,
- One-on-one instructor assistance is needed frequently during skills development exercises (e.g., report writing, interviewing practice).

The course outline must clearly indicate the use of team teaching as the instructional method for that portion of the course. Under no circumstances can team teaching costs exceed \$140.00 per instructional hour.

***On-site Coordination:*** Written justification is required if hourly fees for on-site coordination are charged.

On-site coordination costs are approved if it is necessary to ensure an effective course presentation.

On-site coordination costs, not to exceed \$20.00 per certified classroom hour, may be allowed under special circumstances for courses requiring:

- Direct hands-on, non-instructor assistance for small group facilitation;
- Operation of audio-visual equipment that cannot be maintained by the instructor during instructional time; and/or,
- The introduction and coordination of multiple instructors.

No on-site coordinator, while acting as such, will be paid as an instructor.

The on-site coordinator must be at the site of the course, or be providing transportation for the instructor(s) to and from the course, while the course is in session.

**Clerical Support:** Clerical fees associated with course development and deliveries are allowable equal to the total amount of course hours. For example, up to eight hours of clerical fees would be allowed for a course that is eight hours long. The maximum allowable fee allowed for clerical costs is \$15.00 per hour.

**8. Course Costs for Supplies and Operating Expenses** (applies to budgeted courses only)

**Course Supplies and Handouts:** The maximum allowable cost for your course supplies consists of a flat fee tied to a sliding scale derived from a combination of class size and course length which is set forth below:

**Course Supplies / Handouts** (applies to budgeted courses only)

Maximum Class Size	Length of Course						
	4-8 hours	9-24 hours	25-40 hours	41-80 hours	81-125 hours	125-160 hours	161-200 hours
Up to 34	\$175	\$235	\$355	\$475	\$710	\$825	\$945
35-56	\$265	\$355	\$530	\$710	\$1060	\$1,180	\$1,420
57-90	\$300	\$400	\$600				
91-144	\$475	\$710	\$945				

The fee for course supplies and handouts is intended to cover such items as:

- ◆ Handouts
- ◆ Certificates
- ◆ Writing tablets
- ◆ Software disks
- ◆ Paper clips
- ◆ Stationery
- ◆ Conference pads/marketing pens
- ◆ Folders
- ◆ Binders

**Item Description:** This is for describing extraordinary costs not covered by the flat rate for handouts and for things rented to aid in course presentation. If

something is rented, indicate if the rental fee is for “equipment, video clip, or other.”

**Title/Description:** Identify the rented material (e.g., the type of equipment, the title of the video clip, or description of any other type of material being rented).

**Vendor:** Identify the proposed vendor from whom the rental will be obtained (this may be used by STC staff to confirm the proposed cost of rental items).

**Cost/Day:** Enter the rental cost per day for each item.

**Days:** For each item, enter the total number of rental days required for a single presentation of this course.

**Total Rentals and Handouts:** This figure will calculate automatically.

**Additional Costs for Consumables:** This is the purchase fee for any item that must be purchased for each delivery of the course. Costs for consumables will be approved by STC only if they are essential to the course presentation, and if funds approved under “Course Supplies/Handouts” are insufficient to cover the cost. Items that might be approved under this category include such things as ammunition, bandages, or books. The on-line RFC application process automatically enters and calculates amounts entered on the next page of the application.

“Additional Costs for Consumables” will not be allowed as part of the tuition fee for items that constitute equipment or resource material routinely required by the trainee back on the job. Examples of things that would not be approved as appropriate consumable items include:

- ◆ Handcuffs
- ◆ Books routinely required to perform job duties (e.g., penal code)
- ◆ Duty uniforms
- ◆ Batons
- ◆ Firearms

STC’s policy is that it is the responsibility of the employer to provide equipment and resources routinely required for performing job duties, and that such material should not be charged to STC tuition.

Note: If films, videotapes, or other equipment that would otherwise require a rental fee are provider-owned, providers may submit (via hard-copy letter) a projected use/depreciation schedule not to exceed normal rental rates computed over the expected useful life of the product. Written justification establishing that the item is essential to course delivery along with the aforementioned depreciation schedule must be submitted to STC in writing. If approved by STC,

an agreed upon charge per course could be included under “*Additional Costs for Consumables*” for each course delivery until the purchase cost is fully recovered by the provider.

