

**LEGISLATIVE TRACKING FORM**Filing for Council Meeting Date: 08/19/25

Resolution



Ordinance

Contact/Prepared By: Kati GuentherDate Prepared: 07/08/25Title (Caption): Amendment 1- Community Corrections Services FY26Submitted to Planning Commission? ☒ N/A ☐ Yes-Date: \_\_\_\_\_ Proposal No: \_\_\_\_\_Proposing Department: State Trial Courts Requested By: J. Bart Pickett, Trial court AdministratorAffected Department(s): State Trial Courts Affected Council District(s): All**Legislative Category (check one):**

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> Bonds                | <input type="checkbox"/> Contract Approval           | <input type="checkbox"/> Intergovernmental Agreement   |
| <input type="checkbox"/> Budget - Pay Plan    | <input type="checkbox"/> Donation                    | <input type="checkbox"/> Lease                         |
| <input type="checkbox"/> Budget - 4%          | <input type="checkbox"/> Easement Abandonment        | <input type="checkbox"/> Maps                          |
| <input type="checkbox"/> Capital Improvements | <input type="checkbox"/> Easement Accept/Acquisition | <input type="checkbox"/> Master List A&E               |
| <input type="checkbox"/> Capital Outlay Notes | <input checked="" type="checkbox"/> Grant            | <input type="checkbox"/> Settlement of Claims/Lawsuits |
| <input type="checkbox"/> Code Amendment       | <input type="checkbox"/> Grant Application           | <input type="checkbox"/> Street/Highway Improvements   |
| <input type="checkbox"/> Condemnation         | <input type="checkbox"/> Improvement Acc.            | <input type="checkbox"/> Other: _____                  |

**FINANCE** Amount +/-: \$ \$ 0.00
**Funding Source:**

- ☐ Capital Improvement Budget
- ☐ Capital Outlay Notes
- ☐ Departmental/Agency Budget
- ☐ Funds to Metro
- ☐ General Obligation Bonds
- ☐ Grant
- ☐ Increased Revenue Sources

**Match:** \$ \$ 0.00

- ☐ Judgments and Losses
- ☐ Local Government Investment Project
- ☐ Revenue Bonds
- ☐ Self-Insured Liability
- ☐ Solid Waste Reserve
- ☐ Unappropriated Fund Balance
- ☐ 4% Fund
- ☐ Other: \_\_\_\_\_

Approved by OMB: Arion Pratt *EP*

Approved by Finance/Accounts: \_\_\_\_\_

Approved by Div Grants Coordination: Juanita Paulsen

Date to Finance Director's Office: \_\_\_\_\_

**APPROVED BY****FINANCE DIRECTOR'S OFFICE:** \_\_\_\_\_**ADMINISTRATION**

Council District Member Sponsors: \_\_\_\_\_

Council Committee Chair Sponsors: \_\_\_\_\_

Approved by Administration: \_\_\_\_\_ Date: \_\_\_\_\_

**DEPARTMENT OF LAW**

Date to Dept. of Law: \_\_\_\_\_ Approved by Department of Law: \_\_\_\_\_

**Settlement Resolution/Memorandum Approved by:** \_\_\_\_\_Date to Council: \_\_\_\_\_ For Council Meeting: \_\_\_\_\_ ☐ E-mailed Clerk
☐ All Dept. Signatures
 ☐ Copies
 ☐ Backing
 ☐ Legislative Summary
 ☐ Settlement Memo
 ☐ Clerk Letter
 ☐ Ready to File

Department of Law – White Copy

Administration –Yellow Copy

Finance Department - Pink Copy

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## GRANT SUMMARY SHEET

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**Grant Name:** Community Correction Services 26 Amend 1

**Department:** STATE TRIAL COURTS

**Grantor:** TENNESSEE DEPARTMENT OF CORRECTIONS

**Pass-Through Grantor  
(If applicable):**

**Total Award this Action:** \$0.00

**Cash Match Amount** \$0.00

**Department Contact:** Kati Guenther  
880-3664

**Status:** AMENDMENT

**Program Description:**

Amendment 1 will revise Attachment 2 -Amending the Grant to the Davidson County Community Corrections Program. Correcting the out on bond monthly home visit requirements from 1 home visit to 0.

