
 <p style="text-align: center;">ADMINISTRATIVE POLICIES AND PROCEDURES State of Tennessee Department of Correction</p>	Index #: 110.04	Page 1 of 4
	Effective Date: April 1, 2023	
	Distribution: A	
	Supersedes: 110.04 (9/30/19) PCN 20-28 (9/1/20)	
Approved by: 		
Subject: TRAINING PLANS, RECORDS, AND REPORTS		

- I. AUTHORITY: TCA 4-3-603 and TCA 4-3-606.
- II. PURPOSE: To establish a standard method of documenting all records and reports pertaining to training.
- III. APPLICATION: Deputy Commissioners, Assistant Commissioners, Wardens/Superintendents, Staff Learning and Development Administrator, District Directors, and Training Specialists/Coordinators, and employees of Tennessee Rehabilitative Initiative in Correction (TRICOR).
- IV. DEFINITIONS:
  - A. Annual Training Plan: A document developed by a major organizational unit that addresses current job-related training needs of that unit.
  - B. Major Organizational Unit: Those units designated as being responsible for submitting an annual training plan to the Staff and Learning and Development Administrator, Tennessee Department of Correction (TDOC).
  - C. Training Record: An electronic or manual (hard copy) program that reflects an on-going record of training completed by a TDOC employee.
  - D. Training Reports: Any report, including but not limited to minutes of Training Advisory Committee (TAC) meetings, needs assessments and surveys, training goals, and objectives.
  - E. Training Specialist/Coordinator: An individual who has received the 40-hour Training for Trainers course from the Tennessee Correction Academy and is responsible for ensuring that training occurs in each prison, division, or location in accordance with policy.
- V. POLICY: It is the policy of the TDOC that a standard training record is maintained for all employees, that minutes of all Training Advisory Committee meetings be maintained, and that a current annual training plan be kept on file by each unit. All training delivered should be based upon a process of needs assessment to ensure that it is consistent with organizational philosophy and required job-specific conceptual knowledge or required skill.
- VI. PROCEDURES:
  - A. Completed training shall be recorded in a format established by the Commissioner in an electronic or manual (hard copy) program designated by the Wardens/Superintendents/District Directors and shall be maintained at the employee's assigned unit by the Training Specialist/Coordinator.

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1. It shall be each employee's responsibility to notify the Unit Training Specialist/Coordinator before and upon completion of a training activity outside the facility.
  2. Training Specialist/Coordinators are responsible for recording completed training in the designated training program in a timely and accurate manner.
- B. The Training Specialist/Coordinator shall maintain the training record for the current fiscal year and retain the electronic or manual file after the year-end and each fiscal year thereafter.
- C. The Training Specialist/Coordinator shall retain all training records utilized prior to the effective date of this policy on all current employees of the unit.
- D. Training Record Disposition is as follows:
1. A hard copy or an electronic copy of the employee's training record will be placed in the individual's unit personnel file prior to its being forwarded to another major organizational unit upon employee reassignment/transfer. The hard copy or an electronic copy of the training record will be removed from the unit personnel file by the personnel section of the major organizational unit receiving the reassigned employee and turned over to the unit Training Specialist/Coordinator for retention and maintenance.
  2. When an employee terminates employment with the TDOC, a hard copy or an electronic copy of the employee's training record shall be placed in the personnel file. The personnel file shall be sent to TDOC Central Office for forwarding to the Tennessee Department of Human Resources (TDOHR). The Training Specialist/Coordinator at the work unit from which the employee is terminated shall retain an electronic copy of the former employee's training records, copied to an inactive employee section of the program. A copy may be given to the departing employee. If a manual training record format is designated by the Wardens/Superintendents/ District Directors at that work site, a copy shall be retained in a separate file of terminated employee training records.
- The records of terminated employees should be retained for a minimum of two full years after the employee's separation date.
- E. Training Approval:
1. Each supervisor/manager approving training requests should ensure the employee's availability to attend requested training or canceling in sufficient time (usually seven days prior to start date of training), so the Department will not be billed.
  2. A cross reference will be made by checking the TDOHR Training Information Screen which shows individuals who complete TDOHR/Strategic Technology Solutions (STS) training for which Continuing Education Units (CEUs) were awarded. The TDOHR will send the completion of training to the training officer and the officer will make a copy for placement in the employee's training record.