Costs associated with test administration in core courses may be included under this category. The allowable amount is based on an established formula (see *Handbook for Presenting Core Training Courses*).

**Staff, Total Rentals, and Handouts:** This is the total of all costs for the course except for training room rental and staff (instructor or on-site coordinator) travel. This figure will be automatically calculated and posted by the on line RFC system.

**Indirect Costs:** Providers can charge up to a maximum of 25 percent (computed against the total entered for Staff, Total Rentals, and Handouts). These cost allowances are intended to cover the following:

- ◆ Program research, design, development, modification and improvement
- ◆ Course development
- ◆ Telephone
- ◆ Copyright and royalty costs
- ◆ Advertising
- ◆ Office maintenance
- ◆ Utilities
- ◆ Office equipment/supplies
- ◆ General administration of the course and the provider’s business

**Course Cost Total:** This is the total of all costs for the course except training room rental/instructor travel. This figure will be calculated automatically by the on line RFC system.

**Room Rental/Instructor Travel:** This is the total cost of training room rental fees and travel and per diem costs for instructor(s) and on-site coordinator(s). The on line RFC system will post this information automatically from data captured on subsequent pages.

**Maximum Budget Cost:** This is the total of all cost data entered for the course. The system will calculate and post this information automatically. It will also post automatically to the appropriate data field on the face sheet of the RFC application package.

**Course Costs for Training Room Rental and Instructor Travel (applies to budgeted courses only)**

As a general rule, trainers do not need to arrive the night before a training course that begins at 8:00 a.m. the following day. Exceptions include, but are not limited to, severe weather conditions, a one-way drive in excess of 90 minutes, inaccessibility by air, and other reasonable circumstances.

Actual costs of travel may be included for instructors and on-site coordinators in accordance with STC travel and per diem policies as follows:

**General**

The STC Program requires that all travel and per diem costs be documented and kept to a minimum.

**Travel Costs**

Costs for the use of commercial air carriers and private vehicles may be budgeted for instructors and on-site coordinators. Air travel must be coach. Private vehicle use may be budgeted at the per-mile rate established by the Internal Revenue Service for allowable business expenses. Travel must be by the least expensive means.

**Per Diem Costs**

Per Diem may be budgeted for instructors and on-site coordinators as follows:

Lodging Statewide	*\$84.00 plus tax
Breakfast	\$6.00
Lunch	\$10.00
Dinner	\$18.00
Incidentals	\$6.00

\* Note: For the high cost counties specified here, exceptions to the statewide lodging limit may be used:

- Los Angeles and San Diego Counties: \$110.00 plus tax
- Alameda, San Francisco, Santa Clara, and San Mateo Counties: \$140.00 plus tax

Meals may be reimbursed as follows:

**FIRST TRAVEL DAY OF A TRIP:**

- Trip begins at or before 6:00 a.m. - Breakfast may be claimed.
- Trip begins at or before 11:00 a.m. - Lunch may be claimed.
- Trip begins at or before 5:00 p.m. - Dinner may be claimed.

**LAST FRACTIONAL TRAVEL DAY OF A TRIP:**

- Trip ends at or after 8:00 a.m. - Breakfast may be claimed.
- Trip ends at or after 2:00 p.m. - Lunch may be claimed.
- Travel ends at or after 7:00 p.m. - Dinner may be claimed.

**Name:** A separate set of travel costs must be entered for each individual primary instructor and on-site coordinator. When using the on-line system, the instructor's names will appear automatically. If requesting expenses for an on-site coordinator, please enter the information where indicated.

**Number of Full 24 Hour Period Meals and Incidentals:** Based upon the instructor's departure point and the location of the course, determine, and enter the number of full 24 hour periods of per diem that will be required. If less than 24 hours will be required, leave blank and proceed to the next section.

**Additional Meals for Partial 24-Hour Periods:** Data entered under "number of full 24-hour periods" above includes costs for three meals and incidentals. If course related travel is either less than 24 hours, or extends beyond 24 hours into a fractional portion of an additional 24 hours, then costs for one or more additional meals may be claimed.

**Lodging:** Enter the number of nights this staff person will be required to stay in a rented lodging for a single delivery of this course.