**Plan for continuation of services upon grant expiration:**

We would seek other grants and funding to maintain the program.

Grants Tracking Form

Part One

Pre-Application

Application

Award Acceptance

Contract Amendment

Department

Dept. No.

Contact

Phone

Fax

STATE TRIAL COURTS

028

Kati Guenther

880-3664

Grant Name:

Community Correction Services 26 Amend 1

Grantor:

TENNESSEE DEPARTMENT OF CORRECTIONS

Other:

Grant Period From:

07/01/25

(applications only) Anticipated Application Date:

Grant Period To:

06/30/26

(applications only) Application Deadline:

Funding Type:

STATE

Multi-Department Grant

If yes, list below.

Pass-Thru:

Outside Consultant Project:

Award Type:

COMPETITIVE

Total Award:

\$0.00

Status:

AMENDMENT

Metro Cash Match:

\$0.00

Metro Category:

Est. Prior.

Metro In-Kind Match:

\$0.00

CFDA #

N/A

Is Council approval required?

Project Description:

Applic. Submitted Electronically?

Amendment 1 will revise Attachment 2 -Amending the Grant to the Davidson County Community Corrections Program. Correcting the out on bond monthly home visit requirements from 1 home visit to 0.

Plan for continuation of service after expiration of grant/Budgetary Impact:

We would seek other grants and funding to maintain the program.

How is Match Determined?

Fixed Amount of \$

\$0.00

or

% of Grant

Other:

Explanation for "Other" means of determining match:

For this Metro FY, how much of the required local Metro cash match:

Is already in department budget?

Fund

Business Unit

Is not budgeted?

Proposed Source of Match:

(Indicate Match Amount & Source for Remaining Grant Years in Budget Below)

Other:

Number of FTEs the grant will fund:

17.00

Actual number of positions added:

0.00

Departmental Indirect Cost Rate

22.90%

Indirect Cost of Grant to Metro:

\$337,873.47

\*Indirect Costs allowed?

Yes

No

% Allow.

6.78%

Ind. Cost Requested from Grantor:

\$100,000.00

in budget

\*(If "No", please attach documentation from the grantor that indirect costs are not allowable. See Instructions)

Draw down allowable?

Metro or Community-based Partners:

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	FY26		\$1,475,430.00					\$1,475,430.00	\$337,873.47	\$100,000.00
Yr 2	FY27									
Yr 3	FY 28									
Yr 4	FY__									
Yr 5	FY__									
Total		\$0.00	\$1,475,430.00	\$0.00	\$0.00		\$0.00	\$1,475,430.00	\$337,873.47	\$100,000.00
Date Awarded:				06/30/25	Tot. Awarded:	\$0.00	Contract#:	87639-1		
(or) Date Denied:					Reason:					
(or) Date Withdrawn:					Reason:					

Contact: [juanita.paulsen@nashville.gov](mailto:juanita.paulsen@nashville.gov)  
[vaughn.wilson@nashville.gov](mailto:vaughn.wilson@nashville.gov)

JP

RESOLUTION NO. \_\_\_\_\_

A resolution approving amendment one to a Community Correction Services grant from the Tennessee Department of Correction to the Metropolitan Government, acting by and through the State Trial Courts, to divert eligible offenders from the Tennessee prison system by providing community-based supervision and treatment services through the Davidson County Community Corrections Program.

