

TENNESSEE DEPARTMENT OF CORRECTION

COMMUNITY CORRECTION PROGRAM STANDARDS

ALL COMMUNITY CORRECTION PROGRAMS

AP1.00 Administration. Organization. Management

AP1.01 The Grantee has an organizational chart that accurately reflects the structure of authority, responsibility and accountability within the programs. The chart is reviewed annually and updated, as needed.

AP1.02 The Grantee will have a local advisory board or committee that is representative of the community, and its membership complies with TCA 40-36-201.

AP1.03 The Grantee's Advisory Board or committee shall meet at a minimum of once a month for the first three months of a new program and on a quarterly basis thereafter. (Rules 0420-2-2-.08)

AP1.04 The Grantee has a policy and procedure/operations manual and quantifiable performance standards which are reviewed, updated, and approved at least annually by the Advisory Board/Committee, and made available to all staff and volunteers, and upon request, to others. Staff shall sign and date a form acknowledging they have read and been trained in the necessary manuals.

AP1.05 All changes to a Grantee's policies, procedures/operations manual and performance standards shall be submitted to the Tennessee Department of Correction (TDOC) for written approval prior to implementation.

AP1.06 The Grantee has a written procedure to disseminate approved, new, or revised policy and procedure to designated staff, volunteers, and where appropriate, to offenders prior to implementation. Documentation of policy disbursement is maintained in the administrative files.

AP1.07 Written policy and procedure outline a system by which the program manager and/or manager designee conducts agency audit and review on all areas of operations, services, and programming. Case officer and case record reviews shall be maintained timely with manager, or manager designee conducting case file reviews at least once during each 60-day period, and case officer review held at least once per quarter. All agency operations should be executed specifically as outlined in the agency's policy, procedures and standards.

AP1.08 The Grantee staff will prepare an annual report within sixty calendar days following the end of the fiscal year of its activities which will include, at a minimum, statistical data, activities and financial data. The annual report shall be provided to the advisory board or committee, the State Director of Community Correction as well as the Tennessee Department of Correction.

AP1.09 The Grantee will prepare and submit a monthly statistical report as well as any other reports requested by TDOC to Tennessee Department of Correction Central Office no later than the 15th of each month. Reports should include any major incidents and program services highlights. If the Grantee relies on an external information system (such as government or agency-wide) for generating its reports and cannot submit said reports by the 15th calendar day of each month, the grantee may request in writing, a 7 calendar day waiver from the Director of the State's Community Correction Division.

AP1.10 The Grantee has a written policy, procedure/s that states it is a correctional program offering services pursuant to the provisions of TCA 40-36-101 et. al. and that the program meets state licensing requirements, if applicable.

AP1.11 The Grantee has a written policy and procedure that provides that the operation of the agency and its provision of services are the responsibility of the Agency Board, program manager or his/her designee.

AP1.12 The Grantee will assess all Tennessee Department of Correction offenders using the Validated Risk and Needs Assessment (VRNA) and will provide Cognitive Behavioral Intervention Programming (CBIP) to all offenders.

AP1.13 The Grantee facility meets local fire and safety codes and maintains documentation of same.

AP1.14 The Grantee has written fire and other emergency plans that are communicated to all employees and offenders, and are reviewed and updated, if needed, at least annually. The plan includes the following:

AP1.14.1 Location of publicly posted evacuation plan that includes the use of Exit signs and directional arrows for traffic flow in building.

AP1.14.2 Quarterly drills and documentation of drills.

AP1.15 The Grantee mission statement affirms that the program is to provide necessary services to felony offenders with the goal of reducing the probability of continued criminal behavior and to insure the safety of the community.

AP1.16 The Grantee will have a written policy and procedure regarding "Release of Information" which address circumstances under which release of information is permitted, restrictions on type of information to be released, and structure and identification information to be placed on the form which includes, but is not limited to the following:

Name of person, agency or organization requesting information extra spaces removed
Specific information to be released
Purpose or need for the information
Expiration date
Date consent form was signed
Signature of client
Signature of individual witnessing client's signature
Before the release of any information regarding a client a Release of Information form must be completed, and a signed copy placed into the client's case file.

AP1.17 The Grantee will have a written policy and procedure regarding the length of time a case record is maintained (five-year minimum after discharge from program).

AP1.18 The Grantee is expected to strive to successfully complete a minimum of 60% community correction offenders.

AP1.19 All incidents occurring within the jurisdiction of the Grantee concerning the safety and securing of the Facility, community, staff, and/or clients, or those which may result in media attention, must be reported to Tennessee Department of Correction Central Communications Center and the State Director of Community Correction within 30 – minutes of an agency's knowledge of the event occurring.

AP1.20 All incidents within the jurisdiction of the Grantee which require physical force or restraint shall be reported in writing, dated and signed by the staff reporting the incident. Such report shall be placed in the Offender's case file and a copy forwarded to the State Director of Community Correction within 24-hours of occurrence.

AP1.21 All Grantees will record an Intake and Termination report in TOMIS/other TDOC Offender Management System (OMS) on all offenders within the specified time period, this includes transfers between Community Corrections programs and/or suspension of direct supervision. Reports should specifically record information that details offender's arrival and departure time, date, cause and if directly court-ordered to community corrections, or if offender is a TDOC probation violator then court-ordered to community corrections, also include: assessment, treatment participation, and outcome detail, providing an overall synopsis of program performance. Data is to be recorded in TDOC case management system TOMIS/other TDOC OMS and possess an AAAA for Intake reporting and a TEPE for Discharging or Termination reporting.

AP1.22 All Grantees shall have written Policy and Procedure to ensure compliance with PREA's "No Tolerance" policy, and display signage and PREA publications in-plain view at all agency locations, at all times.

AP1.23 All Grantees will supervise offenders according to supervision level assignment one through four as set out in the standards. Supervision assignment shall include random drug screens. Screens will be conducted at least once during the period, per assigned level. Supervision Level One, (test once every 30 days) Supervision Level Two, (test once every 45 days) Supervision Level Three, (test once every 60 days) Supervision Level Four (will be determined by manager). All drug screen results shall be recorded in the offender's case file.

AP1.23.1 That random drug screens shall consist of at least one seven panel and one three panel test, and said tests should be alternated, with no offender having two consecutive three panel tests.

AP1.23.2 When possible, random drug screens should be customized to the offender or regional drugs of choice.

AP2.00 Personnel

AP2.01 The Grantee has a written policy to guard against conflict of interest. This policy will include:

AP2.01.1 That no employee connected with the agency uses his or her official position to secure privileges or advantages.

AP2.01.2 That no staff shall accept for themselves, any member of their family, or close associate, any personal gift, favor, or service from an offender.

AP2.02.2 Policy will include the requirement for a nation-wide background check to be completed and kept on file for all potential and current Grantee employees, no one with a felony conviction or crime of moral turpitude will be considered for employment.

AP2.02 There will be written personnel policies and procedures that provide for personnel manual that is reviewed and approved by the governing authority annually and is made available for employees that covers, at a minimum, the following areas:

- Organizational Chart
- Staff Development
- Recruitment and Selection
- Promotion
- Job Qualifications and Job Descriptions
- Affirmative Action
- Title VI
- Grievance and Appeal Procedures
- Sexual Harassment
- Orientation
- Employee Evaluation
- Personnel Records
- Benefits
- Holidays
- Leave (Annual, Sick, Holiday, Maternity, Military)
- Hours of Work (Time Sheets)
- Compensation
- Travel
- Disciplinary Procedures
- Termination
- Resignation
- Employee Probationary Period

AP2.03 The minimum educational requirement for appointment as community correction program manager is a baccalaureate degree in one of the social or behavioral or management sciences or a related field, or four (4) years of professional management level experience, including task-relative supervisory level training.

AP2.04 The minimum qualifications of a case officer is a baccalaureate degree from an accredited college or university, or at least (4) years of qualifying relevant fulltime professional experience.

AP2.05 All annual, sick, and compensatory leave must be taken during the fiscal year that the leave was accrued. The State shall not be responsible for any carryover leave.

AP2.06 There are written job descriptions and job qualifications for all positions of the agency. Each job description includes job title, responsibilities of the position and required minimum experience and education.

AP2.07 The Grantee will have an employee grievance procedure which has been approved by the local advisory board.

AP2.08 The Grantee will maintain a current, complete, and confidential personnel record each employee.

AP2.09 Written policies direct that a national background check will be completed on all NEW hires, prior to employment or appointment. All employees should have an annual background check, documentation of the background check will be kept in the employees personnel file. No applicant with a felony conviction or crime of moral turpitude will be considered for employment. Annual background checks will be completed on all current and newly hired employees and volunteers and results shall be maintained in the employees' personnel file.

AP3.00 Volunteers/Interns

This section applies only to an agency that utilizes volunteers or interns.

AP3.01 Written policy and procedure for volunteer citizen involvement include a system for selection, training, term of service, termination of service, and definition of tasks.

