



# **POLICY AND PROCEDURE MANUAL FOR PARTICIPATING AGENCIES**

**EFFECTIVE FEBRUARY 2021**



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## **I. INTRODUCTION**

### **A. Purpose of the Manual**

The purpose of this manual is to provide policies and procedures to assist agencies in the administration of their STC training programs.

### **B. The Board of State and Community Corrections and the Standards and Training for Corrections Program**

The Board of State and Community Corrections (BSCC) was established on July 1, 2012 and was formerly known as the Corrections Standards Authority (CSA), and prior to 2005, as the Board of Corrections (BOC). The BOC was created in 1944 to provide leadership and coordination in local California corrections. The BOC set minimum standards for local adult detention facilities and operations and had statutory responsibility for establishing selection criteria and training standards for local corrections personnel (Sheriff, Probation, Police, and Departments of Correction). These responsibilities continue under the BSCC and are defined in California Penal Code Sections 6024 through 6036.

The Standards and Training for Corrections (STC) program, established in 1980, is a division of the BSCC. The purpose of the STC program is to raise the level of competence of the state's local corrections and probation personnel. The program accomplishes this by developing selection and training standards, providing a course certification and delivery system, technical assistance and support, and training to local corrections agencies statewide. In addition, participating agencies 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 personnel and maintain staff proficiency through job-related skills training. Job relatedness is defined as a demonstrable relationship between the course subject matter and the job being performed.

STC is charged with the following responsibilities:

- assisting local corrections agencies in selecting qualified persons for employment and maintaining staff proficiency;
- promoting development of an efficient and effective training delivery system;
- providing technical assistance and support to all participating agencies and providers; and,

- developing selection and training standards for local corrections personnel.

Counties and cities participate in the STC program voluntarily. Through their participation, agencies receive STC support and subvention funding, and agree to follow all program regulations, policies, and procedures. Local corrections agencies participating in the STC program may use this state funding to help pay course tuition costs in addition to other allowable expenses.

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).

### **C. Benefits of Program Participation**

Local agencies that choose to participate in the STC program receive a wide variety of benefits. These include:

- Funding – Participating agencies receive funding administered by STC to apply toward their selection and training costs.
- Selection and Training Standards – Participating agencies receive access to validated selection and training tools designed specifically for the local job and made available at little or no cost. These standards, developed in accordance with the Federal Uniform Guidelines on Employee Selection Procedures and related professional standards, also provide legal defensibility in the event of litigation.
- Course Certification System – Participating agencies have access to a catalog of corrections training courses that have been certified to a professional standard.
- STC-Delivered Training – Participating agencies have access to training designed and delivered free of charge to support their training programs.
- Technical Assistance and Support – Participating agencies are assigned a field representative to provide ongoing program review and support.

### **D. General Fund**

The General Fund provides funding to local corrections agencies that choose to participate in the STC program. The local assistance funds are intended to assist participating agencies with meeting STC standards and program goals and are not intended to fully fund the selection and training programs of local agencies.

The STC program is responsible for administration of the General Fund. STC distributes local assistance subvention funding through quarterly payments to participating local agencies based on the number of full-time or part-time eligible corrections/probation positions to ensure that available funds are fairly and equitably



distributed. The distribution formula is calculated each year after receipt of the Annual Training Plans (ATPs) from each participating agency (see Section V, Annual Training Plan). Participating agencies use their STC allocation for four basic expenditure categories: tuition, per diem, travel, and staff replacement costs for trainees (see Section VI, Funding). Agencies have discretion over how they spend their allocation within these categories. The flexibility afforded participating agencies in making these allocation decisions enhances the effectiveness of their local training efforts.

#### **E. Program Enrollment**

For agencies participating in the STC program for the first time or after a break in participation, it is necessary to have a county or city ordinance or resolution authorizing participation on file with the BSCC. Under Penal Code Section 6041, the language of the ordinance or resolution must indicate that while receiving state aid, the county or city will adhere to the standards for selection and training established by the BSCC. One ordinance may cover a single participating agency or all participating agencies within the county or city. The ordinance or resolution must remain in force during the entire time a city or county is participating in the STC program.

One certified copy of the approved ordinance or resolution must be forwarded by mail to the BSCC along with the original ATP (filed on the BSCC website). A certified copy is one that shows a current year and date stamp. It must be signed by the county or city clerk as attesting that it is a correct copy of the original document. To continue participation in the STC program after the initial enrollment, agencies must submit an ATP by April 15<sup>th</sup> of each year (see Section V, Annual Training Plan).

#### **F. Program Withdrawal**

Withdrawal from the STC program can occur at any time during the year. A County Board of Supervisors, City Council, or agency administrator may withdraw an agency from the STC program by submitting to the BSCC's Deputy Director, STC division, written notice stating the decision to withdraw.

## **II. SCOPE OF PROGRAM**

### **A. Determination of Eligibility**

#### **1. Eligible Agencies**

Agencies eligible for participation in STC include those of any county, city and county, or city defined as:

- county probation departments;
- county sheriff's departments operating jails designated as Types I, II, III, or IV by Title 15 CCR;
- county departments of correction operating jails designated as Types I, II, III, or IV by Title 15 CCR; and,
- city police departments operating jails designated as Types I, II, III, or IV by Title 15 CCR.

#### **2. Eligible Staff**

Staff participating in the STC program must occupy eligible positions in an agency. Refer to the position allocation schedule adopted by the local governing authority (e.g., City Council or Board of Supervisors) to determine the number of positions. When an on-call employee covers a position for a permanent employee who would normally occupy that position, the on-call employee (not listed in the city or county position allocation schedule) is not eligible to participate in the STC program. However, STC funding may be used to send non-STC eligible staff to attend STC training, provided that the agencies continue to meet the STC program requirements. Non-eligible staff must perform corrections functions or perform duties supporting operation of the agency's STC program.

There are two types of staff eligible to participate in STC: "full" participants and "limited" participants. Agencies that choose to participate in STC must include the positions of all full and limited participants. Exceptions include sheriff, undersheriff, police chief, and assistant police chief, whose participation is optional. Staff eligible to participate in STC must meet the following criteria:

##### **a) Full Participants (Full-Time Employees)**

Full participants (full-time employees) are employed full-time occupying eligible positions authorized by the County Board of Supervisors or City Council and have as a primary duty the responsibility for the custody and/or correcting behavior of adult or juvenile offenders, and work at least 51 percent of their working hours in this capacity, or have responsibility for supervision, management, or administration of these staff. A full fiscal year

makes up the basis for determining the percentage of work hours devoted to correctional duties.

**b) Full Participants (Regular Part-Time Employees)**

Full participants (regular part-time employees) are employed regular part-time (providing they work at least halftime), occupying eligible positions authorized by the County Board of Supervisors or City Council and have as a primary duty the responsibility for the custody and/or correcting behavior of adult or juvenile offenders, and work at least 51 percent of their working hours in this capacity, or have responsibility for supervision, management, or administration of these staff. A full fiscal year makes up the basis for determining the percentage of work hours devoted to correctional duties.

Part-time employees are required to comply with the same selection and training standards as full-time staff.