WHEREAS, the Metropolitan Government, acting by and through the State Trial Courts, previously entered into a grant agreement with the Tennessee Department of Correction to divert eligible offenders from the Tennessee prison system by providing community-based supervision and treatment services through the Davidson County Community Corrections Program approved by RS2025-1352; and,

WHEREAS, the parties wish to amend the grant agreement to delete Attachment 2 in its entirety and replace it with a new Attachment 2, a copy of which amendment one is attached hereto; and,

WHEREAS, it is to the benefit of the citizens of The Metropolitan Government of Nashville and Davidson County that amendment one be approved.

NOW, THEREFORE, BE IT RESOLVED BY THE COUNCIL OF THE METROPOLITAN GOVERNMENT OF NASHVILLE AND DAVIDSON COUNTY:

Section 1. That amendment one to the grant by and between the Tennessee Department of Correction and the Metropolitan Government, acting by and through the State Trial Courts, to divert eligible offenders from the Tennessee prison system by providing community-based supervision and treatment services through the Davidson County Community Corrections Program, a copy of which amendment one is attached hereto and incorporated herein, is hereby approved, and the Metropolitan Mayor is authorized to execute the same.

Section 2. That this resolution shall take effect from and after its adoption, the welfare of The Metropolitan Government of Nashville and Davidson County requiring it.

APPROVED AS TO AVAILABILITY  
OF FUNDS:


Jenneen Reed/mjr  
Jenneen Reed, Director  
Department of Finance

INTRODUCED BY:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Member(s) of Council

APPROVED AS TO FORM AND  
LEGALITY:

Hannah Zeitlin  
Assistant Metropolitan Attorney

<div><div>GRANT AMENDMENT</div></div>					
Agency Tracking # 32952-13007		Edison ID		Contract # 87639	Amendment # 1
Contractor Legal Entity Name Davidson County Community Corrections Program				Edison Vendor ID 0000000004	
Amendment Purpose & Effect(s) Revision of attachment 2					
Amendment Changes Contract End Date: <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO				End Date: 06/30/2026	
TOTAL Contract Amount INCREASE or DECREASE <u>per this Amendment</u> (zero if N/A):					\$ 0.00
Funding —					
FY	State	Federal	Interdepartmental	Other	TOTAL Contract Amount
FY 26	\$1,475,430.00				\$1,475,430.00
TOTAL:	\$1,475,430.00				\$1,475,430.00
Budget Officer Confirmation: 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.			CPO USE		
Speed Chart (optional)		Account Code (optional)			

Attachment Two

**AMENDMENT 1  
OF GRANT CONTRACT 87639**

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 Davidson County Community Corrections Program, 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 Attachment 2 is deleted in its entirety and replaced with the new Attachment 2 attached hereto.

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 once all required approvals are obtained. All other terms and conditions of this Grant Contract not expressly amended herein shall remain in full force and effect.

**IN WITNESS WHEREOF,**

**DAVIDSON COUNTY COMMUNITY CORRECTIONS PROGRAM:**



6/30/25

\_\_\_\_\_  
GRANTEE SIGNATURE

\_\_\_\_\_  
DATE

J. Bart Pickett, Trial Court Administrator- State Trial Courts

\_\_\_\_\_  
PRINTED NAME AND TITLE OF GRANTEE SIGNATORY (above)

**TENNESSEE DEPARTMENT OF CORRECTION:**

\_\_\_\_\_  
FRANK STRADA, COMMISSIONER

\_\_\_\_\_  
DATE

**SIGNATURE PAGE**  
**FOR**  
**GRANT NO. Amendment 1- Community Corrections Services FY26**

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

**METROPOLITAN GOVERNMENT OF  
NASHVILLE AND DAVIDSON COUNTY**

\*\*\*See attached signature page\*\*\*  
\_\_\_\_\_  
J. Bart Pickett, Trial Court Administrator  
State Trial Courts

\_\_\_\_\_  
Date

**APPROVED AS TO AVAILABILITY  
OF FUNDS:**

Jenneen Reed  
\_\_\_\_\_  
Jenneen Reed, Director of Finance  
Department of Finance