AP3.02 Written policy and procedures specify that volunteers agree in writing to abide by all agency policies, particularly those relating to the security and confidentiality of information.

AP3.03 Written policy specifies that volunteers perform professional services only when certified or licensed to do so, and after a thorough check of background and professional education.

AP3.04 Written policy specifies all volunteers shall be administered a nation-wide background check prior to employment or appointment as a volunteer, with results of the check maintained in their personnel file.

AP4.00 Staff Training and Development

AP4.01 Written policy provides that all new professional staff in the program will have at least 40 hours of on site orientation to the policies, organizational structure, programs and regulations of the program, as well as, Tennessee Department of Correction required Title VI, DNA Buccal Swabbing sample collection, Prison Rape Elimination Act (PREA). Only manager approved Grantee staff, directly responsible for offender supervision and/or programming/treatment delivery shall receive training on the following: Validated Risk Needs Assessment (VRNA), O*NET Interest Profiler, Texas Christian University Drug Screen (TCUD) or other as identified assessment tools, adding training for Thinking for a Change (TFC), and Cognitive Behavioral Intervention Programming (CBIP). All orientation and offender assessment training will be completed prior to new staff being assigned to cases or allowed to work without direct supervision. This affects all new full-time or part-time staff, and volunteers.

AP4.02 Written policy and procedures provide that clerical and support staff employees will complete orientation and additional annual training appropriate to their assignment (Full-Time 16 hours - Part-Time 8 hours).

AP4.03 Written policy and procedure provide that all case officers complete 40 hours of pre-service training. Pre-service training will be provided by the Agency, or designee, within six months of a new case officer's employment. Upon completion of orientation, the employee signs and dates a statement that orientation training has been received. All training will be agency manager recorded, and a copy kept in employee's personnel file.

AP4.04 Community Correction Grantees, either individually or collectively, will be responsible for providing at least 30 hours of in-service training per year to their program managers and 40 hours of training for program case officers. The Tennessee Department of Correction will be responsible for providing a minimum of ten (10) hours of core issues to the Program Managers on an annual basis. All training shall be job related.

AP4.05 Written policy requires the program manager to keep a running total of training hours of all agency employees in individuals files for inspection upon request. This file should contain documentation of 40 hours of Orientation and ongoing annual training hours for: Clerical and Support staff, Manager, Officers and volunteers.

AP5.00 FISCAL MANAGEMENT, Vehicle Management

AP5.01 The Grantee will operate under an annually written budget of anticipated revenues and expenditures that is approved by the governing authority.

AP5.02 An annual independent fiscal audit of the agency will be conducted. The Grantee is responsible for securing and scheduling the auditor. All independent fiscal audit results will be sent to the State and must be received no later than nine (9) months after the close of the fiscal year.

AP5.03 The Grantee's administrative capabilities will include standard procedures regarding inventory control, purchasing, and requisitioning of supplies. All monies collected will be placed in a secure location and must be deposited into a bank account within (72) hours after collection. These specific methods will be utilized for the receipt, safeguarding, dispersing and recording of funds.

AP5.04 Written policy, procedure, and practice provide for insurance coverage that includes, at a minimum, property insurance and comprehensive general liability insurance; such insurance is provided either through private companies or self-insurance. Appropriate documentation for coverage is: a valid Certificate of Insurance detailing Coverage Description; Insurance Company & Policy Number; Exceptions and Exclusions; Policy Effective date; Policy expiration date; Limit(s) of Liability; Name and Address of Insured, and/or a copy of Bond Coverage. A copy of the Grantee's coverage policy will be provided annually to the State Director of Community Correction.

AP5.05 There are written fiscal policies, procedures, and practices adopted by the governing authority, including, at a minimum, the following: internal controls, petty cash, bonding, signature controls on checks, Offender funds, receipting and employee expense reimbursements.

AP5.06 Written policy, procedure, and practice provide that the Grantee, at a minimum, prepares and distributes to its governing authority and appropriate agencies and individuals the following documents: income and expenditure statements, funding source financial reports, and independent audit reports.

AP5.07 Written policy, procedure and practice provide for purchasing and requisitioning supplies and equipment and for property inventory and control. All Grantee Inventory Control Reports (ICR) will be updated annually with a (signed) and complete copy provided to the State Director of Community Correction.

AP5.07.1 Grantee will utilize TDOC's Inventory Control System (ICS) to conduct and maintain inventory of items inventory of items purchased with grant funds. Inventory will be conducted on a monthly basis utilizing a 10% approach of those items. A full annual inventory will be conducted of items at the close of the contract / fiscal year and submitted no later than 30 days with final invoice.

AP5.08 Written policy, procedure and practice provide that all funds, including any canteen funds are audited independently following standard accounting procedures and that an annual financial status report is available as a public document.

AP5.09 No Vehicle purchased with State funds can be assigned directly to a Community Correction Grantee employee and be used to travel to and from home to their workstation without approval from the State. Any and all exceptions must be in accordance with the State of Tennessee, Department of Finance and Administration's Comprehensive Travel Regulations, Policy 8. All vehicles, unless an exception is granted by the State, must be pooled and made available for staff use. Vehicles must be parked at the Grantee Office at night. If any of the vehicles are needed at night for official business (i.e. surveillance, home visits, etc.) purposes, or if an employee must leave in the morning to travel to outlying areas, the vehicle may be assigned on a daily basis as these assignments arise and driven home by the employee.

AP5.09.1 A Vehicle Sign-out Logging System must be kept by any Grantee having purchased a car with State funds. This logging system must include: name of employee vehicle issued to, date and

time of issuance of vehicle for travel, beginning odometer reading, reason for issuance, time of return and odometer reading upon return.

AP5.09.2 All vehicles purchased with State funds will be listed on the Grantee's inventory. The annual inventory report submission shall include an original (unsigned) title for every vehicle purchased under the Grant, with all original titles being submitted to, and maintained by, the State Director of Community Correction.

AP5.09.3 Vehicles purchased with State funds may not be used as a trade-in for a newer vehicle.

AP5.09.4 In accordance with TCA Sections 8-30-202 and 8-30-203, any employee using a vehicle purchased with State funds is required to comply with all traffic laws and possess a valid driver's license from the employee's domicile state. A copy of the employee's driver's license should be kept on file in the employee's personnel record.

AP5.10 Each Grantee may receive up to 15% of its yearly grant at the beginning of the grant year and thereafter on a monthly reimbursement basis after the receipt of and approval of a request for funds invoice (Rules Chapter 0420-2-2-.11 (4)). Any Grantee requesting an advance must place the request on Agency letterhead stationery and be submitted to Tennessee Department of Correction Fiscal Services for approval. All advances will be repaid by the end of the fiscal year in which it was received. Any balance still owing at the end of the fiscal year will be deducted from the final expenditure claim.

AP5.11 Disbursement Reconciliation and Close Out. The Grantee shall submit a final grant disbursement reconciliation report within 60 days of the end of the Grant Contract. Said report shall be in form and substance acceptable to the State. The State will not be responsible for the payment of invoices that are submitted to the state after the final grant disbursement reconciliation report. If total disbursements by the State pursuant to this Grant Contract exceed the amounts permitted by the Section C, Payment Terms and Conditions of this Grant Contract, the Grantee shall refund the difference to the State. The Grantee shall submit said refund with the final grant disbursement reconciliation report. The Grantee must close out its accounting records at the end of the grant period in such a way that reimbursable expenditures and revenue collections are NOT carried forward.

AP5.12 Under no circumstances, will the State reimburse rental expenses for property used by a Community Correction Grantee when the relevant property is owned by an employee (or a member of the employee's family) of the Community Correction Grantee and whose salary is paid from the Grant Contract.

AP5.13 State Community Correction contracts will not reimburse Grantees for "longevity" pay. Longevity pay is usually given to State employees as a supplemental based on the number of years with the agency. Any Grantee agency choosing to give employees longevity pay must cover this cost from funds not associated with the Tennessee Department of Correction contract.

AP6.00 RESEARCH AND EVALUATION

AP6.01 The Grantee will have a policy and procedure governing the conduct of research and address the issues of informed consent and release of information. The State Director of Community Correction in conjunction with the Director of Decision Support: Research and Planning, Tennessee Department of Correction must approve all research projects in writing prior to implementation.

Supervision Programs

S1.00 Pre-Sentence Investigative Reports

S1.01 Written policy and procedure governs the conduct of case officer pre-sentence investigations, and preparation of reports in accordance with the Tennessee Department of Correction Pre-Sentence Investigation (PSI) manual (pre, post, classification, and specific data reports).

S1.02 All pre-sentence (investigative) reports and recommendations are reviewed and approved by a program manager or designee prior to submission to the court.

S1.03 Written policy and procedure protects the confidentiality of pre-sentence reports and case records.