**c) Full Participants (Staff Support Employees)**

- 1) Employees in staff or administrative positions outside the corrections career ladder that coordinate STC training or have responsibility for administrative oversight of the STC program within participating agencies may be included as eligible staff, at the discretion of the agency administrator, under either of the following conditions:
  - i. the training planned is proper, relevant, and designed to improve competence in the employees' areas of responsibility within the agency's STC program operation. The training may apply to employees filling positions such as agency training officer and business manager; or,
  - ii. the training planned for the employee is designed to maintain competency in an STC-eligible job classification category held by the employee before assignment to the staff or administrative position. The position must be identified in one of the seven STC program eligible classifications discussed in the definitions under job classifications.
- 2) Eligibility for staff and administrative positions is limited to annual training. There is not a core training requirement. Recommended annual training for training coordinators includes STC's Training Manager Course during their first year of assignment to that role and attendance at the annual STC Training Manager's Seminar.

## **B. Job Classifications**

The following are definitions of the job classifications used by STC. When agencies are unsure about an individual's job classification, it is important to focus on the job function to determine the STC job classification rather than the person's job title. Agencies should use the definitions noted below to determine the appropriate STC job classifications when developing the ATP and managing the training program.

### **1. Administrator**

This is a top-level administrative position in an agency. The position typically includes county sheriff, undersheriff, assistant sheriff, chief deputy or commander in charge of multi-detention facilities, chief probation officer, assistant chief probation officer, county director of corrections, assistant director of corrections, police chief, and assistant police chief.

### **2. Manager**

This is a middle management position above the first supervisory level and below the assistant agency administrative level. The position typically includes titles such as juvenile institutions superintendent, assistant juvenile institutions superintendent, corrections lieutenant, captain, division director, detention facility manager, and probation manager.

### **3. Supervisor**

This is the first supervisory level. This individual plans, assigns, and reviews the work of a group of entry-level or journey-level staff. Titles typically include supervising probation officer, sergeant, and supervising juvenile corrections officer.

### **4. Journey Adult Corrections Officer**

With minimal supervision, the journey adult corrections officer (ACO) in an adult detention facility performs the full range of inmate custody, supervision, and counseling. Incumbents may have lead responsibility and may or may not have peace officer status. Titles typically include corrections officer, custodial officer, and deputy sheriff. (Records clerks, bailiffs, transportation, maintenance, medical, food services, and education/program staff are not covered under this definition.)

### **5. Journey Juvenile Corrections Officer**

With minimal supervision, the journey juvenile corrections officer (JCO) in a juvenile institution performs the full range of custody, supervision, and counseling for juvenile offenders. Incumbents may also have lead responsibility. Titles typically include group counselor, group supervisor, and detention services officer.

(Records clerks, transportation, maintenance, medical, food services, and education/program staff are not covered under this definition.)

#### **6. Journey Probation Officer**

With minimal supervision, the journey probation officer (PO) in a probation department or a correctional services agency performs the full range of juvenile and adult probation assignments. Incumbents may also have lead responsibility. Titles typically include deputy probation officer and senior deputy probation officer.

#### **7. Entry Adult/Juvenile Corrections Officer/Probation Officer**

These positions include individuals who have not completed the BSCC's entry-level standards, including core training. Titles typically include corrections officer I, juvenile corrections officer I, deputy probation officer I, custodial officer I, deputy sheriff, and police officer. (Records clerks, bailiffs, transportation, maintenance, medical, food services, and education/program staff are not covered under this definition.)

### **III. STANDARDS FOR SELECTION**

The BSCC has established minimum selection standards for entry-level positions (ACO, JCO, and PO). Counties and cities participating in the program must comply with these standards (Title 15, Sections 130-133 CCR).

Each county and city is encouraged to exceed the minimum selection standards consistent with the goal of increased competency and fair employment guidelines. Counties and cities need to assess precise methods to achieve or exceed minimum compliance with these standards.

These selection criteria are based on a comprehensive job analysis that is updated periodically to ensure the currency of the standards. The job analysis identifies the core tasks for each of the three positions based on the frequency of each task performed, the criticality of the task, and how common the task is to all the agencies statewide.

The process by which BSCC's selection criteria have been established and maintained complies with the Federal Uniform Guidelines on Employee Selection Procedures and related professional standards.

#### **A. Minimum Selection Standards**

In addition to requirements in Section 830 et seq. of the Penal Code and Section 1029 et seq. of the Government Code, the BSCC standards in Title 15, Sections 130-133 CCR shall apply. The standards for entry-level PO positions, entry-level JCO positions, and entry-level ACO positions shall include but not be limited to the following:

- 1) basic abilities and other characteristics important for successful job performance by passing the BSCC's written examination. An alternative examination may be substituted pursuant to Title 15, Section 131 CCR;
- 2) competence in oral communication as demonstrated in an interview;
- 3) past behavior compatible to job requirements as demonstrated by a background investigation;
- 4) competence in the knowledge, skills, and abilities necessary for entry-level job performance, as demonstrated by successful completion of the required core training curriculum;
- 5) competence in the performance of entry-level duties as demonstrated by successful completion of the employer's probationary period;
- 6) possession of the skills and abilities for the position as demonstrated by meeting the BSCC's current guidelines for vision, hearing, and medical screening; and,

- 7) be at least 18 years of age before appointment.

In administering selection standards, an employing agency should consider whether it is obligated under applicable laws to provide a reasonable accommodation for that individual (Title 15, Section 131 (d) CCR).

## **B. Written Selection Examination Administration**

### **I. Cost**

BSCC has absorbed the substantial cost of developing a written selection examination for three entry-level positions: JCO, ACO, and PO. Each examination is different and based upon a job analysis and other research specific to each classification. There are two versions of the examination; a “paper and pencil” version and an on-line version. While BSCC makes the examination available to all agencies that participate in STC at no cost, the test contractor charges local agency’s fees to set up each test administration, for shipping, and for scoring. Local agencies may proctor test administration themselves or pay the test contractor to perform this activity.

Agencies that use the BSCC’s examination may choose to use a portion of their STC funds for purchasing the examination materials (including shipping and scoring). When STC funds are spent, they should be reported as tuition in the quarterly report to STC. STC funds cannot be used for an alternative written selection examination, including the Peace Officers Standards and Training (POST) selection examination.

### **2. Test Security Agreement**

Agencies using the BSCC’s examination enter into an agreement with the BSCC’s examination contractor. Terms of the agreement include assuming responsibility for test security. Any breach of test security or loss of the examination booklets may result in the county or city being financially liable for the costs for new test development and validation. It may also result in restricted use of the examination under paid proctoring conditions.

It is very important to follow the test administration protocol specified by the BSCC’s testing agent. It is essential that the designated representative of the STC participating agency understand the provisions of the security agreement. Specific instructions on how to appropriately administer and manage examination materials are detailed in BSCC’s Test Administration and Proctor Instructions publication. The Test Administration and Proctor Instructions are provided by the test contractor and are included in each examination order. The test contractor or STC may be contacted for additional information.

### **3. Candidate Orientation Booklets**

STC offers a candidate orientation booklet that is available to prospective job candidates before they take the written selection examination and is specific to each of the entry-level positions. The purpose of the candidate orientation booklet is two-fold. The booklet provides candidates a preview of the types of questions they will be asked on the test. It also serves as a self-selection tool for those candidates who, after reviewing the sample test questions, believe they are not suited for the position and “drop out” before the county or city expends funds screening them. Agencies are encouraged to make the Candidate Orientation Booklet available to job candidates. These are available at the BSCC website.