**Rate per Night:** Enter the rate per night for lodging that will be charged as part of the course tuition calculation.

**Rental Car Justification:** Cost of car rental will only be authorized if no alternative exists that is less costly. For example, if the instructor is flying to the location of the training site, there is no shuttle service from the airport, and a rental car would be less costly than a taxi, then car rental would be approved.

**Number of Days:** Enter the number of days the rental car will be needed.

**Rate per Day:** Enter the full cost of the rental car (economy or compact) plus tax and fuel per day.

**Private Vehicle Departure and Destination Points:** Enter the departure and destination points for which a private vehicle might be used and mileage reimbursement requested.

**Number of Miles and Rate per Mile:** Enter the estimated total miles for which private vehicle use will be reimbursed and the mileage reimbursement rate. This rate is the per-mile rate established by the Internal Revenue Service for allowable business expenses.

**Air Travel Departure and Destination Points:** Enter the departure and destination points for air travel.

**Airfare:** Enter the estimated cost of airfare (coach).

**Other:** Enter the estimated cost of taxis, tolls, or parking.

**Subtotal and Grand Total:** The on line system will automatically calculate and enter this information.

### **Assurance Statement**

Placing a check mark next to the assurance statement signifies that the training provider will adhere to the STC program policies, procedures, and regulations in course delivery, documentation, and billing; and that all information included in the request for certification is accurate.

### **Agency Sponsorship**

At the conclusion of the on-line application process, training providers will be prompted to select an STC participating agency to review the course for purposes of sponsorship. Once the agency is selected, the entire RFC will be sent to the specified agency for on-line review. When the local agency sponsors the course, it will be automatically forwarded to STC for review and certification. When a local agency sponsors a course, they are formally representing to STC that they:

- ◆ Have thoroughly reviewed the entire RFC for job relevance, quality, accuracy, and cost-effectiveness;
- ◆ Agree with the training provider on both course content and selection of instructor(s);
- ◆ Agree that the line item course budget and tuition cost per participant, if approved, is acceptable (applies to budgeted courses only); and,

- ◆ The course, if approved, could potentially meet the training needs of the agency's eligible staff.

The purpose of the sponsorship process is to:

- ◆ Demonstrate a need for the course;
- ◆ Serve as an initial screening for quality and cost-effectiveness of a proposed course; and,
- ◆ Promote a close working relationship between training providers and departments in developing needed courses.

STC participating agencies acting as their own training provider are not required to fulfill the course sponsorship process.

## **D. Core Course Certifications – Additional Requirements**

The information contained under Section C applies to both annual and core course certifications. Because STC specifies the curriculum and testing requirements for core courses, prospective or current core training providers should review the STC document entitled *Handbook for Presenting Core Training Courses*, as well as the core course training manual for their intended audience (e.g., probation officer, adult corrections officer, or juvenile corrections officer).

## **E. Recertification of Courses**

Because STC course certification is valid for one year, a provider must apply for recertification annually if the course will be offered again in the future. The request for recertification is submitted on line, and should be submitted prior to course expiration. If the certification is not renewed within 90 days following the expiration date, the course is placed in inactive status and will not be accessible through the RFC system.

In preparing a request for recertification, it is important that providers perform a comprehensive review of the course, as certified, and update as needed. Changes in the law, correctional practices, or course costs may sometimes trigger subtle changes in course delivery that need to be documented as part of the recertification process.

## **F. Deletion of Inactive Courses**

Courses that have not been presented during two consecutive annual certifications will be deleted from STC's active course database.

## **VI. PROCESSING OF REQUESTS FOR CERTIFICATION**

STC staff review all RFC submissions. Training providers are responsible for ensuring that the RFC is timely, complete, and in compliance with STC policies and procedures.

The first step in the review process is a screening of the RFC to ensure that all sections of the RFC are included and complete and that all deadlines have been met. The next step is to subject the RFC to a qualitative review. The following is a description of that process:

### **A. Qualitative Review**

STC staff review the RFC to determine whether or not it meets the criteria for certification, and to ensure that the proposed training is job-related.

#### **1. Job Relevancy**

##### **A) Annual Training Courses**

The job-relatedness of training is most easily established with training that addresses the performance of specific tasks, duties, or job functions of local corrections personnel. As course presentations begin to focus more on knowledge, and less on skills development, job-relatedness becomes more difficult to establish. Similarly, as course presentations focus more on general and/or personal skill, as opposed to skills specifically tied to tasks performed by local corrections personnel, establishing job-relatedness becomes even more difficult.

