

## GRANT SUMMARY SHEET

<b>Grant</b>	Community Corrections Services (TDOC) 21 Amend. 1
<b>Department:</b>	STATE TRIAL COURTS
<b>Grantor:</b>	TENNESSEE DEPARTMENT OF CORRECTIONS
<b>Pass-Through Grantor</b>	
<b>Total Award this</b>	\$1,512,148.00
<b>Cash Match</b>	\$0.00
<b>Department</b>	Joe Werner 862-8398
<b>Status</b>	AMENDMENT

**Program Description:**

Grant to operate the Davidson County Community Corrections program. Community Corrections is an alternative form of felony supervision that diverts eligible offenders from prison to a community-based supervision and treatment program. Amendment 1 extends the end date from 6/30/21 to 6/30/22. The amendment also adds an additional \$1,512,148.00 for a new grand total of \$3,024,296.00 to extend the current grant contract an additional year, increase the maximum liability accordingly, update the contact information, and reduce the Technology Professional Liability (Errors & Omissions)/Cyber Liability Insurance from \$10,000,000 to \$1,000,000 as recommended by OPO Risk Manager.

**Plan for continuation of services upon**

This function would revert back to the State Department of Correction.

### Grants Tracking Form

Part One

<b>Pre-Application</b> <input type="radio"/>		<b>Application</b> <input type="radio"/>		<b>Award Acceptance</b> <input type="radio"/>		<b>Contract Amendment</b> <input checked="" type="radio"/>				
Department		Dept. No.		Contact		Phone		Fax		
STATE TRIAL COURTS		028		Joe Werner		862-8398		865-8618		
<b>Grant Name:</b>		Community Corrections Services (TDOC) 21 Amend. 1								
<b>Grantor:</b>		TENNESSEE DEPARTMENT OF CORRECTIONS				<b>Other:</b>				
<b>Grant Period From:</b>		07/01/20		(applications only) Anticipated Application Date:						
<b>Grant Period To:</b>		06/30/22		(applications only) Application Deadline:						
<b>Funding Type:</b>		STATE		<b>Multi-Department Grant</b>		<input type="checkbox"/>		<b>If yes, list below.</b>		
<b>Pass-Thru:</b>				<b>Outside Consultant Project:</b>		<input type="checkbox"/>				
<b>Award Type:</b>		COMPETITIVE		<b>Total Award:</b>		\$1,512,148.00				
<b>Status:</b>		AMENDMENT		<b>Metro Cash Match:</b>		\$0.00				
<b>Metro Category:</b>		Est. Prior.		<b>Metro In-Kind Match:</b>		\$0.00				
<b>CFDA #</b>		N/A		<b>Is Council approval required?</b>		<input type="checkbox"/>				
<b>Project Description:</b>				<b>Applic. Submitted Electronically?</b>		<input type="checkbox"/>				
<p>Grant to operate the Davidson County Community Corrections program. Community Corrections is an alternative form of felony supervision that diverts eligible offenders from prison to a community based supervision and treatment program. <b>Amendment 1 extends the end date from 6/30/21 to 6/30/22. The amendment also adds an additional \$1,512,148.00 for a new grand total of \$3,024,296.00 to extend the current grant contract an additional year, increase the maximum liability accordingly, update the contact information, and reduce the Technology Professional Liability (Errors &amp; Omissions)/Cyber Liability Insurance from \$10,000,000 to \$1,000,000 as recommended by OPO Risk Manager.</b></p>										
<b>Plan for continuation of service after expiration of grant/Budgetary Impact:</b>										
This function would revert back to the State Department of Correction.										
<b>How is Match Determined?</b>										
<b>Fixed Amount of \$</b>		or		<b>% of Grant</b>		<b>Other:</b> <input type="checkbox"/>				
<b>Explanation for "Other" means of determining match:</b>										
Contract budget shows supervision fees collected from offenders as "match". In turn, TDOC reduces the reimbursements by the fees collected.										
<b>For this Metro FY, how much of the required local Metro cash match:</b>										
<b>Is already in department budget?</b>				<b>Fund</b>		32228		<b>Business Unit</b>		28320140
<b>Is not budgeted?</b>				<b>Proposed Source of Match:</b>						
<b>(Indicate Match Amount &amp; Source for Remaining Grant Years in Budget Below)</b>										
<b>Other:</b>										
<b>Number of FTEs the grant will fund:</b>		24.00		<b>Actual number of positions added:</b>		0.00				
<b>Departmental Indirect Cost Rate</b>		18.73%		<b>Indirect Cost of Grant to Metro:</b>		\$397,385.20				
<b>*Indirect Costs allowed?</b>		<input checked="" type="radio"/> Yes <input type="radio"/> No		<b>% Allow.</b>		18.73%		<b>Ind. Cost Requested from Grantor:</b>		\$200,000.00
										<b>in budget</b>
<b>Draw down allowable?</b> <input type="checkbox"/>										
<b>Metro or Community-based Partners:</b>										

Part Two

Grant Budget										
Budget Year	Metro Fiscal Year	Federal Grantor	State Grantor	Other Grantor	Local Match Cash	Match Source (Fund, BU)	Local Match In-Kind	Total Grant Each Year	Indirect Cost to Metro	Ind. Cost Neg. from Grantor
Yr 1	FY21		\$1,512,148.00		\$75,600.00	32228, 28320140	\$0.00	\$1,587,748.00	\$297,385.20	\$100,000.00
Yr 2	FY22		\$1,512,148.00		\$0.00	32228, 28320140	\$0.00	\$1,512,148.00	\$100,000.00	\$100,000.00
Yr 3	FY__									
Yr 4	FY__									
Yr 5	FY__									
<b>Total</b>		<b>\$0.00</b>	<b>\$3,024,296.00</b>		<b>\$75,600.00</b>		<b>\$0.00</b>	<b>\$3,099,896.00</b>	<b>\$397,385.20</b>	<b>\$200,000.00</b>
<b>Date Awarded:</b>				06/11/21	<b>Tot. Awarded:</b>		\$1,512,148.00	<b>Contract#:</b>		32952-13003-1
(or) <b>Date Denied:</b>					<b>Reason:</b>					
(or) <b>Date Withdrawn:</b>					<b>Reason:</b>					