### **4. Cutoff Scores**

The BSCC’s written selection examinations require the determination of a single cutoff score within a score range for each entry-level position. The decision of which cutoff score to use is made by the agency. The cutoff score can vary from one test administration to another depending on the size of the candidate pool and local needs. The BSCC has established a recommended range of cutoff scores that the hiring agency should review. Setting a cutoff score below the minimum recommended point may result in less satisfactory applicants. Setting the cutoff too high may result in unfair hiring practices. STC cannot provide support in the event a test result is challenged if an agency sets a cutoff scores outside the recommended range.

For more information on test scoring, please refer to the BSCC’s User Manual publication (there is a separate manual for each of the three entry-level positions).



## **5. Alternative Written Selection Examination**

Agencies have the option to choose an alternative examination to the BSCC examination. Those agencies choosing an alternative written examination pursuant to Title 15 CCR, Section 131 (c) must:

- 1) ensure the examination measures those knowledge, skills, abilities, and other personal characteristics identified by the BSCC as necessary for successful job performance;
- 2) validate that the examination tests for these knowledge, skills, abilities, and other personal characteristics; and,
- 3) verify that the examination meets the fairness doctrines of the Federal Uniform Guidelines on Employee Selection Procedures.

The BSCC will neither review the alternative examination for validity, fairness, or adverse impact, nor defend any challenges to the selected alternative examination.

Agencies employing deputy sheriffs or police officers who are recruited for law enforcement duties, but who are temporarily assigned to ACO/jail duties, may use the POST selection examination process.

## **C. Oral Interviews**

All ACO, JCO, and PO candidates must demonstrate competence in oral communication through an interview. Individual agencies are responsible for administering interviews. The structure, content, and scoring procedures for interviews are left to each agency's discretion.

## **D. Background Investigation**

Agencies are required to conduct a background investigation on all ACO, JCO, and PO candidates prior to hire. The investigation should determine if the candidate is suitable for the job. Agencies are responsible determining the structure and format of the investigation and setting the criteria to best fit their particular needs.

## **E. Completion of Core Training**

Entry-level staff must successfully complete the core training requirements for the entry-level positions (ACO, JCO, and PO) within 12 months of appointment. However, agencies are encouraged to have staff complete the training prior to an actual work assignment. STC core training requirements are further detailed in Section IV, Standards for Training, of this manual.

## **F. Probationary Period**

ACO, JCO, and PO candidates must demonstrate competence in the performance of entry-level job duties through the completion of the agency's probationary period. The length of the probationary period is set at the agency's discretion.

## **G. Vision, Hearing, and Medical Screening**

### **1. Vision**

ACO, JCO, and PO candidates must pass a vision screening administered by a licensed physician. STC provides recommended standards for vision screening administration; however, agencies have the option of setting screening requirements that are suited to their particular needs. STC's recommended vision screening standards may be found on the BSCC website.

### **2. Hearing**

ACO, JCO, and PO candidates must pass a hearing screening. STC provides recommended standards for hearing screening administration; however, agencies have the option of setting screening requirements that are suited to their particular needs. STC's recommended hearing screening standards for ACO and JCO candidates, along with the corresponding research, may be found on the BSCC website.

### **3. Medical**

ACO, JCO, and PO candidates must pass a medical screening administered by a licensed physician. STC has not established any minimum criteria for passing the medical screening; however STC does provide recommendations of what a candidate should be able to perform in order to carry out the duties of the classification. Examining physicians are to use professional judgment when evaluating each candidate's medical ability to perform on the job. STC's recommended medical screening standards may be found on the BSCC website.

### **4. Reasonable Accommodation**

If a candidate does not meet one or more of the minimum vision, hearing, or medical standards, an agency may decide to employ a candidate, allowing for reasonable accommodation to be made to perform the job duties of the classification. This, however, is up to agency discretion and should be evaluated on a case-by-case basis.

## **H. Age Requirement**

ACO, JCO, and PO candidates must be at least 18 years of age prior to appointment with a local agency.

## **IV. STANDARDS FOR TRAINING**

The BSCC has established minimum training standards for local corrections staff. Counties and cities participating in STC must comply with these standards (Title 15 CCR, Sections 169-185).

There are two categories of courses certified by STC: core training and annual training. The training standards listed below are mandatory for eligible staff employed by participating agencies:

### **A. Core Training**

The BSCC has designed six full core courses and six transfer core courses to provide the core knowledge and skills needed to be successful at entry-level, supervisor, and manager/administrator positions. These courses are referred to as “core” courses and are described in greater detail later in this manual. Each core course includes a prescribed course outline and minimum number of hours. The entry-level courses are prescribed in greater detail with specific subject matter and performance objectives that must be met.

The entry-level core courses contain subject matter that directly relates to the performance of job tasks as established through job analysis. Each is designed as a pre-service training model. Although standards allow up to one year to complete core courses, participating agencies are encouraged to have eligible staff complete this training before an actual work assignment.

The core courses consist of modules that are specific in content and time allocated to the training subjects. The skills taught in each module are critical to being able to perform job tasks. Any performance objectives missed must be completed before a trainee will be deemed to have satisfactorily completed core training. One of the selection standards for line staff in moving from entry-level to journey-level status is the successful completion of core training. Successful completion of core training requires attending the requisite amount of time in each included module and successful demonstration of mastery of the material by achieving a passing score on each of the required tests. Therefore, core training providers must provide core course test results to the employer as well as STC.

#### **I. Special Considerations for Agencies Related to Core Training**

The physical tasks benchmark minimums in the core course are translations of what research has shown to be the typical minimum performance levels found across the full range of agencies participating in the STC program. Thus, by meeting the

physical tasks benchmark minimums, trainees demonstrate that they are able to meet typical statewide minimum requirements.

## **2. Core Enrollment – Agency’s Role**

Prior to enrolling a trainee in a core course, an agency should conduct a medical screening by an examining physician who is familiar with the types of activities the trainee will be engaged in during the course to ensure the candidate is physically able to perform the required training either with or without reasonable accommodation as determined by the hiring agency.

The employing agency should make sure each trainee who participates in a core course has been given a proper orientation to the training several weeks prior to course attendance. This includes advising the trainee that exercise clothing and shoes will be required during the course, as well as explaining the agency’s expectations regarding participation. Agencies may find it helpful to provide each trainee with sections of the physical tasks training manual that pertain to the specific activities the trainee will be performing during the course, if applicable.

Agencies that use external providers for core training should make every effort to familiarize themselves with the provider’s approach to physical tasks training. This might include an on-site visit to the course to observe the training. As with any aspect of the core course, agencies should maintain regular and clear communication with the provider as to expectations and trainee performance while the course is in progress.

## **B. Core Training Standards**

The BSCC has identified the following six training courses to fulfill the core training requirements:

### **1. Probation Officer Core Course** (Title 15, Section 173 CCR)

In addition to cardiopulmonary resuscitation (CPR), as required by the local Emergency Medical Services (EMS) authority, the Probation Officer Core Course consists of a minimum of 189 hours of instruction in specific performance/instructional objectives as contained in the *Probation Officer Core Course Manual*. 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. Trainees who have successfully completed CPR and are currently certified do not need to repeat this subject.

**2. Juvenile Corrections Officer Core Course** (Title 15, Section 176 CCR)

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 as contained in the *Juvenile Corrections Officer Core Course* manual. 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 JCO.

