



POLICY STATEMENT
Commonwealth of Pennsylvania • Department of Corrections

Policy Subject: Training and Staff Development		Policy Number: 5.1.1
Date of Issue: March 7, 2022	Authority: Signature on File George M. Little	Effective Date: March 14, 2022

I. AUTHORITY

The Authority of the Secretary of Corrections to direct the operation of the Department of Corrections is established by Sections 201, 206 and 506 and 901-B of the Administrative Code of 1929, 71 P.S. §§61, 66, 186 and 310-1, Act of April 9, 1929, P.L. 177, No. 175, as amended.

II. PURPOSE

It is the purpose of this policy to establish procedures for the training and staff development of all Department of Corrections employees, and to establish a system of regular review.

III. APPLICABILITY

The policy and procedures set forth in this document are applicable to all employees of the Department of Corrections.

IV. DEFINITIONS

All pertinent definitions are in the Glossary of Terms section contained in the Procedures Manual for this policy.

V. POLICY

It is the policy of the Department of Corrections to establish, implement, and evaluate quality employee training and development programs that contribute to the

Department's mission, equal employment opportunity goals, employee learning needs, and are supportive of the goals of the Governor.

VI. PROCEDURES

All pertinent procedures and/or terms are contained in the Procedures Manual for this policy.

VII. SUSPENSION DURING AN EMERGENCY

In an emergency or extended disruption of normal facility operation, the Secretary/designee may suspend any provision or section of this policy for a specific period.

VIII. RIGHTS UNDER THIS POLICY

This policy does not create rights in any person nor should it be interpreted or applied in such a manner as to abridge the rights of any individual. This policy should be interpreted to have sufficient flexibility to be consistent with law and to permit the accomplishment of the purpose(s) of the policies of the Department.

IX. RELEASE OF INFORMATION AND DISSEMINATION OF POLICY

A. Release of Information

1. Policy

This policy document is public information and may be released upon request.

2. Procedures Manual (if applicable)

The Procedures Manual for this policy is not public information and shall not be released in its entirety or in part, without the prior approval of the Secretary of Corrections or designee. This manual or parts thereof, may be released to any Department of Corrections employee on an as needed basis.

B. Distribution of Policy

1. General Distribution

The Department's policy and procedures manuals (when applicable) shall be distributed to the members of the Central Office Executive Staff, all Facility Managers, Community Corrections Directors, and Field Regional Directors on a routine basis. Distribution to other individuals and/or agencies is subject to the approval of the Secretary/designee.

2. Distribution to Staff

It is the responsibility of those individuals receiving policies and procedures, as indicated in the "General Distribution" section above, to ensure that each

employee expected or required to perform the necessary procedures/duties is issued a copy of the policy and procedures.

X. SUPERSEDED POLICY AND CROSS REFERENCE

A. Superseded Policy

1. Department Policy

5.1.1, Staff Development and Training, issued July 25, 2016, by former Secretary John E. Wetzel.

2. Facility Policy and Procedures

This document supersedes all facility policy and procedures on this subject.

B. Cross References(s)

1. Administrative Manuals

- a. DC-ADM 201, Use of Force
- b. 1.1.3, Organization of the Department of Corrections Central Office
- c. 1.1.6, Volunteers in the Department of Corrections
- d. 4.1.1, Human Resources and Labor Relations
- e. 6.3.1, Facility Security
- f. 6.7.2, Special Response Teams
- g. 7.6.1, Delivery of Educational Services
- h. 8.1.1, Community Corrections Centers
- i. 11.3.5, Armed Mounted Horse Detail
- j. 13.1.1, Management and Administration of Health Care