S1.04 All offenders admitted into a community correction program are required to have an investigative report entered into Tennessee Offender Management Information System (TOMIS) or other TDOC Offender Management System (OMS). In the event that an offender is admitted into the program, and has a Pre-Sentence Report on the current offense in TOMIS/other TDOC OMS, the community corrections Agency is not required to complete a report. Any offender admitted into a community corrections program, who does not have an investigative report on file in TOMIS/other TDOC OMS is required to have a post-sentence report completed and entered into TOMIS/other TDOC OMS within forty-five (45) working days from program admittance.

S1.05 All community correction offenders who are revoked shall have a classification report completed in TOMIS/other TDOC OMS. If an investigative report was already completed by the community correction agency and is in TOMIS/other TDOC OMS, the supervising Agency shall be required to update the PSI information as required by the Tennessee Department of Correction, Pre-sentence Investigation Manual. Otherwise, a classification report is required to be completed within ten (10) working days following the date the offender was revoked.

S2.00 Records

S2.01 The Grantee has written policy, procedures, and practice governing case record management, including, at a minimum, the following areas: the use and content of offender records; right to privacy; security, placement, and preservation of records; and schedule for retiring or destroying inactive records.

S2.02 Each case record includes, at a minimum, the following information:

- A. Offender Background Information Form
- B. Investigation Report on TOMIS/other TDOC OMS (PSI),(PSR)
- C. Signed behavioral contract and/or program rules if applicable;
- D. DNA- buccal swabbing information
- E. Medical, Psychological record (if applicable);
- F. Individual plan or program (if applicable);
- G. Signed release of information forms (when utilized);
- H. Evaluation/assessments; VRNA, TCUD,O*NET (as identified)
- I. Current employment data;
- J. Judgment document and/or court order to community correction;
- K. Signed Offender Grievance Form;
- L. Referrals to other agencies (if applicable);
- M. Drug/Alcohol screenings/results;
- N. Progress reports;
- O. Chronological entries;
- P. Violation Report (if applicable);
- Q. Grievance and disciplinary record (if applicable);
- R. Title VI;
- S. Sex Offender register (if applicable);
- T. Judges orders for DNA testing (if applicable);

S2.03 An Intake and Termination report is to be recorded in TOMIS/other TDOC OMS by the Grantee on every offender both at intake and termination, including transfers between Community Correction programs and including suspension of direct supervision, specifically recording information that provides detail about offender's arrival and departure to the program. Intake and Termination reports are to be recorded in TOMIS/other TDOC OMS.

S2.04 Offender case record audits are conducted by the manager or manager designee in accordance with written policies and procedures. Program Managers will insure that quarterly audits are conducted on each case officer, and the manager will insure that all offender case records are reviewed by the manager or manager designee at least once during each 90 day period. Agency managers will ensure that offender case records comply with State and Program standards and that there is clear documentation of these audits within in each offender case file. A follow-up review will be conducted by the same within 45 days following the initial case file audit to verify any case record discrepancy findings during previous audit have been addressed.

S2.05 Written policy and procedure regarding the confidentiality of individual case records will address at a minimum:

1. Offender access;
2. Staff access;
3. Circumstances when release of information is permitted; and
4. Restrictions on the type of information that can be released.

S2.06 Required release of information forms shall include but are not limited to:

1. Name of person, agency, or organization requesting information
2. Name of person, agency, or organization releasing information;
3. The specific information to be disclosed;
4. The purpose or need for the information;
5. Expiration date;
6. Date consent form is signed;
7. Signature of offender; and
8. Signature of individual witnessing offender's signature.

A copy of the consent form is maintained in the offender's case record.

S2.07 Written policy and procedure specify that all materials relating to any offender with which the Grantee has had personal contact, shall be maintained for at least five (5) years after termination of the case, and/or until all audit issues have been resolved; whichever is longer.

S2.08 Written policy and procedure specify that in the event an officer is on leave or whose position is vacant for an extended period of time, that there exists and is implemented a mechanism to provide continuing supervision services to the vacant officer's caseload.

S2.09 Written policies shall provide that all staff adhere to Tennessee Department of Correction procedures and functions regarding access and use of the TOMIS/other TDOC OMS offender management/ tracking system. Programs shall be aware of and ensure the necessity of system security procedures. All agencies will utilize the TOMIS/other TDOC OMS system as mandated by the Tennessee Department of Correction. Programs are required to enter TOMIS/other TDOC OMS information for the following functions:

Within 10 working days:

1. Offender Movements (LIMD)
2. Offender Intake Report (LCDG) of arrival (AAAA)
3. Offender DNA sample confirmation on (DNAV)
4. Staff Assignments (LCD3)
5. Plan of Service (LCDF) (*PLACE OPI SCORE ON THIS SCREEN*)
Within 45 days: (Investigative Report (LCLS and Related Screens)
6. Offender Discharge/Termination Report (TEPE), TOMIS/ (LCDG) of departure

S3.00 Intake. Transfer. Discharge and Termination

S3.01 The intake report shall be entered in TOMIS (LCDG)/other TDOC OMS using code AAAA to record detailed information about the offender's arrival. The Intake Report should include at a minimum:

1. Date and Time of last court date appearance.
2. Judgment Order information or placement relevant details.
3. Restrictions, Court Ordered special instructions /treatment assignments.
4. Estimated date of program completion.

S3.02 Policy outlines the Validated Risks and Needs Assessment (VRNA) process, and all other assessment processes for each offender referred or under supervision. A complete (VRNA) is required for every offender, unless a current VRNA exists upon arrival. Only manager approved Grantee staff will conduct and record an VRNA and TCUD results, and must do so within 60 days of an offender's arrival. VRNA and TCUD assessments must be repeated every calendar year, for each supervised offender.

At a minimum this includes:

1. What constitutes an assessment;
2. Who conducts the assessment;
3. When it is conducted; and
4. The format in which information is collected and summarized; and
5. Comply with TDOC's RNA Q&A policies and recommendations

S3.03 Unless an Offender DNA sample is confirmed on TBI's DNAV Web page within the first (10) days after Offender's arrival, staff will conduct a swab sampling and record the information in the offender file, and on TOMIS (LCLA)/other TDOC OMS within (60) days of an offender's arrival.

S3.04 The assessment should include any report submitted to the court prior to sentencing that identifies an Offender's specific needs, or a similar report prepared after sentencing. At a minimum this includes information from outside agencies or vendors, or any internally generated diagnostic evaluations.

S3.05 All offenders in community correction shall have a written, signed behavioral contract. At intake, the community correction staff shall discuss and develop with each offender a written behavioral contract based on assessment of client needs, outlining specific objectives to be achieved by the offender while in the program, the offender's obligations to the victim and community, and signed by the offender agreeing to abide by the terms of the contract.

S3.06 Policy and procedure insure that each offender understands his/her conditions of sentence; receives a written copy; and acknowledges receipt and understanding in writing.

S3.07 When specific services ordered by the court are not available, the field staff shall notify the court. Documentation of such notification shall be maintained in the offender's case file.

S3.08 Policy and procedure establish a process for the successful discharge/termination of offenders. At a minimum, each offender file will be reviewed for successful termination after each twelve (12) month period of supervision. The first such review will come at 12 months or at the discretion of the Program Manager or designee. The results of the review will be recorded in the case file.

S3.09 The Grantee shall adhere to the Tennessee Department of Correction written procedures governing the transfer of offender supervision to and from other agencies. All transfers shall be acceptable if an offender has residence in the receiving agency county, is determined to be ready transfer and has the sentencing courts permission to transfer.

S3.10 All paperwork must be complete (i.e.; the case file set-up, pre or post sentence reports), fees, behavioral contract signed and explained to the offender, initial interview and assessments completed, and all entries completed on TOMIS/other TDOC OMS. This is the sending Agency's responsibility to have completed on all offenders.

S3.10.1 The sending manager is to contact the receiving manager, by EMAIL to notify of request to transfer and to start the transfer investigation.

S3.10.2 The receiving grantee has (15) days to assign transfer investigation to an officer, investigate, and reply to the sending agency's manager.

S3.10.3 The receiving agency manager contacts the sending agency as to status of transfer, (accepted or rejected) by EMAIL.

S3.10.4 The sending agency forwards the case file. Any file that has incomplete data should be returned to sending agency.

S3.10.5 Receiving agency should make TOMIS/other TDOC OMS changes, (LIMD, LCD3, LCDF, LCDG) and start supervising the case.

S3.10.6 Sending agency should do TEPE entry on TOMIS/other TDOC OMS explaining reason for transfer, any treatment provided or other interactions, and any court ordered conditions.

S3.11 Written policy and procedure requires that all offenders are informed of the grievance procedure available and discussed the procedure with the offender during the intake process.

S3.12 The Grantee shall develop policy and procedures that specifically outlines the frequency and manner in which offender drug testing, criminal records checks and employment verifications are administered for active cases under supervision. Any such procedure shall be quantifiable.

S3.13 The discharge/termination report shall be entered in TOMIS (LCDG) or other TDOC OMS under code TEPE to record detailed information about the offender's departure. The discharge/termination Report should include at a minimum:

1. Date and Time of program completion/departure.
2. Relevant outcomes or details of termination.
3. Outcome assessment/ staff treatment assessment/comments.
4. Detail any program performance highlights.