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

**3. Adult Corrections Officer Core Course** (Title 15, Section 179 CCR)

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 as contained in the *Adult Corrections Officer Core Course* manual. 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 ACO.

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

**4. Adult Corrections Officer Supplemental Core Course** (Title 15, Section 180 CCR)

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 ACO who has successfully completed the California POST Basic Academy.

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 ACO.

**5. Supervisor Core Course** (Title 15, Section 181 CCR)

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

Satisfactory completion of the POST Supervisory Course also satisfies the core supervisory training requirement for STC.

6. **Manager/Administrator Core Course** (Title 15, Section 182 CCR)

The Manager/Administrator Core Course consists of a minimum of 80 hours of instruction to be completed in the first year of job assignment as a manager or administrator in a jail (adult institution), juvenile institution or probation department. Eighty hours of instruction consists of prescribed management topics relevant to local correctional management and administration.

The POST Management Course or the POST Executive Development Course may be substituted for the Manager/Administrator Core Course for adult institution (jails) managers and administrators.

In cases where an individual promoted to a manager or administrator position has had prior training that meets or exceeds the Manager/Administrator Core Course requirements, the agency administrator may send a letter to STC requesting a finding of training equivalency. The letter must include the topical details of the training and the number of hours completed. If approved, the finding of equivalency will be transmitted to the agency in a letter from the deputy director of STC.

The BSCC has identified the following six transfer academies to meet the core training requirements for entry-level staff who are transferring from another corrections classification (JCO, PO, ACO) AND have completed the core training for that classification.

1. **Juvenile Corrections Officer to Probation Officer Transfer Academy** (Title 15, Section 173.1 CCR)

The juvenile corrections officer to probation officer transfer academy consists of 71 hours of instruction in specific performance objectives as contained in the *JCO to PO Transfer Academy* manual. Transferring staff must successfully complete these course objectives as demonstrated by satisfactory level of proficiency on relevant achievement tests. Transfer academy shall be completed in the first year of employment in the Probation Officer classification and is only available to staff who have successfully completed a full Juvenile Corrections Officer core course.

2. **Adult Corrections Officer to Probation Officer Transfer Academy** (Title 15, Section 173.2 CCR)

The adult corrections officer to probation officer transfer academy consists of 76 hours of instruction in specific performance objectives as contained in the *ACO to PO Transfer Academy* manual. Transferring staff must successfully complete these course objectives as demonstrated by satisfactory level of proficiency on relevant achievement tests. Transfer academy shall be completed in the first year of employment in the Probation Officer classification and is only available to staff who have successfully completed a full Adult Corrections Officer core course.

3. **Probation Officer to Juvenile Corrections Officer Transfer Academy** (Title 15, Section 176.1 CCR)

The probation officer to juvenile corrections officer transfer academy consists of a minimum of 59 hours of instruction in specific performance objectives as contained in the *PO to JCO Transfer Academy* manual. Transferring staff must successfully complete these course objectives as demonstrated by satisfactory level of proficiency on relevant achievement tests. Transfer academy shall be completed in the first year of employment in the Juvenile Corrections Officer classification and is only available to staff who have successfully completed a full Probation Officer core course.

4. **Adult Corrections Officer to Juvenile Corrections Officer Transfer Academy** (Title 15, Section 176.2 CCR)

The adult corrections officer to juvenile corrections officer transfer academy consists of a minimum of 10 hours of on-the-job training in specific performance objectives as contained in the *ACO to JCO Transfer Academy* manual. Transferring staff must successfully complete these course objectives as demonstrated by satisfactory level of proficiency on relevant achievement tests. Transfer academy shall be completed in the first year of employment in the Juvenile Corrections Officer classification and is only available to staff who have successfully completed a full Adult Corrections Officer core course.

5. **Probation Officer to Adult Corrections Officer Transfer Academy** (Title 15, Section 179.1 CCR)

The probation officer to adult corrections officer transfer academy consists of a minimum of 63 hours of instruction in specific performance objectives as contained in the *PO to ACO Transfer Academy* manual. Transferring staff must successfully complete these course objectives as demonstrated by satisfactory level of proficiency on relevant achievement tests. Transfer academy shall be



completed in the first year of employment in the Adult Corrections Officer classification and is only available to staff who have successfully completed a full Probation Officer core course.

6. **Juvenile Corrections Officer to Adult Corrections Officer Transfer Academy**  
(Title 15, Section 179.2 CCR)

The juvenile corrections officer to adult corrections officer transfer academy consists of a minimum of 8 hours of on-the-job training in specific performance objectives as contained in the *JCO to ACO Transfer Academy* manual. Transferring staff must successfully complete these course objectives as demonstrated by satisfactory level of proficiency on relevant achievement tests. Transfer academy shall be completed in the first year of employment in the Adult Corrections Officer classification and is only available to staff who have successfully completed a full Juvenile Corrections Officer core course.

### **C. Core Training Reinforcement**

It is important for agencies to reinforce the core training that an employee receives. BSCC has developed on the job training tools to assist supervisors with reinforcing core training. The tools were designed to bridge the gap between classroom training and on-the-job performance and are available on the BSCC web site.

### **D. Annual Training Standards**

Annual training is mandatory for all STC-eligible staff who have completed core training. Annual training content is not prescribed by STC. It can be 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 following minimum number of hours of job relevant 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 or adult institutions may only need to comply with a minimum of 24 annual training hours per year if the participating agency has been granted a waiver by the BSCC board.

#### **E. Carotid Hold/Choke Hold Prohibition**

In accordance with state law prohibiting the use of the carotid control and choke holds, STC will not certify any course (annual or core) that includes training on these holds. Carotid control hold and choke hold training shall not be included in STC certification requests.

## **V. ANNUAL TRAINING PLAN**

### **A. Purpose**

The ATP is a county's or city's application to participate in the STC program. It enables an agency to calculate the minimum training requirements and the amount of eligible state subvention. The ATP is filed annually on-line through the BSCC website by each city or county agency applying to participate in the STC program.

### **B. Requirements**

The plan must be submitted on or before April 15<sup>th</sup> for participation in the next training year. To complete the ATP, an agency identifies the number of STC-eligible positions, and the number of expected new hires and/or promotions. The submitted information determines a county's or city's eligibility for funding and the number of training hours required to meet minimum standards.

When preparing the ATP, the estimate of STC-eligible positions should be based upon the presumption that all requested positions will be approved by the governing authority. A modification to the ATP may be filed later in the year if the total number of eligible positions change after local budgets are finalized.

The face sheet/assurance statement section of the ATP must be printed, signed by the local agency administrator, and mailed to the BSCC. By signing the assurance statement, the administrator certifies that the local agency will adhere to the regulations, policies, and procedures of the STC program.

### **C. Modifications to the Annual Training Plan**

If approved eligible positions change from the projections in the approved ATP, it is the agency's responsibility to file a modified ATP adjusting the total number of STC eligible positions. Modified ATPs must be filed any time before March 31<sup>st</sup> during the fiscal year. Modifications are also filed on-line on the BSCC website. Modifications must be followed up by the assurance statement signed by the agency administrator. Modifications requiring additional funding are subject to the availability of STC funds. Agencies should consult with their assigned field representative prior to filing a modified ATP.