2. ACA Standards

- a. **Administration of Correctional Agencies:** 2-CO-1D-01, 2-CO-1D-02, 2-CO-1D-03, 2-CO-1D-04, 2-CO-1D-05, 2-CO-1D-06, 2-CO-1D-07, 2-CO-1D-08, 2-CO-1D-09, 2-CO-1D-10, 2-CO-1G-04, 2-CO-1G-07
- b. **Adult Correctional Institutions:** 5-ACI-1C-01, 5-ACI-1C-12, 5-ACI-1C-16, 5-ACI-1C-23, 5-ACI-1D-01, 5-ACI-1D-02, 5-ACI-1D-03, 5-ACI-1D-04, 5-ACI-1D-05, 5-ACI-1D-07, 5-ACI-1D-08, 5-ACI-1D-09, 5-ACI-1D-10, 5-ACI-1D-11, 5-ACI-1D-12, 5-ACI-1D-13, 5-ACI-1D-14, 5-ACI-1D-15, 5-ACI-1D-16, 5-ACI-1D-17, 5-ACI-1D-18, 5-ACI-1D-19, 5-ACI-1D-20, 5-ACI-1D-21, 5-ACI-1D-22, 5-ACI-3A-21, 5-ACI-3A-33, 5-ACI-3A-34, 5-ACI-3B-02, 5-ACI-3B-10, 5-ACI-3C-04, 5-ACI-6A-08, 5-ACI-6A-35, 5-ACI-6B-02, 5-ACI-6B-06, 5-ACI-6B-07, 5-ACI-6B-08, 5-ACI-7A-07

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- c. **Adult Community Residential Services:** 4-ACRS-1C-04, 4-ACRS-7B-10, 4-ACRS-7B-11, 4-ACRS-7B-12, 4-ACRS-7B-13, 4-ACRS-7B-14, 4-ACRS-7B-15, 4-ACRS-7B-16, 4-ACRS-7B-17, 4-ACRS-7B-18, 4-ACRS-7B-19, 4-ACRS-7F-09
 - d. **Correctional Training Academies:** 1-CTA-1A-01, 1-CTA-1A-09, 1-CTA-2C-01, 1-CTA-3A-01, 1-CTA-3A-02, 1-CTA-3A-03, 1-CTA-3A-04, 1-CTA-3A-05, 1-CTA-3A-06, 1-CTA-3A-07, 1-CTA-3A-08, 1-CTA-3A-09, 1-CTA-3A-10, 1-CTA-3A-11, 1-CTA-3A-12, 1-CTA-3A-13, 1-CTA-3A-14, 1-CTA-3A-15, 1-CTA-3A-16, 1-CTA-3A-17, 1-CTA-3A-18, 1-CTA-3A-19, 1-CTA-3A-20, 1-CTA-3A-21, 1-CTA-3A-22, 1-CTA-3A-23, 1-CTA-3A-24, 1-CTA-3B-08, 1-CTA-3B-09, 1-CTA-3C-05, 2-CTA-1C-11, 2-CTA-2C-01, 2-CTA-3A-01, 2-CTA-3A-08, 2-CTA-3A-14, 2-CTA-3A-15, 2-CTA-3A-19, 2-CTA-3A-30
 - e. **Correctional Industries:** 2CI-1A-8, 2-CI-2B-1, 2-CI-6C-5, 2-CI-6C-6, 2-CI-6C-7
3. PREA Standards
- 28 Code of Federal Regulations (CFR) 115.31
4. Other
- a. Management Directive 205.15, Memberships in Organizations, Associations, or Societies
 - b. Management Directive 205.33, Workplace Violence
 - c. Management Directive 210.5, The Commonwealth of Pennsylvania State Records Management Program
 - d. Management Directive 505.22, State Employee Assistance Program
 - e. Management Directive 505.25, Substance Abuse in the Workplace
 - f. Management Directive 535.3, Out-Service Training
 - g. Management Directive 535.7, Annual Agency Training Plan and Report
 - h. Management Directive 720.7, Bomb Threats and Suspicious Packages
 - i. Department of Corrections Class Code Listing
 - j. Asbestos Occupations Accreditation and Certification Act of 1990, P.L. 805, No. 194
 - k. PA Code Title 34, Chapter 203, Lead-Based Paint Occupation Accreditation and Certification



PROCEDURES MANUAL
Commonwealth of Pennsylvania • Department of Corrections

Policy Subject: Training and Staff Development		Policy Number: 5.1.1
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Release of Information:

Policy Document: This policy document is public information and may be released upon request.

Procedures Manual: The procedures manual for this policy may be released in its entirety or in part, with the prior approval of the Secretary/designee. Unless prior approval of the Secretary/designee has been obtained, this manual or parts thereof may be released to any Department employee on an as needed basis only.