8/1/2025 | 9:59 AM CDT  
\_\_\_\_\_  
Date

**APPROVED AS TO RISK AND INSURANCE:**

Balagun Cobb  
\_\_\_\_\_  
Director of Insurance

8/1/2025 | 5:32 PM CDT  
\_\_\_\_\_  
Date

**APPROVED AS TO FORM AND  
LEGALITY:**

Hannah Britlin  
\_\_\_\_\_  
Metropolitan Attorney

8/1/2025 | 9:39 AM PDT  
\_\_\_\_\_  
Date

\_\_\_\_\_  
Freddie O’Connell  
Metropolitan Mayor

\_\_\_\_\_  
Date

**ATTEST:**

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

\_\_\_\_\_  
Date

## **COMMUNITY CORRECTIONS SUPERVISION PROGRAM STANDARDS:**

### **POLICIES AND PRACTICES**

**AP1.00** The Grantee must ensure policies and practices are implemented that exhibit compliance with “The Community Corrections Act of 1985” as outlined in TCA 40-36-101 - TCA 40-36-306 and comply with all rules outlined in the promulgated rules of The Tennessee Department of Corrections Chapter 0420-2-2-.01 – 0420-2-2.12 Tennessee Community Corrections Program.

**AP1.01** 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.

**AP1.02** The Grantee’s Advisory Board or committee shall meet at a minimum of once a month for the first three months of a new program and quarterly thereafter. (Rules 0420-2-2-.08)

**AP1.03** 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 Advisory Board/Committee, program manager, or their designee.

**AP1.04** The Grantee must have a written policy to ensure all offenders receive an annual risk and need assessment using the Validated Risk and Needs Assessment (RNA) instrument approved by the Tennessee Department of Correction.

**AP1.05** 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, 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.

**AP1.06** 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 before implementation and adopted by the Advisory Board/Committee.

**AP1.07** The Grantee will have a written policy and procedure specifying that all materials relating to any offender with whom the Grantee has had personal contact, shall be maintained for at least five (5) years after termination of the case, and/or until all audits issues have been resolved; whichever is longer.

**AP1.08** Written policy and procedure provide that the use of physical force must be reasonable and proportionate to ensure the safety of the public, self, others, and property, and to gain control of a situation.

**AP1.09** The Grantee must have policy and procedure to ensure they operate under an annual written budget of anticipated revenues and expenditures that is approved by the governing authority.

**AP1.10** The Grantee must ensure 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.

**AP1.11** 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.

**AP1.12** 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.

**AP1.13** The Grantee must have a written policy and procedure governing the inventory control, purchasing, and requisitioning of supplies.



**AP1.14** The Grantee must ensure policy and procedure provide that all Grantee facilities meet all state and local building and fire codes. Policy and procedure must include a process to ensure all facilities are equipped with written emergency operational plans and outline the process to ensure all staff are trained on the emergency operation plan.

**AP1.15** The Grantee must ensure written policy and procedure for volunteer citizen involvement including a system for selection, training, term of service, termination of service, and definition of tasks. The written policy must include a process and procedure to ensure a written agreement by the volunteer to abide by all agency policies and procedures and to document and ensure a national background check is conducted before performing volunteer services.

**S2.00** The Grantee must have a written policy and procedure governing case officer pre-sentence investigations, and preparation of reports per the Tennessee Department of Correction Pre-Sentence Investigation (PSI) manual. The policy and procedure should at a minimum address the following:

- (a) Confidentiality,
- (b) Inclusion of a risk and needs assessment,
- (c) The review process before submission,
- (d) The process to ensure a post-sentence report is completed within 45 days if a pre-sentence report was not ordered by the sentencing court.