## **VI. FUNDING**

### **A. Allocation of Funds**

Funds available for allocation to counties and cities shall be determined by the BSCC and are based on the following:

- 1) the amount of funds appropriated by the legislature for local training for the fiscal year;
- 2) the number of annual eligible staff positions;
- 3) the number of entry-level, supervisor, manager, and administrator core eligible staff positions;
- 4) the number of core positions as they receive a 50 percent greater amount than annual eligible staff positions; and,
- 5) the requirement of a prudent contingency fund.

### **B. Disbursement of Funds**

Disbursements are made quarterly by the State Controller's Office. One warrant will be issued to each county or city. All participating agencies within a county or city shall select one person identified as the disbursement coordinator who will receive the warrant.

### **C. Separate Account**

Each participating county or city must establish a separate account for STC funds. This may be a separate account within a Special Revenue Fund, a Trust Account, or a Trust Fund. This account/fund must be established according to existing county or city auditor-controller/fiscal officer policies and procedures.

### **D. Budget Categories**

STC funds may only be spent for costs associated with RFC courses in the following four budget categories:

- 1) replacement;
- 2) travel;
- 3) per diem; and,
- 4) tuition.

The total subvention expenditure cannot exceed the total approved subvention amount for the entire fiscal year. The accounting records of participating agencies in the STC program must be set up to collect and report information in these four budget

categories. Only the expenditure of STC funds should be reported on the Annual Financial Statement (AFS). The expenditure of local funds cannot be reported on the AFS.

## **I. Replacement Costs**

An agency may use funds to pay the associated costs of staff who attend training on regularly scheduled time off or who replace employees attending training. Eligible staff attending RFC courses may be replaced on their shift, and the actual cost of that replacement is an allowable charge. The replacement's sole duties must be the job assignment of the person replaced. The actual cost of the person replacing the trainee may include salary, benefits, overtime, and shift differentials. STC funds cannot be used to pay the salaries, benefits, overtime, or shift differentials of the trainees, unless they attended training on regularly scheduled time off (e.g., jail or juvenile hall staff may be paid from STC funds to attend training on days they would not normally work). STC funds cannot be used for the replacement of instructors.

### **a) Criteria for Replacement**

The staff replacement criteria are primarily intended to apply to eligible staff assigned to juvenile and adult institution fixed post positions where replacement is necessary.

Eligible staff attending STC-certified RFC courses may be replaced under the following circumstances:

- training is scheduled on the same shift, the same day;
- training is scheduled on another shift, the same day;
- training is scheduled on days for which the trainee would have normally been scheduled to work, but the work schedule was modified to allow attendance at training; or,
- training is scheduled on the trainee's day off and they are paid overtime for the hours they attended training.

The travel time of the person attending training is allowable in calculating replacement time, if the county or city policy normally allows for compensation of the trainee's travel time. The total replacement hours cannot exceed the actual classroom hours attended plus reasonable travel time.

### **b) Replacement Record Keeping**

Replacement documentation must clearly indicate that all costs charged are for actual replacement costs incurred as a direct result of staff attendance at

STC-certified RFC courses. The appropriate source documents must be present to maintain the necessary audit trail.

## **2. Trainee Travel and Per Diem Costs**

Participating agencies may charge travel and per diem costs of trainees to attend RFC training under their county and city travel policy.

## **3. Tuition**

Participating agencies may use STC funds to pay tuition for attendance at RFC certified courses. Tuition is the STC-authorized amount charged by the training provider for trainees attending STC annual or core courses. Tuition does not include registration fees that may be charged by a training provider. Registration fees are typically associated with conferences, and are designed to cover costs other than training delivery, and cannot be paid with STC funds.

## **E. Costs Overlapping Two Fiscal Years**

All approved STC costs (replacement, tuition, travel, and per diem) associated with the delivery of STC-certified courses that overlap fiscal years are to be charged on a pro-rata basis to each fiscal year based on the training that actually occurred in the year.

## **F. Using STC Funds for Training Purchases**

At the end of the fiscal year and after meeting all of its training obligations, an agency can request to use any unspent STC funds for training specific purchases including training supplies and/or equipment. The agency must submit a letter, during the 4th quarter of the fiscal year, to their assigned Field Representative requesting the expenditure and listing the items and cost of each item. For the request to be approved, the agency must be in good standing with STC (in compliance), on target for compliance in the current year, and the requested supplies or equipment must be used for training purposes only. Upon review the STC, the agency will receive an approval/denial letter that should be kept in their fiscal records. Any funds spent on these one-time purchases shall be recorded in the "tuition? Category of allowable STC expenses and must be spent in the same fiscal year as it was provided.

## **G. Unused Funds**

STC funds not used by an agency during the fiscal year shall revert to the state. BSCC requires repayment in one of the following ways:

- 1) a county or city warrant within 30 calendar days from the date of notification by the BSCC; and/or,

- 2) a deduction of the amount to be repaid by the county or city from future quarterly disbursements from the state during the next fiscal year, as approved by the BSCC.

## **H. Grant Match Funds**

The use of STC funds as a grant match may be permitted with prior written approval from the BSCC. If a county or city intends to use a part of its training allocation as a matching contribution, the county must (before spending the funds) submit to STC a summary of the grant being considered, its objectives, budget, and timeline. A letter is to be included, signed by the agency administrator, assuring that:

- 1) the use of STC funds as a grant match will facilitate the county's compliance with the STC regulations;
- 2) the primary purpose of the grant is to provide training for eligible staff; and,
- 3) the grantor does not prohibit using state funds as match.

## **I. Use of Funds Certification: Prohibition of "Double Dipping"**

STC participating agencies cannot use STC funds to pay for tuition if funding from any other state source is used to pay for any portion of the same tuition (e.g., POST or Community College full-time equivalent student (FTES) funds). However, STC funds can be used to pay for travel, per diem and replacement costs provided that no other funds are also being used for the same expenditures.

Expenditure of STC funds for course tuition, including discretionary course costs, is prohibited where the training provider shares any portion of revenue generated by the course with the agency that employs the trainee (e.g., shares a portion of FTES funds generated by the course with the trainee's employing agency).

## **VII. RECORD KEEPING**

Agencies participating in STC must maintain records documenting training activity. Local agencies participating in STC must maintain the following records:

### **A. Staff Training Records**

The following information must be maintained in training records for each individual participating in STC:

- 1) participant's name;
- 2) title of current position;
- 3) STC job classification;
- 4) date appointed to current position;
- 5) date of hire and dates of position changes; and,
- 6) training courses completed, including:
  - a) course title,
  - b) course certification number,
  - c) date(s) of training,
  - d) total hours of attendance.

### **B. Program Records**

The following information is to be maintained and accessible by the agency according to their records retention policy:

- 1) course rosters, attendance records, or certificates submitted by training providers that document each participant's hours of attendance at STC-certified courses; and,
- 2) test results submitted by training providers, if applicable.

### **C. Compliance Records**

At the annual compliance monitoring the STC field representative will review the above-referenced documents. These records are legal documents that provide a record of training that has occurred.

### **D. Fiscal Records**

Participating counties or cities must keep adequate accounting records pursuant to generally accepted governmental accounting standards and adequate supporting documentation in detail. These records are to be maintained for three years.

The county or city may maintain one set of accounting records for all participating agencies or it may delegate responsibility for records to each participating agency. The accounting records for STC must be set up in such a manner as to afford the collection of information by participating agencies for each fiscal year in the previously noted four budget categories: replacement, travel, per diem, and tuition. The STC related accounting records are subject to audit by the Board of State and Community Corrections.