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Section 1 – *Bureau of Training and Staff Development*

A. General

1. Mission Statement

The ***Bureau of Training and Staff Development's*** mission is to provide quality staff development, training, and support services for its stakeholders.

2. Values Statement

The ***Bureau of Training and Staff Development*** is dedicated to integrity, professionalism, excellence, teamwork, and innovation, which are paramount to its growth and success.

3. Vision Statement

The ***Bureau of Training and Staff Development's*** Vision Statement is “Leading in Learning for Corrections Excellence.”

B. Responsibilities

1. Plan, develop, and implement all Department-level training programs that are consistent with, and contribute to, the Department’s mission, equal employment opportunity goals, and staffing requirements based on employee learning needs.
2. Develop training policies that are consistent with the policies and goals of the Commonwealth and the Department.
3. Development and implement training that meets or exceeds the American Correctional Association (ACA) standards for correctional agencies.
4. Ensure that a standardized, competency-based curriculum, supported by appropriate materials and classroom resources, is available for all training conducted by the Department.¹
5. Develop and/or make available core training programs in the following areas:
 - a. pre-service (includes orientation and Basic Training);
 - b. ***facility or field***-specific technical training;
 - c. formal on-the-job training;
 - d. management and supervisory development; and

¹ 1-CTA-3A-15

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- e. in-service, out-service, and specialized **training**.
6. Coordinate interdepartmental sharing of training activities, resources, technology, and programs to maximize efficiencies and cost effectiveness.
7. Provide training programs to certify sufficient quantities of trained instructors and facilitators to meet departmental needs.
8. Primarily conduct training courses at the Training Academy, but utilize regional training sites when **practical**.
9. Ensure that out-service training requests are approved in accordance with Department and Commonwealth policies and goals.
10. Develop the Department Annual Training Plan and Annual Training Report in accordance with Department and Commonwealth procedures.²
11. Maintain all formal course files and student records for courses conducted by the Training Academy. Files and records will be maintained, archived, and disposed of in accordance with **Management Directive 210.5, The Commonwealth of Pennsylvania State Records Management Program** and applicable ACA standards.³
12. Select individuals for assignment to the Training Academy **who are qualified to provide training that meets the Department's needs** and meet applicable ACA standards.⁴

C. Chain of Command

The chain of command **in a critical incident at the Training Academy shall be:**

1. Director;
2. Associate Director – Facilities Management;
3. Associate Director – Training Services; and
4. **Captain**.

² 5-ACI-1D-05, 1-CTA-1A-01

³ 1-CTA-3A-10, 1-CTA-3A-11, 1-CTA-3A-12

⁴ 1-CTA-3A-01

Section 2 – Minimum Training Standards

A. General Procedures¹

1. The Director, Staff Development and Training, is responsible for managing training functions within the Department. Specific areas of training supervision are contained in **Section 1, Staff Development and Training Office** of this procedures manual.
2. The Facility Manager is responsible for ensuring that all on-site mandatory training including In-Service and on-the-job training requirements are met according to this procedures manual.
3. The facility Training Coordinator is responsible for supervising the planning, coordinating, monitoring, and reporting of all on-site mandatory training including In-Service and on-the-job training requirements. He/she is also responsible for maintaining facility and American Correctional Association (ACA) training records.²
4. Training requirements are contained in **Section 3, Career and Management Development; Section 4, First-Year Training Requirements; Section 5, Training Needs Assessments, Plans, Records, and Reports; Section 7, Firearms Qualification; and Section 9, Instructor Certification** of this procedures manual.
5. Training at a Community Corrections Center (CCC) is planned and supervised by the CCC Director. An employee will be designated at each region or CCC to coordinate the training process.
6. Each Department employee will receive training mandated by the Department and required by his/her job classification and duties. A new full-time and non-regular status employee will meet first-year training requirements as stated in **Section 4** of this procedures manual.³
7. In-Service training, designated by the Department as mandatory, must be completed each *calendar* year unless otherwise noted in the **Mandatory Training Requirements Listing (Attachment 2-A)**. Managers and supervisors shall ensure that employees under their supervision complete all mandatory training requirements.⁴
8. Annual mandatory training must be documented in the facility's annual training plan and annual training report as stated in **Section 5** of this procedures manual.