Contact: [trinity.weathersby@nashville.gov](mailto:trinity.weathersby@nashville.gov)  
[vaughn.wilson@nashville.gov](mailto:vaughn.wilson@nashville.gov)

GCP Rec'd  
06/18/21

GCP Approved  
06/18/21

*VW*



# GRANT AMENDMENT

<b>Agency Tracking #</b> 32952-13003	<b>Edison ID</b> 67259	<b>Contract #</b>	<b>Amendment #</b> 1		
<b>Contractor Legal Entity Name</b> Metropolitan Government of Nashville & Davidson County			<b>Edison Vendor ID</b> 4		
<b>Amendment Purpose &amp; Effect(s)</b> To extend the current grant contract an additional year, increase the maximum liability accordingly, update the contact information, and reduce the Technology Professional Liability (Errors & Omissions)/Cyber Liability Insurance from \$10,000,000 to \$1,000,000 as recommended by CPO Risk Manager.					
<b>Amendment Changes Contract End Date:</b> <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		<b>End Date:</b> June 30, 2022			
<b>TOTAL Contract Amount INCREASE or DECREASE per this Amendment (zero if N/A):</b>			<b>\$1,512,148.00</b>		
<b>Funding —</b>					
<b>FY</b>	<b>State</b>	<b>Federal</b>	<b>Interdepartmental</b>	<b>Other</b>	<b>TOTAL Contract Amount</b>
FY21	\$1,512,148.00				\$1,512,148.00
FY22	\$1,512,148.00				\$1,512,148.00
<b>TOTAL:</b>	<b>\$3,024,296.00</b>				<b>\$3,024,296.00</b>
<b>Budget Officer Confirmation:</b> There is a balance in the appropriation from which obligations hereunder are required to be paid that is not already encumbered to pay other obligations.			<i>CPO USE</i>		
<b>Speed Chart (optional)</b>		<b>Account Code (optional)</b>			

**AMENDMENT ONE  
OF GRANT CONTRACT 67259**

This Grant Contract Amendment is made and entered by and between the State of Tennessee, Department of Correction, hereinafter referred to as the "State" and Metropolitan Government of Nashville & Davidson County, hereinafter referred to as the "Grantee." It is mutually understood and agreed by and between said, undersigned contracting parties that the subject Grant Contract is hereby amended as follows:

1. Grant Contract Section A.4. is deleted in its entirety and replaced with the following:
  - A.4. The Grantee shall operate in accordance with the mandates of the Tennessee Community Corrections Act of 1985 incorporated hereto by reference, Community Corrections Administrative Regulations incorporated hereto by reference and the Community Corrections Program Standards as may be revised, included as Attachment Two and as detailed in Item 9 below. A copy of the Community Corrections Standards can be found on the TDOC website: <https://www.tn.gov/content/dam/tn/correction/documents/CommunityCorrectionsProgramStandards.pdf>. Failure to comply with said Standards may be considered grounds for grant contract termination by the State.
2. Grant Contract Section A.5. is deleted in its entirety.
3. Grant Contract Section A.10. is deleted in its entirety.
4. Grant Contract Section B. is deleted in its entirety and replaced with the following:
  - B.1. This Grant Contract shall be effective on July 1, 2020 ("Effective Date") and extend for a period of twenty-four (24) months after the Effective Date ("Term"). The State shall have no obligation to the Grantee for fulfillment of the Scope outside the Term.
  - B.2. Renewal Options. This Grant Contract may be renewed upon satisfactory completion of the Term. The State reserves the right to execute up to one (1) renewal options under the same terms and conditions for a period not to exceed twelve (12) months each by the State, at the State's sole option. In no event, however, shall the maximum Term, including all renewals or extensions, exceed a total of thirty-six (36) months.
5. Grant Contract Section C.1. is deleted in its entirety and replaced with the following:
  - C.1. Maximum Liability. In no event shall the maximum liability of the State under this Grant Contract exceed Three Million, Twenty-Four Thousand, Two Hundred Ninety-Six Dollars (\$3,024,296.00). The Grant Budget attached and incorporated herein as a part of this Grant Contract as Attachment One, shall constitute the maximum amount due the Grantee for the service and all of the Grantee's obligations hereunder. The Grant Budget line-items include, but are not limited to, all applicable taxes, fees, overhead, and all other direct and indirect costs incurred or to be incurred by the Grantee. The maximum annual liability of the State under this grant for each respective year of the grant is as follows:
 

July 1, 2020 – June 30, 2021	\$1,512,148.00
July 1, 2021 – June 30, 2022	\$1,512,148.00
6. Grant Contract Section D.8. is deleted in its entirety and replaced with the following:
  - D.8. Communications and Contacts. All instructions, notices, consents, demands, or other communications required or contemplated by this Grant Contract shall be in writing and shall be made by certified, first class mail, return receipt requested and postage prepaid, by overnight courier service with an asset tracking system, or by email or facsimile transmission

with recipient confirmation. All communications, regardless of method of transmission, shall be addressed to the respective party as set out below:

The State:

Lisa Helton, Assistant Commissioner, Community Supervision  
Tennessee Department of Correction  
320 Sixth Avenue North  
Nashville, TN 37243  
lisa.helton@tn.gov  
Telephone # (615) 532-8129

The Grantee:

Larissa Burdette, Program Manager  
Davidson County Community Corrections Program  
408 2<sup>nd</sup> Avenue North, Suite 2100  
Nashville, TN 37201  
LarissaBurdette@jjs.nashville.org  
Telephone # (615) 517-0064  
FAX # (615) 862-8618

A change to the above contact information requires written notice to the person designated by the other party to receive notice.