#### **E. Records Retention**

All training records should be retained in compliance with each agency's own records retention policy.



## VIII. REPORTS

### A. Quarterly Report

The quarterly report is the document used by agencies to report the actual training completed by agency staff and the actual amount of STC funds received and spent by the agency during the reporting quarter. ***NOTE: The Quarterly report is not required unless the agency has been directed by the BSCC to submit the reports. An agency found out of compliance will be required to submit quarterly reports.*** Quarterly reports are submitted on the BSCC website within 45 calendar days after the end of each quarter.

If required, due dates of these reports are:

First Quarterly Report	November 15 <sup>th</sup>
Second Quarterly Report	February 15 <sup>th</sup>
Third Quarterly Report	May 15 <sup>th</sup>
Fourth Quarterly Report	August 15 <sup>th</sup>

### B. End-of-Year Compliance Report

Participating agencies must submit a report of standards compliance (or non-compliance) as of June 30<sup>th</sup> each fiscal year. This report must contain a list of all STC eligible staff occupying eligible positions as of June 30<sup>th</sup>, and the number of vacant positions. Each person must be identified by name, STC job classification category, date assigned to the current STC job category, agency job title, number of training hours completed in the fiscal year, and whether the required training was core or annual. This report must describe the specific circumstances of each staff not in compliance with standards. The report must be signed by the agency administrator (e.g., sheriff, chief of police, agency director, chief probation officer) unless a letter is on file with the BSCC authorizing a designee to sign on behalf of the agency administrator.

### C. Annual Financial Statement

Agencies are to pay all outstanding financial obligations within 60 days after the close of the fiscal year and submit an Annual Financial Statement (AFS) detailing how STC funds were spent. The AFS must be submitted to STC no later than September 30 of each fiscal year. The AFS reports the expenditure of STC funds in the four allowable expenditure categories: tuition, travel, per diem, and replacement.

The AFS is submitted on the BSCC website. The AFS assurance statement must be signed by the agency administrator and disbursement coordinator and mailed to the BSCC.

## **IX. PROGRAM COMPLIANCE**

### **A. Annual Compliance Monitoring**

STC will monitor agencies' training programs a minimum of once each fiscal year to determine compliance with the law, the regulations, the approved ATP(s), and STC policies and procedures through on-site monitoring of records and documents. Training records for all eligible participants must be made available upon request. Documents that must be available for review are listed under Record Keeping in Section VII. The final monitoring will conclude upon the end of the fiscal year, usually during July-September. Based on a review of the above referenced documents, the field representative will recommend a finding of In Compliance or Out of Compliance. The BSCC board will act on the recommendations, usually at its November meeting. Each agency's administrator will be advised in writing of the findings.

### **B. Compliance Categories**

#### **I. In Compliance**

Agencies achieve a finding of compliance if they follow the regulations for the selection and training of all STC eligible personnel. Compliance is determined for each STC funded fiscal training year. Compliance expectation is 100 percent except for those staff who were off duty the entire training year or who meet BSCC's criteria for mitigating circumstances:

- an employee's significant unanticipated leave at the end of the fiscal training year made it impractical to complete the required training;
- an employee was absent from work for six months or more within the fiscal training year;
- a personnel problem involving an employee, but the participating agency has taken positive steps to correct the problem;
- an innocent error (e.g., record keeping error, clerical error, computer data-entry error, etc.); or,
- the number of staff or the number of hours lacking for full compliance is insignificant compared to the agency's total training obligation, and this occurred despite the agency exercising due diligence in the management oversight of the training program.

Any STC eligible person called to active duty or serving in the military during any portion of an STC Program year is exempt from program compliance for the year in which this occurs. Active duty is defined as a call-up of reservists from the

military command in response to a national emergency. Regular reserve meetings or annual reserve obligations are not considered a national emergency and training schedules can be preplanned; therefore, regular activities of the military reserve are not considered as eligibility for an exemption from STC requirements.

## 2. Out of Compliance

Agencies receive a finding of out of compliance with the STC standards if they fail to achieve 100 percent compliance or fail to meet the criteria established for mitigating circumstances. If a staff member fails to complete required core training, the agency will be found out of compliance for each subsequent year until such time that the staff member completes the required training.

In addition to formal notice to the agency administrator and county or city administrative officer, participating departments found out of compliance shall be subject to the following actions:

FIRST-YEAR NON-COMPLIANCE	SECOND-YEAR NON-COMPLIANCE	THIRD-YEAR NON-COMPLIANCE
<b>ACTION:</b> <ul style="list-style-type: none"> <li>Agency submits ATP and written Compliance Progress Corrective Action Plan</li> <li>STC quarterly monitoring of progress</li> <li>Submittal of Quarterly Reports</li> <li>STC provision of on-site technical assistance</li> <li>Agency receives regular quarterly allocation of STC funds</li> </ul>	<b>ACTION:</b> <ul style="list-style-type: none"> <li>Agency submits ATP and written Compliance Progress Corrective Action Plan</li> <li>STC quarterly monitoring of progress with written reports</li> <li>Submittal of Quarterly Reports</li> <li>STC provision of on-site technical assistance</li> <li>Retroactive allocation of STC funds</li> </ul>	<b>ACTION:</b> <ul style="list-style-type: none"> <li>Eliminate agency from STC participation for one year</li> </ul>

A determination of agency out of compliance may be appealed to the BSCC.

### **C. Auditing**

The BSCC may audit a county's or city's accounting records that relate to the administration of the STC program. The state will recover any improper expenditure disclosed in such audits as described in Section VI, Funding.

## **X. WAIVERS AND APPEALS**

### **A. Waivers**

The BSCC may grant a waiver to its policies and procedures (Title 15, Section 104 CCR) in extraordinary circumstances but cannot waive legal requirements. To obtain a waiver, a written request from the agency administrator is sent to the STC deputy director of the BSCC. The request must include the specific reason(s) for which the waiver is requested, and the specific change(s) requested. Waivers, when granted, apply only to the specific agency (or agencies) that requested them.

### **B. Appeals**

Staff decisions are subject to appeal. To initiate an appeal, agencies must follow appeal procedures detailed in Title 15, Sections 350-358 CCR. All appeals should be addressed to the executive officer of the BSCC.

## XI. OBTAINING STC TRAINING CREDIT

There are many ways for agencies to obtain STC training credit for classroom and e-learning attended by staff:

- A. **RFC** – Agency uses training providers offering STC-certified courses.
- B. **RFC** – Agency acts as its own training provider using STC-certified courses.
- C. **IFT** – Agency acts as its own training provider using Intensified Format Training.
- D. **WRE** – Agency applies for alternative training credit under Work Related Education, Training and Professional Development.
- E. **SC** – Agency applies for alternative training credit under special certification.

Each type of certification or training credit has unique characteristics and limitations. Some of the differences among the various options are described below:

	RFC	IFT	WRE	SC
Of annual training hours required, the maximum allowable to fulfill this requirement:	100%	100%	50%*	100%
Maximum # of approvable STC hours	N/A	2	N/A	N/A
Are tuition charges allowable?	Yes	No	No	No
Are travel and per diem charges allowable?	Yes	No	No	No
Are replacement cost charges allowable?	Yes	No	No	No

\* Except for the classifications of manager or administrator, no other classifications may receive more than ½ their annual training hours from WRE certification.