S4.00 Offender Contacts and Supervision

S4.01 The Grantee mission statement affirms that the supervision program is to provide necessary services to felony offenders with the goal of reducing the probability of continued criminal behavior and maintaining the safety of the community.

S4.02 Written policy prohibits any offender from being in a position of control or authority over another.

S4.03 The Grantee will have a written policy and procedure relative to searches which clearly states they are precluded from searching an offender, their home, or property.

S4.04 There is a written procedure for the prevention, detection, and apprehension of absconders. This procedure is reviewed and updated annually.

S4.05 There is a written policy restricting the use of physical force unless justifiable self-protection, protection of others, prevention of property damage, and then only to the degree necessary and in accordance with appropriate statutory authority.

S4.06 All incidents requiring physical force or restraint shall be reported in writing, dated and signed by the staff reporting the incident. Such reports shall be placed in the offender's case file and a copy forwarded to the Director of Community Correction within 30 – minutes of a grantees knowledge of the event occurring.

S4.07 The use of personal abuse and corporal punishment is prohibited through written policy and procedure.

S4.08 Policy and procedure shall require all offenders begin community correction supervision as a level one offender. Revision of the conditions, and/or level of supervision will be made when appropriate, all movements to a more/less restrictive supervision level will require supervisor-level approval. In any case no movement to a less restrictive supervision level shall be made unless and until the offender has been in compliance on the current supervision level for a minimum of 90 consecutive days.

S4.09 Policy establishes levels of supervision and regulates movement between levels. Grantee policy allows supervision levels to be more intensive but not less intensive than the Tennessee Department of Correction directives. The Grantee will follow supervision-level requirements to ensure offender supervision matches level assignment as indicated within the following:

Level One: Face to face contact a minimum of twice weekly. One home visit every 30 day period.

Level Two: Face to face contact a minimum of once weekly. One home visit every 30 day period.

Level Three: Face to face contact at least once every fifteen (15) day period. One home visit per 90 day period.

Level Four: Face to face contact at a minimum of once each (calendar) month in the office to verify that program goals and special conditions are current (Sup. Fees and CCF Fees, etc) No offender will be placed on level four until he/she successfully completes twelve months of supervision and the court has denied transfer to probation. Documentation of the court's refusal to transfer offender to probation shall be placed in offender's file.

A week is defined as a calendar week. There shall be no gaps of more than ten (10) days between face to face contacts. Agency policy will define what constitutes a reasonable attempt to conduct a face to face contact.

S4.10 Policy requires that the case officer or other duly authorized persons maintain personal contact with with the offender according to the supervision level set by minimum state standards and program guidelines. Supervision of the offender should include at a minimum the monitoring of an offender's special conditions and employment status. A duly authorized person is any Agent or qualified person who offers the necessary services on an accepted contractual basis. All offender contacts shall be documented in the chronological records.

S4.11 The Grantee's total active caseload may not average above 40 active offenders per case officer, unless otherwise authorized by the Tennessee Department of Correction at its discretion to exceed this limit. **(NCR)**

S4.12 Administrative cases or inactive cases may not be counted towards the 40 to 1 caseload ratio. Administrative cases are defined as those cases where an offender has absconded from community correction supervision. Inactive cases are defined as those cases where an offender has been incarcerated in a County or State correctional facility for any reason or is in a residential treatment program. Also any offender who has been arrested while on Community Correction for a violation of program rules and has made bond to secure his/her release shall be considered an inactive case, and not under the supervision of community correction.

S4.13 Written policy and procedure provide that the case supervision program staff may request the court to add, remove, or modify any or all of the special conditions of supervision.

S4.14 Written policy specifies the type of actions required to locate and recover absconders prior to the issuance of a violation warrant. An absconder is defined as an offender with whom no contact has been made for a maximum of thirty (30) days. Grantee policy will specifically identify the minimum time period in which a violation warrant is filed with the sentencing court. The absconder may then be entered on NCIC.

S4.15 Written policy states that community correction offenders may not cross the Tennessee state line into another state except with the written approval of the sentencing court.

S5.00 Violations

S5.01 Written policy shall establish a process for handling known and alleged violations. Following confirmation of a violation, the case officer will adhere to established procedures to determine what action is required. A decision will be made at this time regarding the need for a formal violation and/or revocation proceeding or an informal administrative adjustment (sanctions imposed). Alternatives to revocation are encouraged when public safety is not endangered and the possibility of successful community adjustment exists.

S5.02 Any violation with a request for a warrant must be approved in writing by a manager or designee.

S5.03 Policy prohibits the general use of offenders as police informants and specifies any conditions for exceptions. If an offender is used as an informant this will be noted in the chronological entries in the case record. Procedures will include securing the approval of the program manager and the court.

S5.04 Written policy and procedure provide for the use of physical force only in instances of justifiable self-defense, protection of others, prevention of property damage, and in accordance with appropriate statutory authority. Only the minimum force necessary is employed.

S5.05 All incidents occurring within the jurisdiction of the Grantee concerning the safety and security of the facility, community, staff and/or supervised offenders or which may result in media attention, must be reported to Tennessee Department of Correction Central Communications Center and the State Director of Community Correction within 30 – minutes of an agency's knowledge of the event occurring.

S5.06 Written policy and procedure shall specify that all Community Correction personnel are prohibited from carrying weapons during the performance of duty. Any Personnel proven to be in violation shall be subject to disciplinary action up to and including termination as provided in grantee policy.

S6.00 Community Service, Restitution and Fees

S6.01 Written policy requires that, in court ordered cases where the victim suffered monetary and/or property loss, there will be a written restitution contract discussed and developed with each offender containing these minimum elements:

- A. Name of offender and victim;
- B. Total amount of restitution;
- C. The amount of payment;
- D. The method of payment; and
- E. The payment schedule.

S6.02 The victim will be consulted when possible by the district attorney's office or the program staff in the development of the restitution plan. The Grantee is encouraged to develop restitution plans for the offender's consideration. The following factors about the victim and the offender should be considered:

- 1. Present income/employment;
- 2. Physical and mental condition of the offender;
- 3. Education;
- 4. Family circumstances; and
- 5. Victim impact and loss.

S6.03 Policy requires that all offenders participate in community service work unless specifically ordered not to by the court. Placement should, wherever possible, fit the needs and skill of the offender and provide meaningful work to the community. Community service hours will be reasonable and will not interfere with the offender's regular paid employment. Offenders will be supervised at all times while performing community service work.

S6.04 Policy will require that there is a written agreement between the offender, the program and the agency receiving services. The agreement will contain:

1. Name, address, and phone number of agency;
2. Job duties;
3. Service hours and days;
4. Site supervisor's name and responsibilities;
5. Time frame for completion; and
6. Signatures of offender, program manager or designee and an agency representative.

S6.05 Where program staff directly supervises offenders performing community service work, the written agreement will contain the following:

1. Job duties;
2. Service hours and days;
3. Time frame for completion; and
4. Signatures of offender, program manager or designee.

S6.06 Written policy and procedure specify that all offender payments (fees, fines, restitution) collected by the agency shall have a pre-numbered receipt prepared and placed in the offender case file. One copy shall be given to the offender at the time of collection. Only money orders, and cashiers checks are the accepted forms of payment from offenders. In no circumstance shall cash payment be accepted from offenders. Offender supervision fees are considered to be current if the fee balance owed is not delinquent by more than ninety (90) calendar days. The Agency must follow the collection procedures as described in the Fee Manual when collecting the Community Correction Fees (CCF), with exception to references to the TOMIS/other TDOC OMS fee system.

S6.07 All supervision fees collected must be deposited into a bank account within (72) hours after collection accounted for and reported within the month received.

S6.08 Supervision Fees are to be collected by the Grantee to offset their grant budget. Grantees should strive to collect a minimum 75% of the supervision fees owed by offenders. Grantee will use the following formula to calculate Supervision Fee obligation/projection:

$$\text{Number of Case Officer} \times \text{Contract listed number of Active Cases} \times \$15.00 \times 12 \text{ Months} \times 75\% = \text{Supervision Fee obligation}$$

The Supervision Fee obligation will be shown, with the calculations written in the narrative part, on line 24 of the Budget Detail Sheet that is attached to each contract and any subsequent amendments.

S6.09 With approval from the State, any Supervision Fees collected over the Obligation amount as detailed in the Grantee's Contract, (see 11.08), may be expended by the collecting grantee during the fiscal year collected for one-time expenditures only unless otherwise directed by the State. Over-collections approved to be used will not decrease the level of State funding except in the last month of a fiscal year. Any unused portion of the over-collection will be used at the end of a fiscal year to decrease the amount of State funds needed to pay the final expense claim.

COMMUNITY CORRECTION DAY REPORTING CENTER STANDARDS

DR1.00 DAY REPORTING ADMINISTRATION AND MANAGEMENT

DR1.01 The Grantee has written policies and procedures for the day reporting center's program and these are specified in the policy and procedure manual that is accessible to all employees. The manual is reviewed at least annually and updated as needed. The policy and procedure manual may be separate or included in the community corrections policy and procedure manual.