All instructions, notices, consents, demands, or other communications shall be considered effectively given upon receipt or recipient confirmation as may be required.

7. Grant Contract Section E.2.e. is deleted in its entirety and replaced with the following:

E.2.e. Technology Professional Liability (Errors & Omissions)/Cyber Liability Insurance

- 1) The Grantee shall maintain technology professional liability (errors & omissions)/cyber liability insurance appropriate to the Grantee's profession in an amount not less than one million dollars (\$1,000,000) per occurrence or claim and one million dollars (\$1,000,000) annual aggregate, covering all acts, claims, errors, omissions, negligence, infringement of intellectual property (including copyright, patent and trade secret); network security and privacy risks, including but not limited to unauthorized access, failure of security, information theft, damage to destruction of or alteration of electronic information, breach of privacy perils, wrongful disclosure and release of private information, collection, or other negligence in the handling of confidential information, and including coverage for related regulatory fines, defenses, and penalties.
  - 2) Such coverage shall include data breach response expenses, in an amount not less than one million dollars (\$1,000,000) and payable whether incurred by the State or Grantee, including but not limited to consumer notification, whether or not required by law, computer forensic investigations, public relations and crisis management firm fees, credit file or identity monitoring or remediation services and expenses in the performance of services for the State or on behalf of the State hereunder.
8. Grant Contract Attachment One is deleted in its entirety and replaced with the new attachment Same Reference attached hereto.
9. Grant Contract Attachment ***Tennessee Department of Correction Community Corrections Program Standards*** attached hereto is added as new Attachment Two.

Required Approvals. The State is not bound by this Amendment until it is signed by the contract parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this contract, said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).

Amendment Effective Date. The revisions set forth herein shall be effective July 1, 2021. All other terms and conditions of this Grant Contract not expressly amended herein shall remain in full force and effect.

IN WITNESS WHEREOF,

METROPOLITAN GOVERNMENT OF NASHVILLE & DAVIDSON COUNTY:



6/11/21

GRANTEE SIGNATURE

DATE

PRINTED NAME AND TITLE OF GRANTEE SIGNATORY (above)

TENNESSEE DEPARTMENT OF CORRECTION:

TONY PARKER, COMMISSIONER

DATE

Metropolitan Government of Nashville & Davidson County - Amendment 1

**SIGNATURE PAGE  
FOR  
GRANT NO. FY22 and FY23 Community Corrections Grant  
INTERPRETER GRANT ENDOWMENT CONTRACT**

IN WITNESS WHEREOF, the parties have by their duly authorized representatives set their signatures.

**METROPOLITAN GOVERNMENT OF  
NASHVILLE AND DAVIDSON COUNTY**

\*\*\*\*See Previous Page\*\*\*\*  
\_\_\_\_\_ Department

\_\_\_\_\_  
Date

APPROVED AS TO AVAILABILITY  
OF FUNDS:

DocuSigned by:  
Kevin Crumbo  
Kevin Crumbo, Director  
Department of Finance

6/23/2021  
\_\_\_\_\_  
Date

APPROVED AS TO RISK AND INSURANCE:

DocuSigned by:  
Balagun Cobb  
Director of Risk Management Services

6/24/2021  
\_\_\_\_\_  
Date

APPROVED AS TO FORM AND  
LEGALITY:

DocuSigned by:  
Michael Ste  
Metropolitan Attorney

6/24/2021  
\_\_\_\_\_  
Date

\_\_\_\_\_  
John Cooper  
Metropolitan Mayor

\_\_\_\_\_  
Date

ATTEST:

\_\_\_\_\_  
Metropolitan Clerk

\_\_\_\_\_  
Date

## ATTACHMENT One

<b>GRANT BUDGET</b>				
<b>Metropolitan Government of Nashville &amp; Davidson County</b>				
<b>The Grant Budget line-item amounts below shall be applicable only to expense incurred during the following</b>				
<b>Applicable Period: BEGIN: July 1, 2020 END: June 30, 2021</b>				
<b>POLICY 03 Object Line-Item Reference</b>	<b>EXPENSE OBJECT LINE-ITEM CATEGORY <sup>1</sup></b>	<b>GRANT CONTRACT</b>	<b>GRANTEE PARTICIPATION</b>	<b>TOTAL PROJECT</b>
1.2	Salaries, Benefits & Taxes	\$1,370,548.00	0.00	\$1,370,548.00
4.15	Professional Fee, Grant & Award <sup>2</sup>	\$75,000.00	0.00	\$75,000.00
5, 6, 7, 8, 9, 10	Supplies, Telephone, Postage & Shipping, Occupancy, Equipment Rental & Maintenance, Printing & Publications	\$35,000.00	0.00	\$35,000.00
11.12	Travel, Conferences & Meetings	\$6,500.00	0.00	\$6,500.00
13	Interest <sup>2</sup>	0.00	0.00	0.00
14	Insurance	\$400.00	0.00	\$400.00
16	Specific Assistance To Individuals	\$200.00	0.00	\$200.00
17	Depreciation <sup>2</sup>	0.00	0.00	0.00
18	Other Non-Personnel <sup>2</sup>	0.00	0.00	0.00
20	Capital Purchase <sup>2</sup>	\$100.00	0.00	\$100.00
22	Indirect Cost	\$100,000.00	0.00	\$100,000.00
24	In-Kind Expense	0.00	0.00	0.00
NA	Grantee Match Requirement pursuant to Contract Section A.19 <sup>3</sup>	(\$75,600.00)	\$75,600.00	0.00
25	<b>GRAND TOTAL</b>	<b>\$1,512,148.00</b>	<b>\$75,600.00</b>	<b>\$1,587,748.00</b>