¹ 4-4220

² 2-CTA-3A-01, 4-ACRS-7B-10

³ 4-4084, 4-4351

⁴ 4-4063, 4-4089, 4-4090, 4-4092, 4-4351, 4-4389

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9. A trained and certified instructor must conduct all training offered by the Department. Instructor certification requirements are contained in **Section 9** of this procedures manual.⁵
10. Department mandatory training must be instructed using a Department-approved lesson plan in accordance with **Section 10** of this procedures manual.⁶
11. Facilities will provide the necessary space and equipment to conduct staff development and training activities. Facilities for classroom instruction should be easily accessible, free from distracting noise or observation by inmates, large enough to accommodate a minimum of 20-30 students, and contain the appropriate audio/visual equipment. Separate space should be provided for specialized training such as defensive tactics, firearms training, and chemical munitions training.⁷

B. Mandatory In-Service Training⁸

1. Commonwealth and federal laws and regulations, ACA standards, Department requirements, and employee learning needs determine mandatory In-Service training. Mandatory training requirements are identified in the **Mandatory Training Requirements Listing**.⁹
2. A Facility Manager may expand the employee target group based upon operational needs, providing the designated group meets the same initial certification and re-certification requirements for that particular subject. Example: Maintenance staff assigned to use firearms must receive initial firearms training and must meet qualification and re-qualification standards.
3. The Facility Manager shall ensure that each employee meets his/her mandatory training requirements each calendar year. Facilities not in compliance with mandatory training requirements shall develop, within 30 days of completion of audit, a corrective action plan to bring the facility into compliance within 30 days from the end of the training period.¹⁰
4. Some employees may be on a form of extended leave and unavailable for training during the current training year. These employees shall complete mandatory In-Service training within a reasonable amount of time upon return to duty. Exceptions may be made for these employees by the Facility Manager based upon the following:
 - a. length of time the employee was out;
 - b. when the employee returns to duty within the current year; and

⁵ 4-4389

⁶ 4-4389

⁷ 4-4080, 2-CTA-2C-01

⁸ 4-4090, 4-4220

⁹ 4-4092

¹⁰ 4-4351, 4-4389

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- c. the operational needs of the facility.
 - (1) Example 1: An employee is out for 14 months and returns during the month of January leaving 11 months to complete annual training. This employee would be expected to complete his/her required training in the current (calendar) year.
 - (2) Example 2: An employee is out for 14 months and returns during the month of November leaving less than two months to complete annual training. The Facility Manager may waive the annual training requirement in the current (calendar) year and schedule the employee's training within the next (calendar) year.
5. An employee required to complete training in the critical skill areas identified below must complete the training within 60 days upon return to regular duty. Critical skill topics include the following:
 - a. Firearms;
 - b. CPR/Basic First Aid; and
 - c. Defensive Tactics/Use of Force.
6. An employee who is promoted or placed into a management, first-level supervisor, Commissioned Officer, Food Service Manager, or Food Service Supervisor position will also complete the training requirements stated in **Section 3** of this procedures manual.
7. Each non-regular status employee will receive training as determined by the Facility Manager/designee, and an initial orientation. A two-hour orientation refresher each year which will include, at a minimum, a review of security, emergency preparedness, and professionalism and ethics for correctional staff will be conducted for those non-regular status employees working less than 20 hours per week.¹¹
8. All full-time, limited-term wage H-1 bargaining unit members will attend the Basic Training course. The course must be successfully completed prior to the employee being issued "security" keys, "restricted" keys, or "emergency" keys (as defined in Department policy **6.3.1, "Facility Security"**) and prior to independently supervising inmates.
9. All other full-time, limited-term wage employees will receive an orientation and training as stated in **Section 4** of this procedures manual.
10. Inmate Telephone Site Administrators are exempt from taking Department In-Service training requirements.
11. Each regular and non-regular volunteer will receive an orientation as stated in **Section 4** of this procedures manual.