**S2.01** The Grantee must have a written policy, procedures, and practice governing case record management, including, at a minimum, the following areas:

- a) The use and content of offender records
- b) The right to privacy
- c) Security, placement, and preservation of records
- d) Schedule for retiring or destroying inactive records
- e) Record entry into TDOC OMS
- f) Confidentiality
  - a. Offender access,
  - b. Staff access,
  - c. Circumstances when the release of information is permitted,
  - d. Restrictions on the type of information that can be released,
  - e. Release of information,
  - f. Internal case record audits.

**S2.02** The Grantee must have written policies to ensure that all staff adhere to Tennessee Department of Correction procedures regarding access and use of the TDOC Offender Management System (OMS) . Grantees shall be aware of and ensure the necessity of system security procedures. All Grantees will utilize the TDOC OMS system as mandated by the Tennessee Department of Correction, including required entries in the TDOC OMS.

**S2.03** The Grantee must have a policy and procedure to establish a process for the successful discharge/termination of offenders that includes a process for a routine review of participants who qualify to be discharged/terminated from the program.

**S2.04** The Grantee must have a written policy and procedures to ensure the transfer of offender supervision to and from other agencies. All transfers shall be acceptable if an offender has a residence in the receiving agency county, is determined to be ready for transfer, and has the sentencing court's permission to transfer.

**S2.05** The Grantee must have a written policy and procedure requiring that all offenders are informed of the grievance procedure available and review the procedure with the offender during the intake process.

**S2.06** The Grantee must have a written policy and procedure to ensure an Offender Case Plan is completed on each offender after the Risk and Needs Assessment (RNA). The policy and process must comply with TDOC policies #703.02 and #513.11.

**S2.07** The Grantee must have a written policy and procedure to ensure all offenders on Community Correction supervision have a written, signed behavioral contract. At intake, the Grantee must discuss and develop with each offender a written behavioral contract based on the assessment of offender 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.

**S2.08** The Grantee must have a written policy and procedure that governs the ability of the Grantee's case officers to conduct searches of an offender, an offender's residence, an offender's vehicle, and an offender's personal property. The policy must require case officers to successfully complete training on searches. The policy and training must be in compliance with all state and federal laws.

**S2.09** The Grantee must have a written policy and procedure that governs the ability of the Grantee's case officers to utilize weapons in accordance with state and federal laws, excluding the use of firearms unless permitted by law while performing the case officer's job duties. If the Grantee permits the carrying of weapons, the policy must state and define what type of weapons are allowed. The policy must also state all training requirements provided by the Grantee are in compliance with all state and federal laws regarding the use of listed weapons while performing the job duties of a case officer.

**S2.10** The Grantee must develop a policy to identify levels of supervision and regulate movement between levels in accordance with evidence-based practices. The Grantee's policy must ensure that the offender's level of supervision aligns with the offender's assessed risk score. The Grantee policy allows supervision levels to be more intensive but not less intensive than the Tennessee Department of Correction supervision levels. All offender contacts as stated below must be recorded in both the offender case file and in the TDOC OMS. The Grantee will follow supervision-level requirements to ensure offender supervision matches level assignment as indicated within the following and detailed in the attached supervision matrix:

- 1) Level One (Intake):
  - Offenders shall be placed under this plan of supervision at the beginning of their supervision. Once the offender has been assessed pursuant to the TDOC-approved RNA, the offender shall be placed in the corresponding supervision level based upon their assessed level of risk. Offenders shall not remain in a Level 1 intake for more than 45 days.
- 2) Level Two (Enhanced):
  - This supervision level includes offenders assessed as "criminally diverse" or "high violent," "high drug," "high property," or "high" by the risk and needs assessment as approved by TDOC.
- 3) Level 3 (Medium):
  - This supervision level includes offenders assessed as "moderate" by the risk and need assessment as approved by TDOC.
- 4) Level 4 (Minimum):
  - This supervision level includes offenders assessed as "low" by the risk and needs assessment approved by TDOC.
- 5) Warrant on Bond:
  - Offenders released on bond, pending a revocation hearing, shall be moved to the "Warrant on Bond" supervision level in the TDOC OMS until disposition. If the offender is returned to supervision after disposition of a revocation, the officer shall complete a risk reassessment to determine the appropriate level of supervision.