- 
- <sup>1</sup> Each expense object line-item shall be defined by the Department of Finance and Administration Policy 03, *Uniform Reporting Requirements and Cost Allocation Plans for Sub-recipients of Federal and State Grant Monies, Appendix A*. (posted on the Internet at: <http://www.tn.gov/finance/topic/fa-policyinfo>).
  - <sup>2</sup> Applicable detail follows this page if line-item is funded.
  - <sup>3</sup> A Grantee Match Requirement is detailed by this Grant Budget, and the maximum total amount reimbursable by the State pursuant to this Grant Contract, as detailed by the "Grant Contract" column above, shall be reduced by the amount of any Grantee failure to meet the Match Requirement.
  - <sup>4</sup> Indirect costs which are in excess of 20 percent of total direct costs or \$100,000 whichever is less will not be allowed.
  - <sup>5</sup> If agency is budgeting a particular amount under the budget line item specific assistance to individuals for offender transportation, said amount should be broken out under a budget line item detail. This amount must be expended for the intended purpose before the agency can make use of services provided through TDOC's offender transit network grant-funded contract with the Tennessee Department of Finance & Administration's Office of Criminal Justice Programs.

**ATTACHMENT One****GRANT BUDGET LINE-ITEM DETAIL:**

<b>PROFESSIONAL FEE, GRANT &amp; AWARD</b>	<b>AMOUNT</b>
Drug testing and counseling	\$75,000.00
<b>TOTAL</b>	<b>\$75,000.00</b>

<b>OCCUPANCY</b>	<b>AMOUNT</b>
	0.00
<b>TOTAL</b>	<b>0.00</b>

<b>INTEREST</b>	<b>AMOUNT</b>
	0.00
<b>TOTAL</b>	<b>0.00</b>

<b>TRAVEL</b>	<b>AMOUNT</b>
TCCA Conferences	\$6,500.00
<b>TOTAL</b>	<b>\$6,500.00</b>

<b>SPECIFIC ASSISTANCE TO INDIVIDUALS</b>	<b>AMOUNT</b>
Bus passes	\$200.00
<b>TOTAL</b>	<b>\$200.00</b>

<b>DEPRECIATION</b>	<b>AMOUNT</b>
	0.00
<b>TOTAL</b>	<b>0.00</b>

<b>OTHER NON-PERSONNEL</b>	<b>AMOUNT</b>
	0.00
<b>TOTAL</b>	<b>0.00</b>

<b>CAPITAL PURCHASE</b>	<b>AMOUNT</b>
Placeholder for possible vehicle purchase	\$100.00
<b>TOTAL</b>	<b>\$100.00</b>

## ATTACHMENT One

<b>GRANT BUDGET</b>				
<b>Metropolitan Government of Nashville &amp; Davidson County</b>				
The Grant Budget line-item amounts below shall be applicable only to expense incurred during the following				
Applicable Period: BEGIN: July 1, 2021 END: June 30, 2022				
<b>POLICY 03 Object Line-Item Reference</b>	<b>EXPENSE OBJECT LINE-ITEM CATEGORY <sup>1</sup></b>	<b>GRANT CONTRACT</b>	<b>GRANTEE PARTICIPATION</b>	<b>TOTAL PROJECT</b>
1. 2	Salaries, Benefits & Taxes			
4. 15	Professional Fee, Grant & Award <sup>2</sup>			
5, 6, 7, 8, 9, 10	Supplies, Telephone, Postage & Shipping, Occupancy, Equipment Rental & Maintenance, Printing & Publications			
11. 12	Travel, Conferences & Meetings			
13	Interest <sup>2</sup>			
14	Insurance			
16	Specific Assistance To Individuals			
17	Depreciation <sup>2</sup>			
18	Other Non-Personnel <sup>2</sup>			
20	Capital Purchase <sup>2</sup>			
22	Indirect Cost			
24	In-Kind Expense			
NA	Grantee Match Requirement pursuant to Contract Section A.19 <sup>3</sup>			
25	<b>GRAND TOTAL</b>	<b>\$1,512,148.00</b>		

- 
- <sup>1</sup> Each expense object line-item shall be defined by the Department of Finance and Administration Policy 03, *Uniform Reporting Requirements and Cost Allocation Plans for Sub-recipients of Federal and State Grant Monies, Appendix A*. (posted on the Internet at: <http://www.tn.gov/finance/topic/fa-policyinfo>).
  - <sup>2</sup> Applicable detail follows this page if line-item is funded.
  - <sup>3</sup> A Grantee Match Requirement is detailed by this Grant Budget, and the maximum total amount reimbursable by the State pursuant to this Grant Contract, as detailed by the "Grant Contract" column above, shall be reduced by the amount of any Grantee failure to meet the Match Requirement.
  - <sup>4</sup> Indirect costs which are in excess of 20 percent of total direct costs or \$100,000 whichever is less will not be allowed.
  - <sup>5</sup> If agency is budgeting a particular amount under the budget line item specific assistance to individuals for offender transportation, said amount should be broken out under a budget line item detail. This amount must be expended for the intended purpose before the agency can make use of services provided through TDOC's offender transit network grant-funded contract with the Tennessee Department of Finance & Administration's Office of Criminal Justice Programs.

**ATTACHMENT One**

**GRANT BUDGET LINE-ITEM DETAIL:**

	<b>AMOUNT</b>
<b>TOTAL</b>	

	<b>AMOUNT</b>
<b>TOTAL</b>	

# TENNESSEE DEPARTMENT OF CORRECTION COMMUNITY CORRECTIONS PROGRAM STANDARDS

## ALL COMMUNITY CORRECTIONS 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 (3) 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 sixty (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 (60) 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 Corrections 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 15<sup>th</sup> calendar day of each month, the Grantee may request in writing, a seven (7) calendar day waiver from the Director of the State's Community Corrections 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.