Both traditional training courses and e-learning courses may be certified using the four certification methods.

### A. **RFC – Agency Uses Training Providers Offering STC-Certified Courses**

Agencies often choose to use an outside provider to deliver certified STC training. An outside provider is any provider other than the agency itself. This includes but is not limited to private providers, another agency, community colleges or universities, e-learning providers, professional associations, etc. For detailed information on the RFC, see STC's *Policy and Procedure Manual for Training Providers*.

## **1. Resources for Selecting Courses of Outside Providers**

Agencies should develop or select annual training courses based on organizational and individual training needs. When training needs are identified, the STC catalog and calendar on the BSCC website is available for information about existing certified courses. The catalog and calendar both offer slightly different search capabilities. Users may customize their searches using a variety of criteria. Using either the catalog or the calendar, a list of courses meeting the user's criteria will be displayed. The user may then select a specific course to view detailed information about course content, cost, length, presentation dates, locations, and provider contact information.

STC also publishes a provider directory which is available on the BSCC website. The directory identifies all providers of STC-certified training along with their contact information. There is also a link for each of the five regional training associations.

## **2. Obtaining More Details about Courses**

Agencies should contact the training provider to obtain detailed course information in order to determine the full scope of the course, the instructor's credentials, equipment or technical requirements, etc. By contacting the training provider, and thoroughly evaluating the course profile before enrolling participants, an agency will better understand the course content. This will ensure that the course meets the training needs of the individual and the agency.

## **3. Selecting Providers**

In order to assist in selecting a training provider, the following strategies may be used:

- a) utilize web resources to learn about the provider;
- b) directly contact the provider in person, by phone, or e-mail;
- c) request a provider to submit a bid;
- d) monitor a training session delivered by the provider; and/or,
- e) contact other agencies that have previously used the provider.

Once an agency selects a provider, the agency may choose to send participants to the next scheduled course or bring the course directly to the agency. In either case, it is important to give the provider the agency's expectations for the training to be delivered. This gives the provider information on the importance of the training, the target audience, special needs surrounding it, and gaps in performance the training will be addressing. Many providers have standard courses intended to meet a general need that they offer across the state or the nation. By looking at an



agency's needs assessment information, the provider can better determine if the standard design courses will meet the agency's needs.

Sometimes agencies choose to have an outside provider tailor training to its specific needs rather than sending people to the "already certified" course. When agencies make this choice, it is helpful for them to give the provider as much information as possible to ensure the course is tailored to address their needs. In addition to needs assessment information, agencies may need to prepare performance objectives before making a design request of the provider.

It is important to review the course design (objectives, course outline, lesson plans, handouts and supporting aids, materials, and methods of delivery) of providers prior to contracting for training delivery.

#### **4. Tuition**

Tuition is the STC-authorized amount charged by the training provider for trainees attending STC annual or core courses. Tuition does not include registration fees that may be charged by a training provider. Registration fees are typically associated with conferences, and are designed to cover costs other than training delivery and cannot be paid with STC funds.

All Requests for Certifications (RFC) submitted to STC with a cost of \$150.00 per trainee per eight-hour training day (or an hourly rate of \$18.75 per trainee) are deemed to be cost effective and do not require a budget. For example:

- 4-hour course=\$75.00,
- 8-hour course=\$150.00,
- 16-hour course=\$300.00

The cost of up to \$150.00 per trainee per day is intended to cover all course costs associated with course delivery, including instructor fees, materials, room rental, travel, and per diem.

In some instances, course costs may exceed \$150.00 per eight-hour day per trainee, in which case the provider will be required to submit a budget for justification. These courses will be reviewed by STC on a case-by-case basis. The costs associated with this higher rate should be detailed in a letter mailed to the provider's field representative. The letter must include justification for the higher costs, and shall be co-signed by the provider and the agency administrator.

The letter must address the following issues:

- the unique nature of the course;
- the need for the additional expenses in relationship to the course to be provided;
- the actual total costs incurred for the training;
- cost per trainee;
- instructor qualifications;
- need and justification for course; and,
- description of target audience.

In addition, for courses where costs may exceed \$150.00 per eight-hour day per trainee, documentation is required for:

- cost of instruction and on-site coordination;
- costs of training aids/equipment rental and one-time costs;
- training room rental; and,
- instructor and on-site coordinator travel and per diem.

For all courses, providers must maintain adequate accounting records according to generally accepted accounting principles. The records must provide an audit trail consistent with the auditing requirements of this manual.

## **5. Attendance**

STC policy requires agencies to notify the training provider of canceled enrollments at least 15 calendar days before the first day of the course. If an agency has enrolled participants in a certified course and these participants do not attend the course, the provider may charge the agency the cost of that tuition. In these cases, STC funds cannot be used to pay the tuition. If an emergency occurs that prevents a participant from attending, the agency should notify the provider immediately.

When an agency enrolls participants in an STC-certified course, the agency incurs an obligation to the provider. The terms and conditions of this obligation are negotiable between the agency and the provider. The provider may require written confirmation of enrollment. In addition, a provider may require a non-refundable deposit that will be applied to the tuition cost for those who attend the course.

## **B. RFC - Agency Acts as Its Own Training Provider**

Agencies may choose to develop and deliver their own training instead of using a private provider, another agency, or a college or university, to deliver the training. In doing so, the agency is now acting as a training provider and should reference the STC

*Policy and Procedure Manual for Training Providers* to obtain specific information about the requirements and process for being an agency provider of training courses.

### **C. IFT - Agency Acts as its Own Training Provider Using Intensified Format Training**

IFT is used by agencies and provides an opportunity to obtain up to two hours of training per session. For instance, IFT can be used when changes in policy or procedure require a brief review of issues for staff or staff need update training on perishable skills. IFT provides flexibility to agencies in that courses can be presented by instructors at various times and locations based on need. Some advantages of the IFT as compared to the RFC for course certification are that the application is shorter, the training may be offered to as few as one trainee, and once the course is certified, training sessions may be scheduled without advance notification to STC. IFT requirements are similar to the Annual course application (course summary, performance objectives, course outline) except instructor information is not required except for high risk courses which require certified instructors (ex: defensive tactics, first aid, fire arms, etc.) and a schedule date. STC funds cannot be used to pay for any portion of IFT-delivered courses.

The IFT request is submitted through the Learning Portal. It must be submitted by the agency at least 20 days before the first training event. Performance objectives and a course outline giving time, content, and method are required. Once certified, the training can be presented unlimited times during the following 24 months. A copy of the roster must be kept by the agency for its records (see Section VII, Record Keeping)

### **D. WRE - Agency Applies for Alternative Training Credit Under Work-Related Education, Training and Professional Development**

WRE can be used by agencies to receive STC training credit for attendance at events that are not otherwise STC-certified and corrections personnel may not be the primary audience. This may include continuing education, professional or personal development opportunities, or attendance at seminars or conferences. When performance of job tasks is enhanced by attendance at these types of events, an agency may use WRE to meet the annual training requirement. However, STC funds cannot be used to pay for any portion of courses certified through the WRE process.

The application for WRE credit is submitted through the Learning Portal. The application may be submitted either before or after the training event. The local agency must retain the original STC Roster for their training records. WRE credit may not be used to satisfy more than one half of the annual training requirement for line staff and supervisors. Managers and administrators may satisfy as much as 100 percent of their annual training requirement using the WRE process. A course summary, performance

objectives and scheduled dates are required. In the course summary, the name of the provider and location of training should be noted. No course outline or instructor is required. A WRE may be used for multiple staff and is valid for 12 months. A WRE may be recertified. A new certification is required if anything changes.