Listed below are the types of annual training courses that might be presented for certification. They are listed in order of ease with which the job-relatedness of the training can be established:

- 1) Training that specifically addresses the performance of tasks, duties or job functions. This type of training teaches employees how to do the job.
- 2) Training that provides requisite background knowledge or skill for the performance of important job tasks (e.g., legal update information, principles of psychology or chemistry as it relates to illegal drugs).
- 3) Training that puts the job, or part of the job, into a useful conceptual framework (e.g., role within the criminal justice system, the history of an important job-related issue).
- 4) Training that addresses correctional field issues (e.g., possible changes in the correctional system, future budgetary constraints).

- 5) Training that addresses general professional development (e.g., managerial strategies, interpersonal relations in the work setting).
- 6) Training that addresses general personal skills (e.g., time management).

## **B) Entry-Level Core Training Courses**

The instructional objectives for entry-level core training courses have been empirically established and specified by STC. STC staff will review the RFC to ensure that the provider has included the appropriate instructional objectives and assurance statement as part of the RFC.

## **C) Core Training Courses Other Than Entry-Level**

Rationally based subject matter outlines for all non entry-level core courses (e.g., supervisor, manager, and administrator core) have been established by STC. Any RFC for non entry-level core training will be reviewed to ensure that all the subject matter areas are included.

Any *Request for Certification* that fails to adhere to STC policies and procedures, does not propose training that is clearly job-related, or fails to meet the other criteria for certification, will not be certified.

Any RFC that is denied may be resubmitted with the necessary additions, modifications, or changes. The resubmission must be received by STC not less than 20 calendar days in advance of the first scheduled session.

## VII. BILLING COMPUTATION

(Applies to budgeted courses only)

Upon completion of an STC certified course, the provider is to calculate the actual cost of the course in order to compute the actual billable tuition per participant. Providers may use the optional invoice for tuition to bill departments (see Appendix A) or use an invoice format compatible with their accounting system. Either invoice must include the 13 data elements used in the invoice in Appendix A.

The following procedures must be used to compute the cost of the course and the tuition per participant. When documentation is required, the documentation must be in accordance with generally accepted accounting procedures.

### A. Staff

#### 1. Instructor and On-Site Coordinator

The actual cost of instruction and on-site coordination, not to exceed the amounts approved in the RFC may be charged. This amount must be the same as your actual payment to the instructor, not to exceed the approved line item. Documentation is required.

#### 2. Clerical

The amount approved in the RFC for clerical support is based upon an established formula, and may be charged without additional documentation.

### B. Course Supplies and Operating Expenses

#### 1. Course Supplies/Handouts

The amount approved in the RFC is based upon an established formula and may be charged without additional documentation.

#### 2. Training Aids/Equipment Rental

Actual costs for equipment, video clips, or other rental equipment, may be charged, not to exceed the amount approved in the RFC. Documentation is required.

#### 3. Costs for Consumables

Actual costs for course consumables may be charged, not to exceed the amount approved in the RFC. Documentation is required. STC approved costs for testing in core courses may be included under this category. The amount approved in the RFC is based on an established formula and may be

charged without additional documentation (see *Handbook for Presenting Core Training Courses*).

### **C. Indirect Costs**

Providers may charge up to 25 percent of the total costs for staff, supplies, and operating expenses as indirect costs, not to exceed the dollar amount in the approved RFC. Documentation for indirect costs is not required.

### **D. Training Room Rental**

The actual cost for Training Room Rental, not to exceed the amount approved in the RFC, may be charged. Documentation is required.

### **E. Course Staff Travel (instructor and on-site coordinator)**

The actual cost for instructor and on-site coordinator travel and per diem, not to exceed the amount approved in the RFC, may be charged in accordance with STC Travel Policies (see Section V). Documentation is required.

### **F. Billing**

#### **1. Private Provider Billing Calculation**

To calculate tuition per participant, first determine the actual costs of the course, not to exceed each approved maximum line-item amount. Then divide total course costs by the approved minimum class size to determine the tuition per participant. The total revenue a training provider may collect for a course is limited to this tuition amount multiplied by the actual number of participants up to the approved maximum class size. This includes all participants in a course paying tuition from STC or non-STC funds.