¹¹ 4-4088, 4-ACRS-7B-18

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12. A nationally recognized association, such as the American Red Cross or the American Heart Association, must certify all non-regular status contract licensed professional medical personnel (excluding on-site medical consultants) in Cardiopulmonary Resuscitation (CPR) and Basic First Aid. Training in HIV, Tuberculosis, Hepatitis, 2-person CPR, and Automated External Defibrillator (AED) received through other sources may be credited towards mandatory training provided documentation of attendance and completion is presented to the facility’s Training Coordinator.¹² Non-regular status contract licensed professional medical personnel, as defined in this paragraph, includes the following: Physicians, dentists, psychologists, certified physician assistants, Registered Nurses (RN), Licensed Practical Nurses (LPN), and dental hygienists.¹³

C. Length of Training Programs

1. Listed below are the minimum required Orientation, Basic Training, and In-Service training hours that are based on the employee’s training category.¹⁴

TITLE	ORIENTATION	BASIC	ON-THE-JOB TRAINING	IN-SERVICE
Management	40	40	0	40
Non-Contact	40	40	0	16
Contact*	40	80	0	40
Contact (H-1 Non Corrections Officers)	40	160	0	40
H-1 (Corrections Officers)	40	200	1760	40

*Includes CCC Monitors and Corrections Records Specialists.

2. The Training Coordinator should refer to the Department Alphabetical Class Code Listing published by the Bureau of Human Resources (BHR), and maintained in the Facility/Bureau Human Resource Office, to determine the employee’s training category.

D. In-Service Training Schedule

1. An In-Service Training Schedule must be developed to meet the Department’s training requirements as listed in the **Mandatory Training Requirements Listing**. The In-Service Training Schedule shall be incorporated into the Annual Training Plan as required in **Section 5** of this procedures manual. The Staff Development and Training Office will provide each Training Coordinator with the Department’s annual In-Service training requirements for the next calendar year by October 15 of each year.¹⁵
2. Annual In-Service training may be scheduled based on a facility’s needs and circumstances. Annual In-Service training must be completed by December 31 of each year.

¹² 4-4351

¹³ 4-4389

¹⁴ 4-4048, 4-4082, 4-4083, 4-4084, 4-4084-1, 4-4085, 4-4086, 4-4087, 4-ACRS-7B-14 to 4-ACRS-7B-17, 2-CTA-3A-30

¹⁵ 2-CTA-3A-08

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3. An employee who is a member of a bargaining unit should not be required to attend training before or after shift, nor should he/she be mandated to attend training on his/her days off unless there is a local union/management agreement (approved by the Regional Deputy Secretary).
4. Facilities will add facility-specific training to meet needs where necessary in order to comply with the minimum training requirements listed in **Subsection 2.C. above**. Local lesson plans will be developed and approved in accordance with **Section 10** of this procedures manual.

E. Community Corrections Additional Training

Each full-time CCC Monitor will receive the annual training listed in the **Community Corrections Center Monitors Training Outline (Attachment 2-B)** in addition to training required in the Mandatory Training List. A part-time CCC Monitor will receive training in accordance with **Section 3 and 4** of this procedures manual.¹⁶

F. Special Team Participation

1. An employee who volunteers for special team participation (Corrections Emergency Response Team [CERT], Fire Emergency Response Team [FERT], etc.) must successfully complete the specialized training courses for the specific team. Training requirements for “special teams” are determined by Special Teams Coordinators.¹⁷
2. An employee who will be inspecting asbestos, abating asbestos, or supervising asbestos abatement must complete a Department of Labor and Industry accredited program prior to entering the work sites.¹⁸
3. An employee who will be involved in lead abatement projects must be trained and certified by the Lead Training Center, Danville State Hospital, or other approved sources.¹⁹

G. Specialized Training

Training requirements for select specialized training programs and certain job classifications are listed in the **Specialized Training Outline (Attachment 2-C)**.²⁰

¹⁶ 4-ACRS-7B-18

¹⁷ 4-4089

¹⁸ PA Act of 1990, P.L. 805, No. 194; 2-CI-1A-8

¹⁹ PA Code, Title 34, Chapter 203

²⁰ 4-4389

Section 3 – Career and Management Development

A. General¹

The Department has a continuing commitment to establish, implement, and evaluate employee training and development programs that ensure quality learning experiences supportive of the Department's mission and the overall interests of the Commonwealth of Pennsylvania. In order to accomplish this, the Department will:

1. continue to use the resources of outside public and private agencies, private industry, colleges, universities, and libraries when needed to develop training courses and curricula, and in formulating techniques for evaluating staff development programs;²
2. encourage each employee to participate in criminal justice and allied professional associations and activities, and continue to promote staff development of Department employees;
3. promote training and staff development programs that encourage an employee to continue his/her education and participation in outside workshops, seminars, and other formal education programs;³
4. encourage facilities to provide administrative leave and/or reimbursement for an employee attending approved professional meetings, seminars, and similar work-related activities;⁴
5. ensure that adequate training funds are included in annual budgets to accomplish staff development and training programs, and reimburse staff for his/her time when training is conducted during off-duty hours;⁵ and
6. provide quality learning experiences and financial support as needed to prepare Pennsylvania Management Interns, Personnel Analyst Trainees, Information Technology Associates, and other interns or trainees for careers in state government.

B. Career Development

1. Professional Associations
 - a. The Department can assist in the development of an employee by promoting and supporting cooperative relationships with professional organizations. An employee is encouraged to attend professional meetings, conferences, seminars, and workshops

¹ 4-ACRS-7B-19

² 4-4079, 2-CTA-3A-14, 4-ACRS-7B-13

³ 4-4093

⁴ 4-4094

⁵ 4-4081, 4-4094, 2-CTA-1C-11

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at his/her own expense with administrative leave being granted for this purpose, when state funds are not available.

- b. Attendance at selected annual conferences, conventions, and professional association meetings, such as the American Correctional Association (ACA), Correctional Accreditation Managers Association of Pennsylvania (CAMA-PA), the PA Prison Wardens Association (PPWA), or other allied professional organizations, is expected to benefit the Department but may not involve instruction or training. All requests to attend these events will meet the standards and procedures set forth in **Section 6, Out-Service Training** of this procedures manual and **Management Directive 535.3, Out-Service Training**. Approval for selected managers to attend at state expense is approved at the Central Office level.

2. Organization Memberships

- a. The Department may assist an employee with payment of his/her membership fees with state funds for national and state professional organizations. The Department's Bureau of Administration maintains a current list of approved organizations in accordance with **Management Directive 205.15, Membership in Associations, Organizations, or Societies**.
- b. An employee who desires to join an approved professional organization directly related to his/her work assignment at state expense, should submit a written request to his/her local approving authority, which clearly states the reasons for wanting to join, and the specific benefits to be derived from membership.
- c. Local approving authorities should evaluate each request on an individual and a group basis. The following factors should also be considered:
 - (1) membership cost, since these fees are a budgetary item;
 - (2) whether an agency/facility membership would be more appropriate than an individual membership as regards to benefits derived;
 - (3) what is the possibility of an employee attending specialized training programs and conferences sponsored by the organization?; and
 - (4) how will this membership specifically add to the professional growth of the employee?
- d. An employee who wishes to join a professional organization that is not on the approved list should submit a written request through his/her local approving authority to the Director, Bureau of Administration, requesting that the organization be placed on the approved list. Justification for the request will include the factors listed in **Subsections B.2.b. & c. above**. The Deputy Secretary for Administration has approval authority to add or delete organizations from the approved list.

3. Continuing Education

- a. The Department is authorized to approve academic credit courses that provide theoretical and technological updates in subject areas that cannot effectively be provided in on-the-job situations or short-term conferences or seminars.
- b. Attendance and approval are subject to the standards and procedures set forth in **Section 6** of this procedures manual and **Management Directive 535.3**.

C. Management and Leadership Development Training

1. The Department will provide a Management and Leadership Development Program that helps develop leadership, management, technical, and organizational skills to successfully lead employees, manage the Department's programs, and improve knowledge for managing Department resources. The Staff Development and Training Office will seek the advice and input from a cross section of Department employees. The program will reach select emerging managers and leaders throughout the Department.
2. Department Managers are expected to seek opportunities to meet their annual mandatory training hours in topics and skills relevant to their respective management duties. In addition to Department sponsored training, training resources may include:
 - a. Commonwealth's Leadership Development Institute and Emerging Leaders Program;
 - b. other training offered by the Office of Administration;
 - c. other Commonwealth agencies;
 - d. National Institute of Corrections;
 - e. professional organizations such as the American Management Association (AMA), ACA, American Jail Association (AJA), American Probation and Parole Association (APPA), etc.; and
 - f. continuing education courses.