## **E. Special Certification**

Special certification (SC) can be used by agencies to receive credit when a training event meets STC requirements for an RFC in terms of format, content, and instructor expertise, but the majority of the participants targeted for the training event are outside local corrections or the provider has not chosen to seek an RFC through STC. In such cases, a participating agency may submit the required information for special certification of the course. However, STC funds cannot be used to pay for any portion of courses certified through the special certification process.

The application for special certification credit is submitted through the Learning Portal. The application may be submitted either before or after the training event. The local agency must retain the original STC Roster for their training records. Trainees may satisfy as much as 100 percent of their annual training requirement using the special certification. A SC may be used for multiple staff. It is valid for 12 months and may be recertified using current information (POST #'s).

While a special certification request must meet the criteria of an RFC (course objectives, course outline, instructor information, etc.), STC has established a streamlined special certification process to obtain credit for corrections related courses that are already certified by either POST or the National Institute of Corrections (NIC). Because both have course certification processes similar to STC, it is not necessary to include the course outline, course instructional objectives, or instructor information in the special certification application for a course already certified by POST or NIC. The following process should be used:

- In the course summary section, state that the course is certified by either POST or NIC and list the POST or NIC course identification number;
- In the course summary section, explain the relevance of the course subject matter to correctional job tasks performed by the trainee in the local agency;
- In the course objectives section, enter "POST (or NIC) Approved;"
- On the instructor information sheet, enter "POST (or NIC)" for the last name and "Approved" for the first name;
- In the course outline section, in the spaces provided for beginning and ending times, enter the start time for the first day of training and end time for the last day. In the space for subject or topic enter "POST (or NIC) Approved."
- A schedule date and location is required; and

- A new certification is required if anything changes.

## **F. Conferences**

At times, agencies can be the provider of a conference in the STC program. When this occurs, the agency is responsible for certify the conference. For additional information on certifying a conference, reference the STC Policy and Procedure Manual for Training Providers.

STC funds may only be used for tuition and cannot be used for registration costs typically associated with conferences to fund meals, swag and materials. If the tuition is not/cannot be separated from the registration fee, the STC attendee may use STC funds up to \$18.75 per instructional hour of the conference. All conferences must be presented within the State of California to be eligible for STC certification. The local agency must retain the original Roster for their training records.

## **G. On-line or Computer Based Training**

Computer based training (CBT) courses must be certified through the annual certification process and meet the same standards as an RFC, IFT, WRE and SC. The cost of a CBT cannot exceed the maximum course cost of 18.75 per hour, per trainee. Set-up fees can be folded into the tuition cost.

The platform used to deliver CBT should clearly show which courses are STC certified and the certification number. CBT can be delivered in a variety of formats. It can be synchronous (everybody meets online at the same time to receive course instruction) or asynchronous (trainees can learn at their own pace and the training can be accessed anytime and anyplace.).

CBT cannot be used for high liability courses that require hands on practice, such as Defensive Tactics, Range, First Aid and CPR. It can only be used for the policy portion of the course only and cannot substitute demonstration and video tutorials for practice.

Understanding that students can often complete CBTs at different paces, credit will only be given for the number of hours approved on the certification, even if the student completes the class sooner or longer than the course is certified for.

All information fields within the learning portal must be completed with a few exceptions:

- All CBT courses must indicate Computer Based Training as the method of instruction. The default in the learning portal is Instructor Led Training.

- Agencies can choose the general name CBT Instructor, or they can choose to list the instructor(s).
- No dates are required for CBT offerings.

For proof of completion, the online provider will provide to the participating agency a monthly report that lists the names of each employee completing CBT, the name of the course, the STC certification number, the number of hours, and the date completed. If the provider has the ability to pull reports through their system, then they are not required to submit the reports to the agency; however the agency must be sure to include copies of the reports or a completion certificate in the employee's training files for audit purposes

## **XII. ADDITIONAL COURSE INFORMATION**

### **A. Certification Restrictions**

Meetings of any type by any organization will not be certified. Certification may be granted for training held immediately before or after a meeting.

### **B. Certification Number**

The Learning Portal assigns each course a unique 8-digit certification number. In order to ensure that a course is STC certified, agencies should obtain STC certifications numbers prior to scheduling training.

### **C. Course Attendance, Changes, and Cancellations**

Agencies 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 upon the provider to establish and maintain effective communication with participating agencies and training managers. This will ensure the training corresponds to the agency's needs and that the agency enrolls a sufficient number of trainees. When agencies enroll trainees in an STC-certified course, they incur an obligation to the provider. The terms and conditions of this obligation are negotiable between the agency and the provider.

Training providers must notify agencies that have registered participants of any changes in a certified course as soon as possible, but not less than ten calendar days before the class. Such changes may include but are not limited to course length, dates, instructors, and course size.

Agencies are required to notify the training provider of cancelled enrollments a minimum of 15 calendar days before the course. If an agency has enrolled a specific number of trainees in a certified course and that number of trainees does not attend the course without giving the required 15 day notice, the provider may charge the agency the cost of tuition for absent trainees.

At times, circumstances warrant a provider to cancel a scheduled course. The provider must notify all agencies with registered trainees of the cancellation at least ten calendar days before the first scheduled day of the course.

Exceptions to the ten-day policy will be considered on a case-by-case basis when an emergency occurs such as illness of the instructor, transportation issues, etc. If the emergency occurs ten days or less before the scheduled training, providers must also notify STC as well as agencies with registered trainees immediately. Low trainee



enrollment is not considered adequate reason to cancel a course with less than ten calendar days' notice to agencies.

#### **D. Peace Officer Standards and Training**

POST certification of a course does not constitute STC certification, nor does STC certification of a course constitute a POST certification. These certifications are regulated by different state departments and governed by separate policies and procedures.

However, there are several specific courses that are POST certified that STC directly recognizes for purposes of meeting STC training standards. These courses are:

- **832 PC** (either the laws of arrest, or firearms component, or both);
- **POST Supervisory Course** (satisfies STC supervisor core training requirement); and,
- **POST Management Course** (satisfies STC manager/administrator core training requirement).

STC not only recognizes the POST courses listed above, but will also accept a POST roster or certificate for verification of course completion.

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

The training provider must notify all agencies with registered participants if a certification has been suspended or revoked. Failure to do so may result in agencies refusing to pay for course tuition. If a provider's course certification is suspended or revoked, reference to STC certification or the certification number of the course may not be used or implied in any advertising that is published after the date of the suspension or revocation. Agencies will not receive credit toward BSCC's training requirements after the certification is revoked.

#### **F. Evaluation of Certified Courses and Participants**

Course evaluation by trainees is a mechanism to continuously evaluate the effectiveness and improve the quality of training. While it is **optional** for trainees to complete evaluation forms following training attendance, Training Providers are required to have a **process** in place to allow trainees access to training evaluation forms. STC has a trainee evaluation form available on the BSCC/STC website or providers can design their own. Upon training completion, trainees need to be made aware of the option to evaluate a training. Any completed evaluation forms must be sent to the local agency within 30 days of the training.



Note: While course evaluations are optional for annual training, that is not the case with core training. All attendees of core training courses must complete a course evaluation.