If the class size exceeds the approved maximum class size, the tuition charged must be reduced proportionately for all participants.

As an illustration, the following is an example of how to calculate the tuition to be billed:

Course Budget Line Item	Billing Computation Method	Maximum Approved RFC	Actual Cost
<b>Staff</b>			
Instructors	Actual	\$480.00	\$400.00
On-Site Coordinator	Actual	0	0
Clerical Support	Approved Formula	\$120.00	\$120.00
<b>Supplies and Operating Expenses</b>			
Course Supplies/Handouts	Approved Formula	\$175.00	\$175.00
Training Aids/Equipment Rental	Actual	\$110.00	\$98.00
Costs for Consumables	Actual	\$45.00	\$35.00
Indirect Costs - Up to 25% of the total for staff, supplies, operating expenses		<b>\$232.50</b>	<b>\$207.00</b>
<b>Training Room Rental</b>	Actual	\$125.00	\$100.00
<b>Course Staff Travel</b>	Actual	\$356.00	\$325.00
	<b>TOTAL</b>	<b>\$1,643.50</b>	<b>\$1,460.00</b> (use this figure)

Actual Course Cost \$1,460.00 divided by the Approved Minimum Class Size 16 = Tuition per Trainee \$91.25 for billing.

Approved Maximum Class Size 20 x Tuition per Person \$91.25 = \$1,825.00 which is the maximum private provider billable amount if 20 persons attended.

If the class size in this example exceeded 20, the total amount of tuition collected from STC and non-STC participants could not exceed \$1,825.00 and the tuition per person would be reduced accordingly.

If less than 20 attended, the maximum billable would be \$91.25 x actual number of participants. So, if only 12 people attended, the billable amount would be \$91.25 x 12 = \$1,095.00.

When a course offering exceeds the approved maximum class size, training providers may additionally charge actual costs for those items used per trainee (e.g., canisters, bandages, ammunition etc.). These costs cannot exceed the approved cost per participant in the original certification request. The actual costs of such items must be documented.

## 2. Departmental Training Provider Billing Calculation

Departmental training providers may only collect tuition from the actual number of STC eligible trainees. The total tuition collected may not exceed the actual costs of presenting the course. Using the billing example under [Section F](#), the

most a departmental training provider could recover for the course would be **\$1,460.00** (This represents the actual cost of presenting the course).

Departmental training providers may charge tuition costs to another department when the other department's STC eligible staff attends certified training courses. This decision is left to the discretion of participating departments. However, if departmental training providers charge tuition to other departments for a course, then the revenue must be used to abate the actual cost of course delivery.

### **3. Fiscal Risks and Departments Responsibility to Private Providers**

The fiscal risk that a private provider takes is directly related to the actual number of participants that attend. If less than the approved minimum class size attends, the provider may not be able to cover the related costs. STC policy requires departments to notify the training provider of canceled enrollments a minimum of 15 calendar days prior to the course. If a department has enrolled participants in a certified course and these participants do not attend the course, the provider may charge the department the cost of that tuition.

If an emergency occurs which prevents a participant from attending, the training manager should advise the provider immediately.

When departments enroll participants in an STC certified course, they incur an obligation to the provider. The terms and conditions of this obligation are negotiable between the department and the provider. The provider may require written confirmation of enrollment. Also, a provider may require a nonrefundable deposit that will be applied to the tuition costs for those who attend the course. However, this deposit cannot exceed the maximum course cost.

## **G. Invoice for Tuition**

An itemized statement must be used when billing for tuition. Providers may use any format compatible with their accounting system but it must include all of the 13 elements of the sample invoice in Appendix A of this manual. All invoices must be signed by an authorized representative of the provider and bear the name of the provider as it is listed by STC.

## VIII. NON-CLASSROOM COSTS

### A. Application

On rare occasions, there may be a need for approval of costs incurred outside of the actual classroom setting. This may occur in a very specialized course that addresses unusual circumstances and results in a one-time only course offering. An example may be the need to interview all participants, analyze and assemble the data, and present a report prior to the course. In these situations the training provider, prior to submission of the RFC, should contact the STC Field Representative. The STC Field Representative will confer with the provider and the department requesting the training to discuss the course and the need for these costs. Any non-classroom costs that are incurred prior to approval of the RFC will not be allowed.