**Attachment Two**

**AP1.12** The Grantee will assess all Tennessee Department of Correction offenders using the Validated Risk and Needs Assessment (RNA) 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:

1. Name of person, agency or organization requesting information extra spaces removed
2. Specific information to be released
3. Purpose or need for the information
4. Expiration date
5. Date consent form was signed
6. Signature of client
7. Signature of individual witnessing client's signature
8. 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 (5) year minimum after discharge from program].

**AP1.18** The Grantee is expected to strive to complete a minimum of sixty percent (60%) of their assigned community corrections 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 thirty (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 Corrections within twenty-four (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 Discharge 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 (1) through four (4) 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 thirty (30) days] Supervision Level Two, [test once every forty-five (45) days] Supervision Level Three, [test once every sixty (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 (1) seven-panel and one (1) three-panel test, and said tests should be alternated, with no offender having two (2) 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** There will be written personnel policies and procedures that provide for a 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:

1. Organizational Chart
2. Staff Development
3. Recruitment and Selection
4. Promotion
5. Job Qualifications and Job Descriptions
6. Affirmative Action
7. Title VI
8. Grievance and Appeal Procedures
9. Sexual Harassment
10. Orientation
11. Employee Evaluation
12. Personnel Records
13. Benefits
14. Holidays
15. Leave (Annual, Sick, Holiday, Maternity, Military)
16. Hours of Work (Time Sheets)
17. Compensation
18. Travel
19. Disciplinary Procedures
20. Termination
21. Resignation
22. Employee Probationary Period

**AP2.03** The minimum educational requirement for appointment as community corrections program manager is a baccalaureate degree in one (1) 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 four (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 should include 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 for each employee.

**AP2.09** Written policies require 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 employee's 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 forty (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 (RNA), 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 sixteen (16) hours - Part-Time eight (8) hours].

**AP4.03** Written policy and procedure provide that all case officers complete forty (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 recorded by the agency manager, and a copy kept in employee's personnel file.

**AP4.04** Community Corrections Grantees, either individually or collectively, will be responsible for providing at least thirty (30) hours of in-service training per year to their program managers and forty (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 forty (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 seventy-two (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 Corrections.

**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 Corrections.

**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 monthly utilizing a ten percent (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 thirty (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 Corrections 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

**Attachment Two**

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 Corrections.

**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 fifteen percent (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 sixty (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 Corrections Grantee when the relevant property is owned by an employee (or a member of the employee's family) of the Community Corrections Grantee and whose salary is paid from the Grant Contract.

**AP5.13** State Community Corrections 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 Corrections 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**

**Attachment Two**

**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 corrections program are required to have an investigative report Entered in Tennessee Offender Management Information System (TOMIS) or other TDOC Offender Management System (OMS). In the event 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 in TOMIS/other TDOC OMS within forty-five (45) working days from program admittance.

**S1.05** All community corrections 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 corrections 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:

1. Offender Background Information Form
2. Investigation Report on TOMIS/other TDOC OMS (PSI),(PSR)
3. Signed behavioral contract and/or program rules if applicable;
4. DNA- buccal swabbing information
5. Medical, Psychological record (if applicable);
6. Individual plan or program (if applicable);
7. Signed release of information forms (when utilized);
8. Evaluation/assessments; RNA, TCUD,O\*NET (as identified)
9. Current employment data;
10. Judgment document and/or court order to community corrections;
11. Signed Offender Grievance Form;
12. Referrals to other agencies (if applicable);
13. Drug/Alcohol screenings/results;
14. Progress reports;
15. Chronological entries;
16. Violation Report (if applicable);
17. Grievance and disciplinary record (if applicable);
18. Title VI;
19. Sex Offender register (if applicable);
20. 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 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/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 ensure that quarterly audits are conducted on each case officer, and the manager will ensure that all offender case records are reviewed by the manager or manager designee at least once during each ninety (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 forty-five (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, 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 ten (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)
- Within forty-five (45) days: (Investigative Report (LCLS and Related Screens)
6. Offender Discharge/Termination Report (TEPE), TOMIS/ (LCDG) of departure

**S2.10** In the event an error occurs when entering a contact note in TOMIS/other TDOC OMS and an edit or deletion request must be made, (i.e., duplication, entered under wrong offender, incorrect date/time, etc.), the author or staff person who found the error shall notify a supervisor using the Contact Note Edit/Deletion Request Memo. The exact editing request shall be composed and forwarded to the supervisor (i.e., in an email), and must

contain the date and signature of the requesting staff person. The supervisor shall review the requested correction(s) and, if appropriate, request the edit or deletion of the contact note through the TDOC Helpdesk using the Contact Note Edit/Deletion Request Memo. The memo shall be emailed to [TDOC.helpdesk@tn.gov](mailto:TDOC.helpdesk@tn.gov) with "Contact Note Edit/Deletion Request" in the subject line. A contact note may be edited or deleted up to two months after it was originally written. After that, the Contact Note Edit/Deletion Request Memo, with all appropriate signatures and dates must be forwarded by the supervisor to the Community Corrections Administrator. If the request is approved the Community Corrections Administrator will forward the signed and dated Contact Note Edit/Deletion memo to [TDOC.helpdesk@tn.gov](mailto:TDOC.helpdesk@tn.gov) with "Contact Note Edit/Deletion Request" in the subject line.

### **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 start date of program supervision.
5. Notes about split confinement and/or dual supervision.
6. Estimated date of program completion.