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3. The employee shall be responsible for notifying the Training Specialist/Coordinator before and upon completion of out-service, specialty, and conference type training. A copy of the brochure or other information describing the training shall be provided to the training officer, along with a statement regarding the number of hours to be credited. Employees completing training where certificates of completion are issued may provide a hard copy for filing in their training record.
  4. TCA shall electronically send to the appropriate Training Specialist/Coordinator a record of training completed by the employees.
  5. DCCO; Office of Investigations and Conduct; and Major Maintenance staff should complete the Training Hours, CR-4183, and shall submit it to the Training Specialist/Coordinator quarterly. A copy of the brochure or other information describing the training shall be provided to the training officer
- F. Annual Training Plan: The Unit Training Coordinator in conjunction with the Unit Training Advisory Committee shall be responsible for preparing the annual training plan for his/her unit during the last quarter meeting of the fiscal year. They shall:
1. Identify and resolve problems that were encountered during the prior year regarding meeting training goals and objectives.
  2. Review assessments from the classes conducted during the prior year and enter adjustments to institutional produced training.
  3. Develop the Annual Training Plan to include at a minimum the following:
    - a. A breakdown of the number of staff in each category and the proposed method and location of meeting staff training needs.
    - b. Ensure that all orientation, pre-service, and in-service training needs are addressed.
  4. Completed annual training plans shall be forwarded by May 31 of each year to the Staff Learning and Development Administrator.
- G. The Training Specialist/Coordinator shall ensure that minutes are maintained of all Unit Training Advisory Committee meetings.
- H. The Training Specialist/Coordinator shall provide to all work site program and department heads, an In-Service Training Needs Assessment Survey, CR-3685, for their evaluation and completion to be used to forecast and determine in-service staff training needs.
1. Surveys circulated at the worksite shall be of sufficient number to reasonably allow for managerial input into the training necessary for all employee categories served through the Tennessee Correction Academy.

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2. Completed surveys will be forwarded to the Academy Director for collation and inclusion into a prioritized listing for curriculum development by November 1 of each year.
- I. Training is assessed and evaluated on an ongoing basis through the office of the Director of Training.
    1. The TCA shall utilize the In-service Training Needs Assessment Survey, CR-3685, the end of training evaluations completed by participants, and the executive service mandates to prioritize and design all subject matter and curricula.
    2. On an annual basis the Academy Superintendent/or his or her designee shall prepare and provide a summary of subject matter evaluations and recommendations for future training to be approved by the departmental Training Advisory Committee (TAC) for curricula approval and planning purposes.
    3. The TDOC curriculum and subject matter shall be approved by the departmental TAC.
    4. Institutional site-specific curriculum shall be developed by the unit Training Advisory Committee. TCA staff will assist with institutional curriculum development when requested. The TCA shall give final approval to all curriculum prior to the curriculum being taught.
- VII. APPLICABLE FORMS: CR-3685 (Rev 9/19), and CR-4183 (Rev 10/2022).
- VIII. ACA STANDARDS: 5-ACI-1D-01, 5-ACI-1D-03, 4-APPFS-3A-19, and 5-ACI-1D-04.
- IX. EXPIRATION DATE: April 1, 2026



**TENNESSEE DEPARTMENT OF CORRECTION  
IN-SERVICE TRAINING NEEDS ASSESSMENT SURVEY**

\_\_\_\_\_  
ORGANIZATIONAL UNIT

\_\_\_\_\_  
DATE

\_\_\_\_\_  
FISCAL YEAR

\_\_\_\_\_  
for (POSITION CATEGORY)

In each training category, items should be listed in order of priority with one (1) being the highest value and with five (5) being of lower urgency.

**ORGANIZATIONAL PHILOSOPHY:**

Please list those items that in your observation and/or estimation would further the Department's stated strategic mission, values and goals, by the development and delivery of employee In-Service training in the following topic areas:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

**CONCEPTUAL KNOWLEDGE:**

Please list those items that in your observation and/or estimation would enhance employee effectiveness in the area of policy understanding and compliance, by the development and delivery of employee In-Service training in the following topic areas:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_





TENNESSEE DEPARTMENT OF CORRECTION

TRAINING HOURS FY 2022/2023

Training Hours

Employee Name: \_\_\_\_\_ Job Title: \_\_\_\_\_  
Supervisor Name: \_\_\_\_\_ Edison ID: \_\_\_\_\_

Class	Date	Total Hours	Instructor	Location

Employee Name: \_\_\_\_\_ Date Signed: \_\_\_\_\_  
Supervisor Name: \_\_\_\_\_ Date Signed: \_\_\_\_\_

Please keep a copy for your records. This form should be submitted by the following dates accompanied with certificates and/or proof of completion to receive credit for the above classes:

- September 30<sup>th</sup>
- December 15<sup>th</sup>
- March 31<sup>st</sup>
- June 15<sup>th</sup>