- 6) The Grantee must develop a policy to identify levels of supervision and direct the frequency and types of interaction with offenders **not** actively supervised within the community.
  - a) Absconder: Offenders identified as having absconded from supervision. This supervision level requires one arrest check monthly and one NCIC check annually.
  - b) Deported: Offenders identified as having been deported before expiring their suspended sentence. This supervision level requires one arrest check per year and one NCIC check annually.
  - c) Detainer: Offenders identified as being detained for pending charges. This supervision level requires one verification of incarceration per month and one arrest check per month.
  - d) In Custody: Offenders identified as being incarcerated. This supervision level requires one verification of incarceration per month and one arrest check per month.
  - e) Warrant: Offenders identified as having an active warrant for their arrest. This supervision level requires one arrest check per month.
  - f) Residential Treatment: Offenders are identified as being placed in a treatment facility for mental health, substance abuse, or physical care for a minimum of 30 days. This supervision level requires one verification of placement per month and one arrest check per month.

**S2.11** The Grantee must have a written policy specifying the type of actions required to locate and recover absconders before the issuance of a violation warrant. An absconder is defined as an offender who conceals their whereabouts and/or avoids or flees from supervision. Grantee policy must identify the minimum time in which a violation warrant is filed with the sentencing court.

**S2.12** The Grantee must have a written policy to 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.

**S2.13** The Grantee must have a written policy requires that, in court-ordered cases where the victim suffered monetary and/or property loss, there will be a written restitution contract discussed and developed with each offender containing these minimum elements:

- a) Name of offender and victim.
- b) Total amount of restitution.
- c) The amount of payment.
- d) The method of payment; and
- e) The payment schedule.

**S2.14** The Grantee must have a written policy and procedure to govern community service processes. The policy must include:

- a) Offender placement,
- b) Supervision of offenders,
- c) The exclusion of donations as an allowable substitution for community service requirements,
- d) Offender behavior expectations,
- e) Documentation requirements.

**S2.15** The Grantee must have a written policy and procedure governing offender payments (fees, fines, restitution) collected by the agency to include:

- a) A method of receipting,
- b) A method of depositing,
- c) A method of reporting,
- d) A provision that the actual fees collected are used to lower the reimbursement request.

**EP3.00** The Grantee must offer Evidence-Based Programs (EBP) services to offenders with substance use, mental health, or co-occurring disorders who are served by the Grantee.

**EP3.01** The Grantee must have a written policy and procedure governing the delivery of one or more of the manualized training programs listed in Attachment Three. TDOC may provide training and curricula for the EBP manualized training programs as training resources are available.

**TR4.00** The Grantee must have written policy and procedure governing the delivery of treatment services to those offenders whom they serve with a treatment need for substance use disorder, behavioral health, or co-occurring disorders.

**TR4.01** The Grantee must have a policy and procedure outlining the selected method of treatment delivery to offenders they service. The Grantee may elect to partner through a subcontract or a Memorandum of Understanding Agreement (MOU) with a community treatment provider. The Grantee may also select to employ clinical staff and provide in-house treatment. All treatment methods selected must meet the approval and licensing requirements of the Tennessee Department of Mental Health and Substance Abuse Services (TDMHSAS) to provide treatment services to offenders for substance use disorder, behavioral health, or co-occurring disorders. Any subcontract or MOU must be approved by TDOC before the Grantee enters into such contract or MOU.

**TR4.02** The Grantee must have a policy and procedure to ensure all offenders under supervision are assessed to identify any treatment needs for substance use disorder, behavioral health, and/or co-occurring disorder. The approved assessments for screening include but are not limited to the Validated Risk & Needs Assessment, TCUDS, and ASI/ASAM to determine substance use and mental health needs and the level of care.