**S3.02** Policy outlines the Validated Risks and Needs Assessment (RNA) process, and all other assessment processes for each offender referred or under supervision. A complete RNA is required for every offender, unless a current RNA, completed within the last twelve (12) months, exists upon arrival. An Offender Case Plan (OCP) is also required for every offender. In compliance with TDOC Policy #110.09 and #703.02, only RNA Certified Users completing the Assessor Development Model (ADM) and RNA Certified Assessors will conduct and record the RNA. Only RNA Certified Users and/or RNA Certified Assessors may develop the OCP. Only manager approved staff will conduct and record the TCUD results. Assessments and the development of the OCP must be done within sixty (60) days of an offender's arrival. RNA 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;
4. The format in which information is collected and summarized; and
5. Comply with TDOC's RNA policies and recommendations (TDOC Policy #110.09, #513.10 and #703.02)

**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 sixty (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 corrections shall have a written, signed behavioral contract. At intake, the community corrections 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 ensure 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 twelve (12) months and thereafter at least annually or sooner 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 for transfer and has the sentencing courts permission to transfer.

**S3.10** The sending agency is required to have all paperwork 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 fifteen (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 Corrections within thirty (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 corrections 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 ninety (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 (1) home visit every thirty (30) day period.
- Level Two:** Face-to-face contact a minimum of once weekly. One (1) home visit every thirty (30) day period.
- Level Three:** Face-to-face contact at least once every fifteen (15) day period. One (1) home visit per ninety (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 forty (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 forty (40) to one (1) caseload ratio. Administrative cases are defined as those cases where an offender has absconded from community corrections 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 Corrections 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 corrections.

**S4.13** Written policy and procedure provide that 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 corrections 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 thirty (30) minutes of an agency's knowledge of the event occurring.

**S5.06** Written policy and procedure shall specify that all Community Corrections 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:

1. Name of offender and victim;
2. Total amount of restitution;
3. The amount of payment;
4. The method of payment; and
5. 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 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 Corrections 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 seventy-two (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 seventy-five percent (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 CORRECTIONS 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 thirty (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:

1. RNA and TCUD risk/needs assessments;
2. education/vocation programs;
3. individual and evidence-based treatment activities that may include a holistic counseling approach family contact, if needed;
4. mental health services; and
5. 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:

1. Initial intake Information Form
2. Case information from referral source
3. Case history/social history
4. DNA- Buccal swabbing information
5. Medical records, when available
6. Psychological/psychiatric reports, if available
7. Assessment RNA/TCUD results
8. Offender Case Plan
9. Current employment data
10. Program rules and disciplinary policy, signed by offender
11. Documented legal authority to accept offender
12. Title VI
13. Referrals to other agencies
14. Pertinent education information
15. Exit Summary

## 16. 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 ten (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) Within forty-five (45) days: (Investigative Report (LCLS and Related Screens)
6. Offender Termination Report (LCDG) on departure

**DR3.05** In the event an error occurs when entering a contact note in TOMIS/other TDOC OMS and an edit or deletion request must be made, (i.e., duplication, entered under wrong offender, incorrect date/time, etc.), the author or staff person who found the error shall notify a supervisor using the Contact Note Edit/Deletion Request Memo. The exact editing request shall be composed and forwarded to the supervisor (i.e., in an email), and must contain the date and signature of the requesting staff person. The supervisor shall review the requested correction(s) and, if appropriate, request the edit or deletion of the contact note through the TDOC Helpdesk using the Contact Note Edit/Deletion Request Memo. The memo shall be emailed to [TDOC.helpdesk@tn.gov](mailto:TDOC.helpdesk@tn.gov) with "Contact Note Edit/Deletion Request" in the subject line. A contact note may be edited or deleted up to two months after it was originally written. After that, the Contact Note Edit/Deletion Request Memo, with all appropriate signatures and dates must be forwarded by the supervisor to the Community Corrections Administrator. If the request is approved the Community Corrections Administrator will forward the signed and dated Contact Note Edit/Deletion memo to [TDOC.helpdesk@tn.gov](mailto:TDOC.helpdesk@tn.gov) with "Contact Note Edit/Deletion Request" in the subject line.

## **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 start date of program supervision.
5. Notes about split confinement and/or dual supervision
6. 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 that will be 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 Corrections within thirty (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** Policy outlines the Validated Risks and Needs Assessment (RNA) process, and all other assessment processes for each offender referred or under supervision. A complete RNA is required for every offender, unless a current RNA, completed within the last twelve (12) months, exists upon arrival. An Offender Case Plan (OCP) is also required for every offender. In compliance with TDOC Policy #110.09 and #703.02, only RNA Certified Users completing the Assessor Development Model (ADM) and RNA Certified Assessors will conduct and record the RNA. Only RNA Certified Users and/or RNA Certified Assessors may develop the OCP. Only manager approved staff will conduct and record the TCUD results. Assessments and the development of the OCP must be done within sixty (60) days of an offender's arrival. RNA 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;
4. The format in which information is collected and summarized; and
5. Comply with TDOC's RNA policies and recommendations (TDOC Policy #110.09, #513.10 and #703.02)

**DR6.09** Unless an Offender DNA sample is confirmed on TBI's DNAV Web page within the first ten (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 sixty (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 ensure that quarterly audits are conducted on each case officer, and the manager will ensure that all offender case records are reviewed by the manager or manager designee at least once during each ninety (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 forty-five (45) days

following the initial case file audit to verify any case record discrepancy findings during previous audit have been addressed.

## **COMMUNITY CORRECTIONS 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 Corrections 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 a 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 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:

1. Initial Intake Information Form
2. Case Information from Referral Source (if available) Investigative Report Medical Record (if available)
3. Behavior Contract or Plan
4. DNA-Buccal swabbing information
5. Signed Release of Information Forms
6. Assessment RNA and program plan
7. Offender Evaluation and Progress Reports (Minimum of monthly basis)
8. Offender Daily Chronological Entries
9. Signed Grievance Statement of Understanding
10. Current Employment Data
11. Program Rules and Disciplinary Policy (signed and dated by client and staff)
12. Documented Legal Authority to Accept Resident (court order)
13. Grievance and Disciplinary Record (if applicable)
14. 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 (1) 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 ten (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 twenty (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 (1) operable toilet for every ten residents.