D. Unit Managers Training

1. Each Unit Manager must participate in training designed to develop his/her leadership and Unit Manager skills and heighten awareness of his/her job responsibilities. Any staff member who is promoted or placed into a Unit Manager position is required to attend the Department's Unit Managers course within six months of promotion or placement.
2. A current Unit Manager who has not attended this course shall receive this training within one year of the effective date of this policy. Additionally, each Unit Manager will complete the following:

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- a. the Department's Supervisory Development course;
- b. the Department's Management Development Program;
- c. Case Management Skills – Each new Unit Manager will complete this course within six months of promotion or placement unless he/she is a former Drug and Alcohol Treatment Specialist (who was assigned regular inmate caseloads) or a facility Corrections Counselor. Each current Unit Manager will complete this course within one year of the effective date of this policy unless he/she previously completed the Counseling Skills Development course, or are a former Drug and Alcohol Treatment Specialist (who was assigned regular inmate caseloads) or a facility Corrections Counselor;
- d. Managing Conflict – Each new Unit Manager, except those assigned to a Security Level 5 Housing Unit, will complete a course in Managing Conflict within one year of promotion or placement. Each current Unit Manager who has not previously completed a course in Managing Conflict will complete a course within one year of the effective date of this policy;

NOTE: New Unit Managers assigned to a Level 5 Housing Unit will receive Managing Conflict in the Security Level 5 Housing Unit Seminar course.

- e. Labor Relations for Supervisors – Each new Unit Manager will complete this course within one year of promotion or placement. Each current Unit Manager who has not previously completed this course shall complete it within one year of the effective date of this policy; and
- f. Security Level 5 Housing Unit Seminar – Each new Unit Manager assigned to Security Level 5 Housing Units shall complete this course within six months of promotion or placement. Current Unit Managers assigned to Security Level 5 Housing Units, who have not previously completed this course, shall complete it within one year of the effective date of this policy. Unit Managers who previously attended the Restricted Housing Unit Seminar do not need to attend this course.

E. Commissioned Officers Training

1. Each newly promoted Commissioned Officer must participate in training designed to develop a sense of leadership and explain the role and expectations of his/her position. The training shall emphasize the Department's expectations of a Commissioned Officer as a leader, manager, and supervisor. Any Department staff member who is promoted or placed into a Commissioned Officer position is required to attend the Department's Commissioned Officer Training course (which will fulfill the requirement for Supervisor Development) training within six months of promotion or placement.

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2. Each Captain must also participate in the Management Development Program and complete the requirements stated in **Subsection C** above. Each Lieutenant must also complete supervisory training and complete the requirements stated in **Subsection F** below.

F. Supervisory Training

1. Each first-level supervisor must participate in training designed to develop supervisory leadership skills and heighten awareness of his/her job responsibilities. Any Department staff member who is promoted or placed into a first-level supervisor position is required to attend the Department's Supervisory Development course within six months of promotion or placement.
2. A Department staff member who is promoted or placed into a manager or first-level supervisor position is required to successfully complete all Department and Office of Administration web-based training modules specifically developed for supervisors within six months of promotion or placement.

G. Food Service Managers or Supervisors Training

1. Each Food Service Manager and Food Service Supervisor is required to attend the Department's Applied Food Service Sanitation course, and pass the certification examination, within six months of promotion or placement. A current Food Service Manager and Supervisor who has not attended and passed this course shall receive this training within one year of the effective date of this policy.
2. Each Food Service Manager and Food Service Supervisor is required to attend recertification courses in accordance with The Pennsylvania Code, Title 7, Agriculture, Part II, Chapter 76 in order to maintain certified food employee status. Each Food Service Manager and Supervisor will complete the Department's Food Service Sanitation Recertification course no later than five years after successfully completing the Applied Food Service Sanitation course, and every five years thereafter.
3. Each Food Service Manager and Food Service Supervisor who successfully completed the Department's Applied Food Service Sanitation course prior to October 2001, must be recertified in order to qualify for the Department of Agriculture Food Employee Certification under The Pennsylvania Code.
4. ***Each Food Service Instructor, Corrections Storekeeper Supervisor, and Corrections Stock Clerk is required to attend the Department's Applied Food Service Sanitation course within six months to one year of promotion or placement. Successfully passing the certification examination is recommended but not required as a Food Service Instructor, Corrections Storekeeper Supervisor, or Corrections Stock Clerk. The Food Service Manager will determine when the Food Service Instructor must attend the course.***