DR1.02 The Grantee shall have written Policy and Procedure to ensure compliance with PREA "No Tolerance" policy and display signage and publications in-plain view at all agency locations, at all times.

DR1.03 All incidents occurring within the jurisdiction of the Grantee concerning the safety and security of the facility, community, staff and/or supervised offenders or which may result in media attention, must be reported to Tennessee Department of Correction Central Communications Center and the State Director of Community Correction within 30 – minutes of an agency's knowledge of the event occurring.

DR2.00 PROGRAM SERVICES

DR2.01 The Grantee has a written policy and procedure that governs the programs offered by treatment, education, and vocational programs, and coordination with other grantee programs and services in the community.

DR2.02 The day reporting center's program provides or makes arrangements for the following services:

- VRNA and TCUD risk/needs assessments
- education/vocation programs
- individual and evidence-based treatment activities that may include a holistic counseling approach
- family contact, if needed
- mental health services
- buccal swabbing sampling

DR3.00 RECORDS

DR3.01 The Grantee has written policy, procedures, governing case record management, including, at a minimum, the following areas; the use and content of offender records; right to privacy; security, placement, and preservation of records; and schedule for retiring or destroying inactive records.

DR3.02 The Grantee maintains a record on each offender available in a master case file, and includes, at a minimum, the following information:

- Initial intake Information Form
- Case information from referral source
- Case history/social history
- DNA- Buccal swabbing information
- Medical records, when available
- Psychological/psychiatric reports, if available
- Assessment VRNA/TCUD results info and program plan
- Current employment data
- Program rules and disciplinary policy, signed by offender
- Documented legal authority to accept offender
- Title VI
- Referrals to other agencies
- Pertinent education information
- Exit Summary
- Signed medical consent authorization, if applicable

DR3.03 An Intake and Termination report is to be recorded in TOMIS/other TDOC OMS by the Grantee on every offender both at intake and termination, including transfers between Community Corrections programs and including suspension of direct supervision, specifically recording information that provides detail about offender's arrival and departure to the program. Intake and Termination reports are to be recorded in TOMIS (LCDG)/other TDOC OMS.

DR3.04 Program policies shall provide that all staff adhere to Tennessee Department of Correction procedures and functions regarding access and use of the TOMIS/other TDOC OMS system. Programs shall be aware of and ensure the necessity of system security procedures. All programs will utilize the TOMIS/COMET system as mandated by the Tennessee Department of Correction. Programs are required to enter TOMIS/other TDOC OMS information for the following functions:

Within 10 working days:

1. Offender Movements (LIMD)
2. Offender Intake Report (LCDG) of arrival
3. Offender DNA sample confirmation on (DNAV)
4. Staff Assignments (LCD3)
5. Plan of Service (LCDF) (*OPI SCORE ON THIS SCREEN*)
Within 45 days: (Investigative Report (LCLS and Related Screens))
6. Offender Termination Report (LCDG) on departure

DR4.00 Intake and Termination

DR4.01 The intake report shall be entered in TOMIS (LCDG)/other TDOC OMS under code AAAA to record detailed information about the offender's arrival. The Intake Report should include at a minimum:

1. Date and Time of last court date appearance.
2. Judgment Order information or placement relevant details.
3. Restrictions, Court Ordered special instructions /treatment assignments.
4. Estimated date of program completion.

DR4.02 The discharge/termination report shall be entered in TOMIS (LCDG)/other TDOC OMS under code TEPE to record detailed information about the offender's departure. The Discharge/Termination TEPE Report should include at a minimum:

1. Date and Time of program completion/departure.
2. Relevant outcomes or details of termination.
3. Outcome assessment/ staff treatment assessment/comments.
4. Detail any program highlights.

DR5.00 PHYSICAL PLANT

DR5.01 The building conforms to all applicable state and local building codes.

DR5.02 Private counseling and group meetings space is provided.

DR6.00 Supervision and Case Management

DR6.01 Written policy prohibits any client from being in a position of control or authority over other offenders.

DR6.02 The Agency will have a written policy and procedure for conducting searches of offenders.

DR6.03 There is a written procedure for the prevention, detection, and apprehension of absconders. This procedure is reviewed and updated annually.

DR6.04 There is a written policy restricting the use of physical force unless justifiable self-protection, protection of others, prevention of property damage, and then only to the degree necessary and in accordance with appropriate statutory authority.

DR6.05 All incidents of physical force or restraint shall be reported in writing, dated, and signed by the staff reporting the incident. Such reports shall be placed in the offender's case file and a copy forwarded to the Director of Community Correction within 30 – minutes of a grantee's knowledge of the event occurring.

DR6.06 The use of physical force and corporal punishment is prohibited through written policy and procedure.

DR6.07 Staff monitors movement of offenders into and out of the facility in accordance with written policy and procedure.

DR6.08 Unless a current VRNA and TCUD exists upon arrival, staff will conduct and record an VRNA and TCUD result for all new Intakes, within 60 days of an offender's arrival, and repeat assessments every calendar year, in the same calendar month as the last VRNA.

DR6.09 Unless an Offender DNA sample is confirmed on TBI's DNAV Web page within the first 10 days after Offender's arrival, staff will conduct a swab sampling and record the information in the offender file, and on TOMIS (LCLA)/other TDOC OMS within (60) days of an offender's arrival.

DR6.10 Offender case record audits are conducted by the manager or manager designee in accordance with written policies and procedures. Program Managers will insure that quarterly audits are conducted on each case officer, and the manager will insure that all offender case records are reviewed by the manager or manager designee at least once during each 90 day period. Agency managers will ensure that offender case records comply with State and Program standards and that there is clear documentation of these audits within in each offender case file. And a follow-up review will be conducted by the same within 45 days following the initial case file audit to verify any case record discrepancy findings during previous audit have been addressed.

COMMUNITY CORRECTION RESIDENTIAL PROGRAM STANDARDS

RP1.00 ADMINISTRATION, ORGANIZATION, AND MANAGEMENT

RP1.01 The Residential Facility hereafter referred to as the Facility shall be headed by a single administrative officer, appointed and responsible to the governing authority of known as the Grantee. An organizational chart is developed and reviewed annually (in writing) which accurately reflects the structure of authority, responsibility, and accountability within the agency.

RP1.02 Facility policy and procedure shall require that the facility administrator and supervisors shall meet at least monthly with staff members who are directly under their supervision. Meeting minutes will be kept.

RP1.03 The Facility shall have a policy manual that is reviewed, updated, and approved at least annually by The Advisory Board and/or agency administrator, and made available to all staff members and volunteers; and upon request, to others.

RP1.04 All changes to Grantee policy, procedure/operations manual and performance standards shall be submitted to the State Director of Community Correction for written approval prior to implementation.

RP1.05 The Facility will have a written policy to guard against conflict of interest.

RP1.06 Facility staff monitors movement of residents into and out of the facility in accordance with written policy and procedure.

RP1.07 The Facility shall have written Policy and Procedure to ensure full compliance with PREA as it pertains to residential facilities, and shall adhere to the "No Tolerance" policy of PREA as well as provide additional services, or accommodations. Agency will display of PREA signage and publications in-plain view, at all times.

RP2.00 RECORDS

RP2.01 The Facility will maintain a case record for each client who receives services. Each case record includes the following information:

- Initial Intake Information Form
- Case Information from Referral Source (if available) Investigative Report Medical Record (if available)
- Behavior Contract or Plan
- DNA- Buccal swabbing information
- Signed Release of Information Forms
- Assessment VRNA and program plan
- Offender Evaluation and Progress Reports (Minimum of monthly basis)
- Offender Daily Chronological Entries
- Signed Grievance Statement of Understanding
- Current Employment Data
- Program Rules and Disciplinary Policy (signed and dated by client and staff)
- Documented Legal Authority to Accept Resident (court order)
- Grievance and Disciplinary Record (if applicable)
- Referrals to Other Agencies (if applicable)

RP2.02 An Intake and discharge/termination account is to be recorded by the facility on every client, beginning at intake through discharge/termination. Case file records should provide specific details about each client's arrival to and departure from the residential facility, including specifics of any evidence-based treatments provided.

RP2.03 Facility policies shall provide that all staff adhere to Tennessee Department of Correction procedures and functions regarding any access or use of the TOMIS/other TDOC OMS system. Agencies shall be aware of and ensure the necessity of system security procedures. When accessed all residential facilities will utilize the TOMIS/other TDOC OMS system as mandated by the Tennessee Department of Correction.

RP2.03 All entries into the case file are dated and clearly identify the staff member making the entries.

RP2.04 At the termination of the client's program participation, a termination report is recorded and maintained, which reviews the client's performance and departure information.

RP2.05 At a minimum, audits on all residential facility offender case files will be conducted on a quarterly basis and according to policy and procedure.