### **Required Documentation, Reports, and Outcome Measures**

**AP5.00** The Grantee staff will prepare an annual report within sixty calendar days following the end of the fiscal year of its activities which will include, at a minimum, statistical data, activities, and financial data. The annual report shall be provided to the advisory board or committee, the State Director of Community Correction as well as the Tennessee Department of Correction.

**AP5.01** The Grantee must ensure an annual independent fiscal audit of the agency is conducted. The Grantee is responsible for securing and scheduling the auditor. All independent fiscal audit results will be sent to TDOC and must be received no later than nine (9) months after the close of the fiscal year.

**AP5.02** The Grantee will prepare and submit a monthly statistical report in a format provided by TDOC to the 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 7-calendar day waiver from the Director of the State's Community Correction Division.

**AP5.03** All incidents occurring within the jurisdiction of the Grantee concerning the safety and securing of the facility, community, staff, and/or offender, or those which may result in media attention, must be reported

within 24 hours of occurrence to the TDOC Central Command Center (CCC). The report shall be placed in the Offender's case file and copy forwarded to the State Director of Community Corrections.

**AP5.04** The Grantee will maintain a current, complete, and confidential personnel record of each employee.

**AP5.05** The Grantee must ensure the implementation of a written procedure providing for a personnel manual that is reviewed and approved by the governing authority annually and is made available for employees that cover, at a minimum, the following areas:

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

**S6.00** In the event an error occurs when entering a contact note in 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 name 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.

**S6.01** The Grantee must ensure each case record includes, at a minimum, the following information:

1. Judgment Order and/or court order to community correction
2. Offender Background Information Form

3. Investigation Report on the TDOC OMS (PSI), (PSR)
4. Initial Intake Information Form
5. Signed behavioral contract and/or program rules.
6. Offender Case Plan
7. Judicial Orders for DNA Sampling and Buccal Swabbing-DNA Sampling information
8. Medical and Psychological record and signed Release of Information (if applicable)
9. Evaluation/assessments; Risk/Needs Assessment (RNA), Texas Christian University Drug Screen 5 (TCUD), (as identified)
10. Current employment data
11. Signed Offender Grievance Form and Title VI Acknowledgement
12. Referrals to other agencies (if applicable)
13. Drug/Alcohol screenings/results.
14. Progress reports
15. Imposed Sanctions
16. Violation Report (if applicable)
17. Pre/Post Assessments
18. Receipts of offender payments for fees, fines, and restitution
19. Restitution Contract
20. Community Service Work Agreement (if applicable)

**S6.02** The Grantee must ensure intake reports are entered in the TDOC OMS (LCDG) using code AAAA to record detailed information about the offender's arrival. The Intake Report should include, at a minimum, the following information.

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
7. Risk assessment supervision level

**S6.03** The Grantee must ensure the discharge/termination report is entered in the TDOC OMS (LCDG) under code TEPE to record detailed information about the offender's discharge. The discharge/termination Report should include at a minimum:

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

**S6.04** The Grantee must ensure all offender contacts are documented in the TDOC OMS according to the Community Correction Contact Note Handbook.

**S6.05** The Grantee must ensure the sanction data is collected and reported by the 15<sup>th</sup> of the following month to TDOC via the Grantee's Monthly Self-Report (MSR).

**S6.06** The Grantee must ensure all violation data is collected and reported by the 15<sup>th</sup> of the following month to TDOC via the Grantee's MSR.

**EP7.00** The Grantee must ensure Pre- and Post-Assessments are conducted for all applicable programs (utilizing an assessment tool approved by the State) identifying the Offender's baseline presentation and

any resulting change in presentation following the completion of the EBPs. Pre/Post Assessment shall be conducted as follows:

1. A pre-assessment designed to evaluate the offender's criminal thinking, social desirability, and motivation for treatment shall be administered within the first two (2) Program sessions.
2. A post-assessment designed to evaluate the Program's effect on change in the offender's criminal thinking, social desirability, and engagement shall be administered on the last day of Program facilitation.
3. All completed Pre- and Post-Assessments shall be maintained in the offender's case file.