**RP3.13** The Facility, at a minimum, has one (1) operable washbasin with hot and cold running water for every ten (10) residents.

**RP3.14** The Facility, at a minimum, has one (1) 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 (1) operable washer and one (1) operable dryer for every ten (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 (1) 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:

1. Provisions for qualified/certified fire protection service
2. A system of fire inspections and testing of equipment and related services
3. An annual inspection by a local and/or state fire official
4. 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 must be 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 must be 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 twenty-four (24) hour basis.

**RP6.02** There is one (1) 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 thirty (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

**Attachment Two**

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 start date of program supervision.
5. Notes about split confinement and/or dual supervision
6. 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** In the event an error occurs when entering a contact note in TOMIS/other TDOC OMS and an edit or deletion request must be made, (i.e., duplication, entered under wrong offender, incorrect date/time, etc.), the author or staff person who found the error shall notify a supervisor using the Contact Note Edit/Deletion Request Memo. The exact editing request shall be composed and forwarded to the supervisor (i.e., in an email), and must contain the date and signature of the requesting staff person. The supervisor shall review the requested correction(s) and, if appropriate, request the edit or deletion of the contact note through the TDOC Helpdesk using the Contact Note Edit/Deletion Request Memo. The memo shall be emailed to [TDOC.helpdesk@tn.gov](mailto:TDOC.helpdesk@tn.gov) with "Contact Note Edit/Deletion Request" in the subject line. A contact note may be edited or deleted up to two months after it was originally written. After that, the Contact Note Edit/Deletion Request Memo, with all appropriate signatures and dates must be forwarded by the supervisor to the Community Corrections Administrator. If the request is approved the Community Corrections Administrator will forward the signed and dated Contact Note Edit/Deletion memo to [TDOC.helpdesk@tn.gov](mailto:TDOC.helpdesk@tn.gov) with "Contact Note Edit/Deletion Request" in the subject line.

**RP7.04** The Agency will have a written policy and procedure governing intake information. The following will be completed on the initial intake form:

1. Name
2. Address
3. Date of Birth
4. Sex
5. Race or ethnic origin
6. Reason for referral
7. Whom to notify in case of emergency
8. Date information gathered
9. Name of referring agency or committing authority
10. Special medical problems or needs
11. Personal physician
12. Legal status, including jurisdiction, length and conditions of sentence
13. TOMIS/other TDOC OMS number
14. Medical history
15. Signature of both interviewee and staff taking information.

**RP7.05** 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.

**RP7.06** A copy of admission criteria and pre-intake procedures is distributed to all referring agencies.

**RP7.07** When a referral is not accepted into the program the referring agency and/or court is notified and a

specific reason is stated.

**RP7.08** At the time of intake, the staff discusses with the client the following information:

1. Program goals
2. Rules governing conduct
3. Program rules and regulations
4. Possible disciplinary actions and procedures available to staff
5. Available services

**RP7.09** 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.

**RP7.10** 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.

**RP7.11** 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.

**RP7.12** 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.

**RP7.13** There is at least one Staff person on the premises who is awake, available, and responsive to the residents' needs twenty-four (24) hours a day.

**RP7.14** All Program rules and regulations pertaining to residents are posted in a conspicuous place.

**RP7.15** 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.

**RP7.16** There is a written policy and procedure regarding the removal of any client from the program.

**RP7.17** Policy and procedure is written regarding the house's reimbursement by residents.

**RP7.18** The Facility resources will be used to assist residents in locating suitable housing upon termination from the program.

**RP7.19** The opportunity for recreational and leisure time activities is provided to all residents.

**RP7.20** The Facility will have a written policy and procedure regarding the enrollment of residents in educational and vocational training programs.

**RP7.21** The facility has a written policy and procedure allowing residents to attend religious services on a voluntary basis.

**RP7.22** 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).

**RP7.23** A complete RNA is required for every offender, unless a current RNA, completed within the last 12 months, exists upon arrival. An Offender Case Plan (OCP) is also required for every offender. In compliance with TDOC Policy #110.09 and #703.02, only RNA Certified Users completing the Assessor Development Model (ADM) and RNA Certified Assessors will conduct and record the RNA. Only RNA Certified Users and/or RNA Certified Assessors may develop the OCP. Only manager approved staff will conduct and record the TCUD results. Assessments and the development of the OCP must be done within sixty (60) days of an offender's arrival. RNA and TCUD assessments must be repeated every calendar  
TDOC 5/11/2021

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;
4. The format in which information is collected and summarized; and
5. Comply with TDOC's RNA policies and recommendations (TDOC Policy #110.09, #513.10 and #703.02)

**RP7.24** Unless an Offender DNA sample is confirmed on TBI's DNAV Web page within the first ten (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 sixty (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 to control contraband and locate missing or stolen property.

**RP8.03** 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 thirty (30) minutes of an agency's knowledge of the event occurring.

**RP8.04** The Facility has a written procedure for the prevention, detection, and apprehension of absconders. This procedure is reviewed and updated annually.

**RP8.05** 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.

**RP8.06** The use of physical force and corporal punishment is prohibited through written policy and procedure.

**RP8.07** Staff monitors movement of residents in and out of a facility in accordance with policy and procedure.

**RP8.08** Offender case record audits are conducted by the manager or manager designee in accordance with written policies and procedures. Program Managers will ensure that quarterly audits are conducted on each case officer, and the manager will ensure that all Offender case records are reviewed by the manager or manager designee at least once during each ninety (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 forty-five (45) days following the initial case file audit to verify any case record discrepancy findings during previous audit have been addressed.