RP2.06 The Facility will have written policy and procedure regarding the confidentiality of individual case records (i.e., addresses, client access, staff access, and release of information). In compliance with written policy and procedure all case records are marked "confidential" and kept in a secure location, at all times.

RP3.00 FACILITY

RP3.01 The Facility shall not enter into any agreement that purports to create an interest in real property (e.g. rental agreement) until said rental agreement is approved, in writing, by the Commissioner of the Tennessee Department of Correction or his/her designee.

RP3.02 The Facility shall be in compliance with all applicable zoning ordinances or is attempting to comply with or change such laws, codes, or zoning ordinances through legal means and shall conform with applicable building codes.

RP3.03 The facility will be located within one mile of public transportation, or other means of transportation is available.

RP3.04 The Facility will have documentation stating that all sleeping quarters have ventilation of at least 10 cubic feet of outside or re-circulated filtered air per minute per human occupant.

RP3.05 The Facility will have documentation stating that all sleeping quarters have lighting of at least 20 foot-readability in reading and grooming areas.

RP3.06 To the extent possible, all sleeping areas of the residential facility provide some degree of privacy.

RP3.07 Each client has been provided in their sleeping quarters a bed, mattress and-pillow, bed linen, chair, and closet/locker space for the storage of personal items.

RP3.08 The Facility will have a written policy and procedure regarding the issuance of clean, usable bedding, linen, and towels to new residents, with the provision for laundering on a weekly basis.

RP3.09 The Facility will provide personal hygiene articles on an emergency basis.

RP3.10 The Facility will have a written policy that outlines the rules that permit offenders to decorate their sleeping quarters and/or common use areas.

RP3.11 The Facility will provide private counseling space with adequate furniture.

RP3.12 The Facility, at a minimum, has one operable toilet for every ten residents.

RP3.13 The Facility, at a minimum, has one operable washbasin with hot and cold running water for every ten residents.

RP3.14 The Facility, at a minimum, has one operable shower or bathing facility with hot and cold running water for every ten residents. The hot water does not exceed 110 degrees F (43 degrees C).

RP3.15 The Facility has one operable washer and one operable dryer for every 10 residents.

RP3.16 The Facility is in compliance with the sanitation and health codes of the applicable government's jurisdiction.

RP3.17 The Facility will have a written policy and procedure regarding vermin or pest control, and for trash and garbage removal.

RP3.18 The Facility has a written documentation that weekly sanitation and safety inspections of all internal and external areas and equipment are conducted in accordance with written policy and procedure.

RP3.19 The Facility will ensure that the facility is in good repair with a housekeeping and maintenance plan.

RP3.20 The Facility will have written policy and procedure regarding maintenance and use of facility vehicles when in use.

RP3.21 The Facility will have at least one telephone available and accessible to all clients.

RP4.00 SAFETY AND EMERGENCY PROCEDURES

RP4.01 The Facility will have written fire and other emergency plan/s that are communicated to all employees, volunteers, visitors, and offenders. These plans are reviewed and updated at least annually.

RP4.02 There shall be a written policy and procedure regarding fire prevention regulations to ensure the safety of staff, volunteers, offenders, and visitors. The policy and procedure include:

- Provisions for qualified/certified fire protection service
- A system of fire inspections and testing of equipment and related services
- An annual inspection by a local and/or state fire official
- Availability of fire protection equipment at designated locations

RP4.03 All emergency plans shall be disseminated to all designated staff and are posted in conspicuous places in the residential facility.

RP4.04 All Staff are initially trained in the implementation of the emergency plans. All training shall be documented.

RP4.05 Emergency evacuation drills and annual training thereafter are conducted at least quarterly during hours when the majority of residents are in the residential facility. All drills are to be documented.

RP4.06 All residential facility exits are in compliance with state and/or local fire safety code.

RP4.07 The Facility shall have automatic fire alarm and smoke detection systems that are approved by the state fire marshal. All systems shall be tested on a regular basis. The residential facility shall have documentation on the system testing.

RP4.0 All hazardous substances shall comply with TOSHA standards pertaining to the storage and safety data sheet accessibility (dealing with chemicals).

RP5.00 FOOD SERVICE

RP5.01 When the facility contracts for food service, the Contractor shall comply with all sanitation and health codes enacted by the state and/or local authorities.

RP5.02 All food service provided requires that all menus are reviewed and approved by a registered dietitian or physician. The Tennessee Department of Correction master menu may be utilized as an approved dietary plan.

RP5.03 The Facility will have a single menu for staff and clients.

RP5.04 Special diets are prepared to meet the medical needs of residents and provisions are made to meet the dietary needs of the residents.

RP5.05 All in-house food services shall comply with all sanitation and health codes enacted by state and/or local authorities.

RP5.06 All foods are properly stored at the end of each meal.

RP5.07 Kitchen and dining areas are properly ventilated, furnished, cleaned and meet all relative OSHA and public health ordinances.

RP6.00 MEDICAL CARE AND HEALTH SERVICES

RP6.01 The Facility will have a written agreement with a licensed hospital, clinic, or physician to provide emergency services on a 24-hour basis.

RP6.02 There is one staff member present on each shift trained in emergency First-aid procedure including cardiopulmonary resuscitation (CPR), 911 emergency contact capability and take-action authority. In addition each residential facility will display an automated external defibrillator (AED) for emergency use only.

RP6.03 There are written emergency medical back-up plans which are communicated to all employees and residents.

RP6.04 First-aid equipment is available at all times. Said equipment shall be approved by a recognized health authority. A monthly inspection of first aid equipment shall be made by the program manager or designee to ensure equipment meets minimum stocked standards of health authority.

RP6.05 At the time of admission, facility staff will inquire about any physical problems that might require medical attention and documents the disclosed medical history in the offender's case file.

RP6.06 The Facility will have a written policy and procedure to provide medical examination for any employee or resident suspected of having communicable disease or debilitating condition (e.g. diabetes, heart disease, or epilepsy).

RP6.07 The Facility will have a written policy and procedure regarding urine collection for testing purposes and interpretation of results.

RP6.08 The Facility will have a written policy and procedure regarding the possession, control and use of controlled substances: prescribed medications, and over-the-counter drugs. These policies and procedures also stipulate that prescribed medications are administered to the resident according to the specific directions of their prescribing physician.

RP6.09 The Facility will have a written policy and procedure stating that records of all medications that are distributed by staff are maintained and audited daily. Also the records will include date, time, and name of resident receiving medication, and the name of staff distributing medication.

RP6.10 The Facility will have a written policy and procedure providing the prompt notification of the client's next of kin in case of serious illness, surgery, death, or injury. Any agency death shall be reported immediately to first the proper authorities and to the TDOC Central Communications Center as well as to the State Director of Community Corrections within 30-minutes of an agency's knowledge of the event occurring.

RP7.00 Intake. and Termination

RP7.01 For Grantees providing both supervision and residential services to a TDOC offender an intake report shall be entered into TOMIS(LCDG)/other TDOC OMS conversation under code AAAA to record detailed information about the offenders. The Intake Report should include at a minimum:

1. Date and Time of last court date appearance.
2. Judgment Order information or placement relevant details.
3. Restrictions, Court Ordered special instructions /treatment assignments.
4. Estimated date of program completion.

RP7.02 The termination report shall be entered in TOMIS (LCDG)/other TDOC OMS conversation under code TEPE to record detailed information about the offender's departure. The Discharge/Termination Report should include at a minimum:

1. Date and Time of program completion/departure.
2. Relevant outcomes or details of termination.
3. Outcome assessment/ staff treatment assessment/comments.
4. Detail any program highlights.

RP7.03 The Agency will have a written policy and procedure governing intake information. The following will be completed on the initial intake form:

Name
Address
Date of Birth
Sex
Race or ethnic origin
Reason for referral
Whom to notify In case of emergency
Date information gathered
Name of referring agency or committing authority
Special medical problems or needs
Personal physician
Legal status, including jurisdiction, length and conditions of sentence
TOMIS/other TDOC OMS number
Medical history
Signature of both interviewee and staff taking information.

RP7.04 Discrimination on the basis of race, creed, or national origin is prohibited and is clearly stated in agency policy and made available to the offender.

RP7.05 A copy of admission criteria and pre-intake procedures is distributed to all referring agencies.

RP7.06 When a referral is not accepted into the program the referring agency and/or court is notified and a specific reason is stated.

RP7.07 At the time of intake, the staff discusses with the client the following information:

Program goals
Rules governing conduct
Program rules and regulations
Possible disciplinary actions and procedures available to staff
Available services

RP7.08 The above is documented by both the client and staff's signature and the client is specifically given a signed copy of the rules and regulations.

RP7.09 Staff designs a written treatment plan for each resident. The plan is signed and dated by staff and client. The plan includes criteria of expected behavior and accomplishments, and at a time schedule for achieving specified goals. Within the first two weeks of a resident's admission, a treatment plan will be completed.