If non-classroom hour costs are requested, the following fiscal limits are applicable:

- ◆ A maximum of \$60.00 per hour for non-classroom instructor costs may be charged;
- ◆ The number of non-classroom instructor hours charged may not exceed the actual number of certified classroom hours;
- ◆ Non-classroom hourly costs cannot be included as a factor when computing indirect costs; and/or,
- ◆ STC may approve actual travel and per diem costs directly associated with non-classroom activity. If approved, these costs may be charged consistent with STC travel policies (refer to Section V).

The costs associated with non-classroom work (instructor's fee, travel, and per diem) should be detailed in a letter (hard-copy) submitted at the same time as the RFC. These costs should not be added to the course costs nor calculated as part of the tuition fee. The costs will be considered separately.

The letter must include written justification for these costs, co-signed by the provider and the departmental administrator. It should address the following issues:

- ◆ The one-time, unique nature of the course;
- ◆ The need for the non-classroom expenses in relationship to the course to be provided;
- ◆ The expected organizational outcomes; and
- ◆ The work to be done outside of the classroom, with a work plan and time schedule detailed hour-for-hour.

The time involved in any non-classroom activity will not be credited to participants in the computation of the total certified course.

## **B. Billing**

Any invoice for non-classroom hours must show the:

- ◆ Total maximum non-classroom hour costs as approved by STC;
- ◆ Total actual costs incurred for non-classroom activity (actual costs may not exceed approved costs); and,
- ◆ Cost per participant (this is derived by dividing the actual costs incurred for non-classroom activities by the actual number of participants).

Documentation is required for non-classroom hour instructor costs, travel, and per diem.

## **IX. RECORD KEEPING REQUIREMENTS**

### **A. Course Records**

#### **1. Required for Departments**

Not more than 30 days following delivery of the course, the provider must send a copy of the typed or printed course roster signed by the trainees, and the course certificate(s) if any are issued, to the appropriate participating department's training manager. If a test is administered, the test results for each participant should also be sent to the participant's department. Providers should mail these records to departments with an invoice for tuition.

#### **2. Required for STC Program**

Not more than 30 days following delivery of the course, the provider must send the following documents to STC:

- The original typed or printed course roster signed by each trainee, and by the training provider.

### **B. Accounting Records (applies to budgeted courses only)**

A provider must maintain adequate accounting records in accordance with generally accepted accounting principles. The records must provide an audit trail that will permit tracing of transactions from support documentation to accounting records, financial reports, and billings.

Documentation is required for:

- The actual cost of instruction and on-site coordination;
- The actual costs of training aids/equipment rental, and one-time costs;
- Training room rental;
- Instructor and on-site coordinator travel and per diem; and,
- Non-classroom costs, if requested by the provider and approved by STC

APPENDIX A

STANDARDS AND TRAINING FOR CORRECTIONS PROGRAM  
INVOICE FOR TUITION

See the *Policies and Procedures Manual for Training Providers, Billing Computation, Section 7.*

- 1. Course Title:
- 2. Certification Number:
- 3. Date Completed:
- 4. Location:
- 5. Approved Min/Max Class Size: /
- 6. Maximum Approved Tuition: \$  
(as certified)
- 7. Actual Allowable Course Costs: \$
- 8. Actual Allowable Room Rental/Course Travel Costs: \$
- 9. Actual Total Budget Costs: **TOTAL** \$
- 10. Total number of participants charged for this course is:
- 11. Tuition per person (#9 divided by minimum class size): \$ \*
- 12. Number of participants from department:
- 13. Total tuition cost for department: \$

Please remit the payment listed in Item 13 to the address indicated below

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Training Provider's Name

Address

City State Zip

( )  
Telephone Number

\*If class size exceeds the approved maximum class size (#5), the billable tuition per trainee (#11) is computed by the following formula:

$$\begin{array}{r}
 \text{Tuition Per Person (\#11)} \\
 \times \\
 \text{Approved Maximum Class Size (\#5)} \\
 \div \\
 \text{Number of Participants Charged (\#10)} \\
 = \\
 \text{Billable Tuition Per Trainee}
 \end{array}$$