## **Community Corrections Program**

### **GLOSSARY OF TERMS**

#### **1. Absconder**

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

**2. Active Case**

An offender whose case is open in TOMIS and is assigned to a supervision level one (1) through level four (4) of the Program Standards S4.09 and S4.10.

**3. Administrative Supervision**

The supervision of absconder and inactive felony offender's through arrest checks and phone calls-may include 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 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**

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

**12. Community Service Work**

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

**13. 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.

**14. Curfew Checks**

The regular monitoring of an offender's assigned curfew by the supervising community corrections officer.

The officer may use a mixture of home visits and electronic surveillance to accomplish this task.

**15. 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, programming needs i.e. counseling services, participant programming, employment readiness, etc.

**16. Determinate Release**

The release of 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.

**17. Diagnostic Evaluation**

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

**18. Discharge**

The process by which an offender has successfully completed their time in a community corrections program and is ready for release. Discharge includes cases that have permanently transferred over to another community corrections program if the offender was in compliance when transferred and offenders whose cases have been transferred to State Probation. 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.

**19. Discharge Summary**

The recording of the discharge of an offender from a community corrections program. A court order is required to discharge an offender prior to sentence completion or successful transfer to probation. Discharge details shall be entered as a TEPE in TOMIS/other TDOC OMS. Offenders must receive sentencing courts permission prior to transfer.

**20. Documentation**

Written detail summarizing the event of an offender related contact by a community corrections officer.

**21. 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 twenty-four (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.

**22. Face-to-Face Contact**

A personal contact made between an offender and the case officer, which may take place in the supervising office, place of offender's employment, the courthouse, etc. A home visit shall not also 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.

**23. 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.

**24. 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 (2) face-to-face contacts per week, and/or twenty-four (24) hour electronic monitoring. In no circumstance should house arrest take the place of in office and face-to-face supervision.

### **25. 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 to include Absconders. This includes offenders in a supervision level that does not require officer/offender interaction. This also includes offenders incarcerated for any reason, including offenders serving a split confinement, offenders in outside residential treatment, and offenders under dual consecutive supervision and not being physically supervised by the Community Corrections Grantee, which are otherwise known as "pending".

### **26. Indirect Cost**

Cost associated with a financial audit, when community corrections 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.

### **27. 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:

1. assessments
2. diagnostic evaluation
3. written behavior contract special court ordered conditions
4. investigative report

### **28. 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.

### **29. Intake**

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

### **30. Intermediate Sanctions**

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

### **31. Investigative Report**

An investigative report is required for all Tennessee felons and diversions. The Community Corrections 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.

### **32. Judgment Order (Community Corrections Order)**

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

### **33. Misdemeanor Offender**

An offender who is convicted of an offense that is punishable for a maximum period of eleven (11) months, twenty-nine (29) days. Offenders convicted of only a misdemeanor offense, are not permitted to be supervised on community corrections.



**34. 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.

**35. 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.

**36. 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.

**37. Offender Case Plan (OCP)**

A plan that is developed collaboratively between an offender and risk/needs (RNA) certified user which is derived from the RNA scores, identifies programmatic needs based on treatment pathways, and establishes goals, that include action steps to address criminogenic needs of the offender.

**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 corrections intake that is assigned to supervision, but the offender must first finish serving a split-confinement or separate probation/parole sentence before the offender can begin their sentence with community corrections, meaning cases where the sentencing Judge has placed the Community Corrections sentence consecutive to another sentence. Pending cases are to be considered inactive.

**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 corrections 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. Recidivism**

Recidivism refers to criminal acts that result in re-arrest, re-conviction or a return to prison of an individual within three (3) years of their release from incarceration.

**45. Referral Code**

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

**46. Residential Facility**

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

**47. Restitution**

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

**48. Revocation Order**

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

**49. RNA Certified Assessor**

An employee who has successfully completed the approved RNA user training and subsequent Assessor Development Model and who maintains passing scores on QA reviews in compliance with TDOC Policy #513.10.

**50. RNA Certified User**

An individual who has successfully completed the user certification course facilitated by a trainer who has been certified by the risk needs assessment (RNA) vendor, in the use of the RNA tool

**51. 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 corrections programs; and serve as a foundation for the Department's administrative policies as well as the local program operational policies and procedures.

**52. Rural**

Rural is defined as a multi-county judicial district, which often requires backroad/off-road travel.

**53. 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.

**54. Standards of Community Corrections**

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

**55. 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.

**56. Support Staff**

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

**57. 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 Corrections sentenced offenders.

**58. TEPE (acronym)**

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 Corrections 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.

**59. Termination**

The unsuccessful completion of an offender's time under community corrections program supervision. A non-completion either by: abscond, revocation, violation, new arrest, or 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 corrections supervision.

**60. 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 corrections. 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 corrections program supervision, also known as termination reporting or closing-case entries.

**61. Transfer**

The process by which an offender is transferred from one (1) community corrections agency to another. All required documentation must be in-place to complete transfer (according to program requirements). Place termination detail into TEPE. Transfers are successfully discharged from your program only if they are reported in TOMIS/other TDOC OMS as an AAAA entry by the receiving agency).

**62. 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.

**63. Validated Risk and Needs Assessment (RNA)**

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.

**64. Victim Restitution**

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

**65. 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 Corrections Court Order.

**66. Violation Closeout**

Whenever a prior community corrections supervised offender is arrested and has not been reinstated to any community corrections program after the next court sentencing. The last supervising Grantee is

**Attachment Two**

responsible to enter a TEPE in TOMIS/COMET to close out (terminate) case to identify the outcome as unsuccessful.

The Community Corrections Standards have been reviewed; and TDOC approved on May 12, 2021 and are effective July 1, 2021.

*Lisa Helton*

TDOC Assistant Commissioner of Community Supervision  
Approved Date: May 12, 2021