RP7.10 On a monthly basis the resident's progress will be reviewed either through a staff meeting or by individual staff and the results will be documented.

RP7.11 Any changes in the behavioral plan will be discussed with that resident. This will be dated and documented by the staff and resident's signature.

RP7.12 There is at least one Staff person on the premises who is awake, available, and responsive to the residents' needs 24-hours a day.

RP7.13 All Program rules and regulations pertaining to residents are posted in a conspicuous place.

RP7.14 The Facility will have a written policy and procedure regarding grievance and appeal process. This policy states the grievance is transmitted without alteration, interference, or delay to the party responsible for receiving and investigation.

RP7.15 There is a written policy and procedure regarding the removal of any client from the program.

RP7.16 Policy and procedure is written regarding the house's reimbursement by residents.

RP7.17 The Facility resources will be used to assist residents in locating suitable housing upon termination from the program.

RP7.18 The opportunity for recreational and leisure time activities is provided to all residents.

RP7.19 The Facility will have a written policy and procedure regarding the enrollment of residents in educational and vocational training programs.

RP7.20 The facility has a written policy and procedure allowing residents to attend religious services on a voluntary basis.

RP7.21 Intake and Termination Reporting information will be listed in TOMIS/other TDOC OMS under code AAAA for Intake, and code TEPE for Termination. (Code entry reserved for grantees providing both: supervision and residential accommodations for TDOC placed offenders).

RP7.22 Unless a current VRNA exists upon arrival, staff will conduct and record a VRNA and TCUD result for all new Intakes, within 60 days of a client's arrival.

RP7.23 Unless an Offender DNA sample is confirmed on TBI's DNAV Web page within the first 10 days after Client's arrival, staff will conduct a swab sampling and record the information in the client's file, and on TOMIS (LCLA)/other TDOC OMS within 60 days of an client's arrival.

RP8.00 SUPERVISION

RP8.01 There is a written policy to prohibit any client from being in a position of control or authority over other clients.

RP8.02 The Facility will have a written policy and procedure for conducting searches of clients and all areas of the residential facility in order to control contraband and locate missing or stolen property.

RP8.02 All incidents occurring within the jurisdiction of the residential facility concerning the safety and Security of that facility, its staff, and/or clients, or incidents which may result in media attention, must be reported to the Tennessee Department of Correction Central Communications Center and the State Director of Community Corrections within 30 – minutes of an agency's knowledge of the event occurring.

RP8.03 The Facility has a written procedure for the prevention, detection, and apprehension of absconders. This procedure is reviewed and updated annually.

RP8.04 The Facility has a written policy restricting the use of physical force unless justifiable self-protection, protection of others, prevention of property damage, and then only to the degree necessary and in accordance with appropriate statutory authority. All incidents requiring protective action must be documented, and reported.

RP8.05 The use of physical force and corporal punishment is prohibited through written policy and procedure.

RP8.06 Staff monitors movement of residents in and out of a facility in accordance with policy and procedure. 22
TDOC 3/13/2020

RP8.07 Offender case record audits are conducted by the manager or manager designee in accordance with written policies and procedures. Program Managers will insure that quarterly audits are conducted on each case officer, and the manager will insure that all offender case records are reviewed by the manager or manager designee at least once during each 90 day period. Agency managers will ensure that offender case records comply with State and Program standards and that there is clear documentation of these audits within in each offender case file. And a follow-up review will be conducted by the same within 45 days following the initial case file audit to verify any case record discrepancy findings during previous audit have been addressed.

Community Correction Program

GLOSSARY OF TERMS

1. Absconder

An absconder is: An offender who avoids or flees from supervision by concealing his or her whereabouts. There has been no face-to-face contact for (30) days. This differs from “failure to report” in that the officer’s investigation reveals that the offender has obviously and most likely left residence, job and geographic area with no intent to voluntarily return.

2. Active Case

The active supervision of felony offenders based on level one (1) through level four (4) of the Program Standards S4.10.

3. Administrative Supervision

The supervision of absconder felony offender’s records through arrest checks, phone calls and may include a home visit.

4. Alcohol and Drug Treatment

Evidence-based treatment services which are provided by a certified Substance Abuse Counselor, in either an outpatient or inpatient setting for the purpose of eliminating substance abuse dependency.

5. Arrest Records Check

A verification check by the supervising officer of an offender’s recent arrest/conviction history as completed through either the local or state law enforcement agencies. Documentation of the verification check is required.

6. Assessment

Any administered instrument that is utilized to evaluate an offender’s needs/behaviors in relation to provided supervision services. The assessment instrument is considered to be different than an investigative report. The assessment may be utilized to determine program eligibility, screening and specific services placements for offenders.

7. Behavioral Contract

A document, developed for the offender that is an agreement between the agency and the offender that outlines the plan that he/she will adhere to during the supervision period. The plan should incorporate special conditions, treatment services, educational/vocational counseling schedule, supervision contacts, restitution and community work service. The specific objectives to be achieved by the offender should have identified expected completion time frames.

8. Buccal Swabbing-DNA sampling

Offender’s DNA collection made through use of a TBI swabbing kit. A copy of the sampling form is placed in offender’s file to document the sampling, also a confirmation will be recorded in TOMIS under in LCLA.

9. Chronological Case Record (case notes)

A standardized method for documenting all offender contacts made by the offender's supervising officer. This record is maintained in the offender's case file (or electronically) and is kept in chronological order by date of contact.

10. Classification Report

An investigative report prepared for the Department of Correction required for offenders that are revoked and returned to a Department of Correction Institution or local jail facility. A report is required for all revocations and must contain the detail information required in the TDOC Investigation Guidelines Manual.

11. Collateral Contact

A contact made by the supervising officer with a person other than the offender.

12. Community Residential Center

A community correction facility that, is specifically designed to house offenders in a residential setting specifically designed to provide evidence-based treatment and rehabilitation services.

13. Community Service Work

Court ordered free labor by a community correction offender provided to non-profit agencies in the community.

14. Cost Allocation Plan

A means of distributing to various programs, costs which benefit more than one program and are not directly assigned. Cost allocation is basically a mathematical exercise to distribute costs to programs in a manner that the costs are proportional to the benefit received.

15. Curfew Checks

The regular monitoring of an offender's assigned curfew by the supervising community correction officer. The officer may use a mixture of home visits and electronic surveillance in order to accomplish this task.

16. Day Reporting Center

A highly structured community based program designed to allow offenders with special needs to report to the center on a frequent basis. Offenders are to adhere to weekly schedules for purposes of receiving evidence-based treatment services, programing needs i.e. counseling services, participant programing, employment readiness, etc.

17. Determinate Release

The process of releasing an offender that is sentenced to a local jail or state institution with a sentence of two (2) years or less and then placed on regular probation for supervision until revocation or expiration of sentence.

18. Diagnostic Evaluation

A clinical evaluation of an offender's psycho-social functioning; conducted by a certified professional through contract with a community corrections agency.

19. Discharge

The process by which an offender has (successfully) completed their time in a community correction program and is ready for release. Discharge can also mean: cases that have permanently transferred over to another community correction program, as long as the offender was in compliance when transferred. All offenders are required to have sentencing courts permission prior to transfer. A TEPE must be completed in TOMIS/COMET on all discharges to summarize an offender's performance while on community supervision.

20. Discharge Summary

The recording of a discharge, successful (release) of an offender from a community correction program. All discharges must come through court order. A court order is also required to discharge the offender prior to sentence completion, or successful transfer over to probation. Record discharge detail placed as a TEPE in TOMIS/COMET. ALL offenders must receive sentencing courts permission prior to transfer.

21. Documentation

Written detail which summarizes the event of an offender related contact by a community correction officer.

22. Electronic Monitoring

A computerized program of monitoring offender's whereabouts via electronic signals transmitted through telephone lines. Electronic monitoring systems are either passive or active. Passive systems utilize random contact with offenders and all offender contacts shall be verified as being the actual offender. Active systems utilize 24 hour monitoring of an offender's location in relation to his/her residence. All electronic monitoring contacts, negative or positive, shall be documented by the agency.

23. Face to Face Contact

A personal contact made between an offender and the case officer. Either in the supervising office, place of offender's employment, court house, etc. A home visit shall not be counted as a face to face contact. Telephone contact with an offender is never to be, considered to be, nor recorded as, a face to face contact.

24. Home Visit

Personal contact made between an offender and the officer at the offender's residence. A successful Home visit contact can only be counted as a home visit i.e., confirmation of offender's place of residence, or to conduct curfew check. A home visit should never be recorded as, nor intended to replace, nor counted as a face to face with an offender. All home visits, and outcomes will be recorded in the offender's case file.

25. House Arrest

Court ordered confinement of an offender at his/her established residence. The offender is not permitted to leave the residence without the expressed permission of the supervising officer. The offender in this status is monitored intensively by a minimum of two face to face contacts per week, and/or 24-hour electronic monitoring.