**EP7.01** The Grantee must provide EBP data by the 15<sup>th</sup> of the following month to TDOC via the Grantee's MSR to include:

1. Number of offenders enrolled in EBP.
2. Number of offenders successfully completing EBP
3. Number of offenders unsuccessfully completing EBP.

**EP7.02** The Grantee must maintain an EBP roster for each program facilitated for the State's review.

**TR8.00** The Grantee shall ensure that the treatment provider, either grantee or community provider, maintains a service record for each offender referred and accepted for treatment. Documentation of the service history for admission, discharge, and reimbursement of service fees is required.

**TR8.01** The Grantee must provide treatment data by the 15<sup>th</sup> of the following month to TDOC via the Grantee's MSR to include:

1. Type of treatment provided by the Grantee.
2. The Grantee treatment capacity for each treatment component offered by the Grantee.
3. Number of offenders enrolled in each treatment type offered by the Grantee.
4. Number of offenders successfully completing each treatment type.
5. Number of offenders unsuccessfully completing each treatment type.

**TR8.02** The Grantee maintains a clinical case record on each offender in which the grantee provides direct treatment services to include, at a minimum, the following information:

1. Judgment Order and/or court order to community correction
2. Offender Background Information Form
3. Initial Intake Information Form
4. Signed behavioral contract and/or program rules.
6. Offender Case Plan
7. Judicial Orders for DNA Sampling and Buccal Swabbing-DNA Sampling information
8. Medical and Psychological record and signed Release of Information (if applicable)
9. Evaluation/assessments; RNA, TCUD, (as identified)
10. Current employment data
11. Signed Offender Grievance Form and Title VI Acknowledgement
12. Referrals to other agencies (if applicable)
13. Drug/Alcohol screenings/results.
14. Progress reports
15. Imposed Sanctions

16. Violation Report (if applicable)
17. Pre/Post Assessments
18. Exit Summary Report



## Attachment Two

Risk and Needs Assessment	TOMIS Supervision Code	Face to Face	Home Visit	Fee Verification	Special Conditions Verification	Arrest Check	Employment Verification	Drug Screening	RNA Reassessment	Case Plan	Custody Verification	NCIC
Intake	Step 1 - Intake	Weekly	1 per month	1 per month	1 per month	1 per month	1 per month	1 per month	Upon Intake	1 every 2 months	0	0
Criminally Diverse, High Violent, High Property, or High Drug	Step 2 - Enhanced	Weekly	1 per month	1 per month	1 per month	1 per month	1 per month	1 per month	1 annually	1 every 3 months	0	0
Moderate	Step 3 - Medium	2 per month	1 per month	1 per month	1 per month	1 per month	1 per month	1 per month	1 annually	1 every 6 months	0	0
Low	Step 4 - Minimum	1 per month	1 per month	1 per month	1 per month	1 per month	1 per month	1 per month	1 annually	1 annually	0	0
Warrant on Bond	Warrant on Bond	Weekly	0	1 per month	1 per month	1 per month	1 per month	1 per month	0	0	0	0
Absconded Offender	Absconder	0	0	0		1 per month	0	0	0	0	0	1 annually
Deported	Deported	0	0	0	0	1 per month	0	0	0	0	0	1 annually
Detainer	Detainer	0	0	0	0	1 per month	0	0	0	0	1 per month	0
In Cust TDOC Sentence	In Custody	0	0	0	0	1 per month	0	0	0	0	1 per month	0
Res Treatment Placement	Residential	0	0	0	0	1 per month	0	0	0	0	1 per month	0
Warrant	Warrant Status	0	0	0	0	1 per month	0	0	0	0	0	0