26. Inactive Cases

Cases in which there has been no face-to-face contact between the offender and the case officer for at least thirty (30) days (not absconders) this is when an offender has been incarcerated in a county or state correctional facility for any reason, and cannot be physically supervised by a Grantee. Also, any offender who has been arrested while on community correction for a violation of program rules and made bond to secure his/her release.

27. Indirect Cost

Cost associated with a financial audit, when community correction program is part of the audit, such as automated data processing, payroll administration, and financial administration or bookkeeping,

procurement services including solicitation of bids, preparation and award of contracts, portion of executive salaries in multi-program agencies which can not be specifically determined as direct cost.

28. Individual Plan (Supervision Plan)

A written document that is forwarded to the court, prior to and/or after an offender's placement in the program. This plan shall be inclusive of, but not exclusive of the following:

- a. assessments
- b. diagnostic evaluation
- c. written behavior contract special court ordered conditions
- d. investigative report

29. Inventory Control System (ICS)

TDOC's automated inventory control system utilized to manage and control items purchased with grant funds. System allows for tracking of items' location, disposition, value, and assignment.

30. Intake

The process by which a trial judge sentences an offender to Community Correction and upon arrival it is to be noted in TOMIS under LCDG in AAAA, and known as: intake reporting.

31. Intermediate Sanctions

Mechanisms that are administered by the community correction program for the offender as an alternative to revocation. The mechanisms involve the development of intensified contacts and/or applied programs that the offender must adhere to in order to regain full compliance with his/her community correction rules.

32. Investigative Report

An investigative report is required for all Tennessee felons and diversions. The Community Correction Officer is responsible for searching out all pertinent facts about the offender, verifying information gathered, interpreting and evaluating data, and presenting it in an organized and objective report through the entry of data into TOMIS/COMET conversations. The officer is responsible for investigating each offender without preconception or pre-judgment. Since there may be disclosure of sources of information, individuals must be informed that the information they furnish will be revealed to the defendant.

33. Judgment Order (Community Correction Order)

An official document signed by the Judge placing the offender in a community correction program.

34. Misdemeanor Offender

An offender who is convicted of an offense that is punishable for a maximum period of 11 months, 29 days. Offenders convicted of only a misdemeanor offense, are not permitted to be supervised on community correction.

35. Monthly Performance Review Scorecard

A TDOC internally developed Routine Monitoring Instrument (RMI) used to track, measure, and document contractor responsiveness and reporting or submissions timeliness during each open contract period.

36. Motivational Interaction

A non-confrontational process of interviewing and interacting with offenders that aims to establish professional rapport and enhance a person's motivation to change. This process includes active listening skills.

37. Non-Compliance Report (NCR)

Report issued by TDOC Administration to the contractor electronically detailing any non-compliance measure/action observed which contradicts the terms of the contract, or applicable policies. The notification will cite the contract or policy sections noted as being violated, details of the violation and providing the contractor space in which to respond. Response is expected within ten (10) working days of agency receipt.

38. Parole

Parole is a conditional release of a prisoner serving an indeterminate or unexpired sentence under the supervision of a parole officer. Parole is granted by the Board of Parole and, like probation, subjects the offender to certain rules and behavior standards.

39. Pending Case

A pending case refers to a community correction intake that is assigned to supervision, but the offender must first finish a probation sentence before the offender can begin their sentence with community correction. Meaning cases where the sentencing Judge has placed the CC sentence consecutive to the probation sentence.

40. Pre-Sentence Report

An investigative report on an offender's background that provides the court and agency with information for sentencing decisions and treatment provision. If the offender does not have a pre-sentence report completed in TOMIS at the initial court hearing, then a subsequent Investigative report containing the required information will be completed in TOMIS upon referral to the community correction program.

41. Probation

The release by the courts of a person found guilty of a crime, upon verdict or plea, without imprisonment subject to conditions imposed by the court and subject to the supervision of the probation service.

42. Probation Order

A court order that places the offender directly on to regular Probation, community-based supervision.

43. Random

A term used in Grantee policy to mean a non-prior scheduled event, i.e. drug screen, home visit employment check, etc. Such an event may need to take place within a certain timeframe, and according to grantee policy, yet is considered an at-will action, not limited to a regulated timeframe or schedule.

44. Referral Code

An acronym used to identify a particular activity in the chronological case history of an offender.

45. Restitution

An agreed-upon amount of compensation payable, by the offender, to the crime victim, as court ordered.

46. Revocation Order

An order signed by the Judge that revokes/terminates the offender from the community correction program and returns them to incarceration or another diversionary program. Place termination detail into TEPE.

47. Recidivism (Rate)

Recidivism is defined when a felony offender has re-entered the TOMIS/COMET system within any three-

year period after being released from: community supervision (community correction or probation) jail, or a TDOC correctional facility (incarceration). The rate (community correction) is determined by dividing the percentage of offenders who have returned within that three period following release from one (1) year or more, in supervision by a community correction Grantee, divided against the total census number under community correction supervision.

48. Rules of the Tennessee Community Corrections Program

Under the authority of Title 40, Chapter 36 of the Tennessee Code Annotated, the Tennessee Department of Correction is responsible for the development of rules that are in accordance with the requirements of the Administrative Procedures Act for the statewide implementation of the Tennessee Corrections Act. The rules clarify and interpret the elements of the Act; prescribe minimum standards for the establishment, administration and evaluation of community correction programs; and serve as a foundation for the Department's administrative policies as well as the local program operational policies and procedures.

49. Rural

Rural is defined as a multi-county judicial district. Area requiring often backroad/off-road travel.

50. Special Condition

A requirement of an offender that is ordered by the sentencing court that is not usually found in the standard rules of community corrections. The offender is required to complete or abide by a specific activity(s) which are intentionally designed to enhance the offender's probability of success.

51. Standards of Community Corrections

Guidelines that are developed in conjunction with the Rules of Community Correction that establish minimum requirements for administrative, fiscal, supervision, and records maintenance functions of all community corrections agencies.

52. Supervision Level

The identified level of supervision that an offender is required to be supervised at by the community correction officer. All supervision levels shall have minimum recommended time frames for total length of supervision. All changes to an offender's supervision level require prior management approval.

53. Support Staff

Any agency staff employee that does not have a caseload or actively supervises felony offenders.

54. TOMIS/other TDOC OMS (acronym)

Tennessee Offender Management Information System/ other TDOC Correctional Offender Management System electronic tracking mainframe used by the Tennessee Department of Correction to maintain information on all Community Correction sentenced offenders.

55. TEPE (acronym)

This is the closeout code to be used to load TOMIS/other TDOC OMS with discharge/termination result details of an Offender's assignment to a Community Correction facility. TEPE means: Termination Progress Evaluation. Such an entry to TOMIS/other TDOC OMS should contain all specific details of the offenders stay, as well as end results, treatment outcomes; details revolve around offender discharge (successful) or termination (unsuccessful) and should include case officer comments or notes. Residential Facilities complete a case file closeout.

56. Termination

The (unsuccessful) termination of an offender's time under community correction program supervision. A non-completion, offender left program under less-than-ideal circumstances plan aborted. Either by: abscond, revocation, violation, new arrest, for purposes OTHER than completing successfully. A termination TEPE must be placed in TOMIS/other TDOC OMS to close out the case. The TEPE should summarize the offender's performance while under community correction supervision.

57. Termination Summary

A termination TEPE report which is completed on all offenders terminated as (unsuccessful) for NOT completing their assigned court ordered sentence with community correction. A court order is required to terminate any offender, and a TEPE entry will be made TOMIS (LCDG)/other TDOC OMS to summarize the offender's performance while under community correction program supervision, also known as termination reporting or closing-case entries.

58. Transfer

The process by which an offender is transferred from one community correction agency to another. All required documentation must be in-place to complete transfer (according to program requirements). Place termination detail into TEPE. Transfers are considered to be successfully (discharged) from your program (only (IF) they are reported in TOMIS/other TDOC OMS as an AAAA entry by the receiving agency).

59. Travel Permit

A written document, signed by the Judge, which permits an offender to travel outside of the state. The document shall include dates, intended location and time of travel.

60. Validated Risk and Needs Assessment

A validated risk/needs assessment instrument that utilizes motivational interaction and interview techniques to collect offender-specific information to more accurately identify crime-producing attributes of each offender/resident and to make more appropriate and productive recommendations for the offender's/resident's level of programming.

61. Victim Restitution

Compensation made to a victim and/or community in the form of monetary payment or community service work by the offender.

62. Violation Report

A report filed in the sentencing court by the supervising agency that notifies that the offender is in non-compliance with the rules or special conditions as defined in the Community Correction Court Order.

63. Violation Closeout

Whenever a prior community correction supervised offender is arrested and has not been reinstated to any community correction program post the next court sentencing. The last supervising Grantee is responsible to enter a TEPE in TOMIS/COMET to close out (terminate) case to identify the outcome as (unsuccessful).

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The Community Correction Standards have been reviewed; and TDOC approved on _____ and are effective July 1, 2020.

Donna Burke

State Director of Community Correction

Approved Date: _____