5. ***Each Corrections Institutional Safety Manager is required to attend the Department's Applied Food Service Sanitation course, and pass the certification examination, within six months of promotion or placement. A current Corrections Institutional Safety Manager who has not attended and passed this course shall receive this training within one year of the effective date of this policy.***
6. ***Each Corrections Institutional Safety Manager is required to attend recertification courses in accordance with The Pennsylvania Code, Title 7, Agriculture, Part II, Chapter 76 in order to maintain certified food employee status. Each Corrections Institutional Safety Manager will complete the Department's Food Service Sanitation Recertification course no later than five years after successfully completing the Applied Food Service Sanitation course, and every five years thereafter.***

H. National Incident Management System (NIMS) Training

1. The following Federal Emergency Management Agency courses are required training for the Secretary, Deputy Secretaries, Facility Managers, Bureau of Community Corrections (BCC) Regional Directors, Deputy Superintendents, Majors, Captains, and Lieutenants:
 - a. ICS-100, "Introduction to Incident Command System (ICS)" (Web-based Training);
 - b. ICS-200, "ICS for Single Resources and Initial Accident Incidents" (Web-based Training);
 - c. ICS-300, "Intermediate ICS for Expanding Incidences" (Instructor-led Training);
 - d. ICS-400, "Advanced ICS" (Instructor-led Training);
 - e. IS-700, "National Incident Management System, an Introduction" (Web-based Training); and
 - f. IS-800 "National Response Framework an Introduction" (Web-based Training).
2. Additionally, the following courses will be completed by the target groups listed below for each course.
 - a. IS-701, "NIMS Multi-Agency Coordination Systems" (Web-based Training)

Target Group: Facility Managers, Deputy Superintendents, Critical Incident Managers, Incident Management Team Members (State and Regional Task Force), and other staff at the discretion of the Facility Manager.

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b. IS-702, “NIMS Public Information Systems” (Web-based Training)

Target Group: Public Information Officers (Primary and Alternate), Critical Incident Managers, Incident Management Team Members (State and Regional Task Force), and other staff at the discretion of the Facility Manager.

c. IS-703, “NIMS Resource Management” (Web-based Training)

Target Group: Deputy Superintendents, Business Managers, Majors, Purchasing Agents, Corrections Facility Maintenance Managers, Critical Incident Managers, Incident Management Team Members (State and Regional Task Force), and other staff at the discretion of the Facility Manager.

d. IS-706, “NIMS Intrastate Mutual Aid – an Introduction” (Web-based Training)

Target Group: Critical Incident Managers, Incident Management Team Members (State and Regional Task Force), and other staff at the discretion of the Facility Manager.

3. Courses that are web-based are accessible through the Federal Emergency Management Agency’s (FEMA) website at: <https://www.fema.gov>.
4. All new personnel who are either promoted or placed into these positions will be required to complete these courses within six months of promotion or placement.

Section 4 – First Year Training Requirements

A. General Procedures

1. Each new full-time employee must successfully complete orientation and Basic Training to maintain employment.¹ The length of orientation and Basic Training is based on the employee's training category as defined in **Section 2** of this procedures manual.²
2. Each full-time employee assigned to SCI Cambridge Springs, SCI Muncy, SCI Pine Grove, and the Quehanna Boot Camp will also complete the specialized courses as stated in **Section 2**.
3. Non-regular status personnel will complete the orientation and training requirements as stated throughout this section and in **Section 2**.³

B. Pre-Service Training⁴

1. Orientation⁵
 - a. During orientation, the employee will be in training status and shall not be used to fill any post or duty position. The Training Coordinator and Training Lieutenant (if applicable), with input from the employee's supervisor, will coordinate the new employee's orientation schedule.⁶
 - b. All employees should complete their orientation prior to attending Basic Training or immediately upon returning to their duty stations.
 - c. The facility/bureau Human Resource Officer/designee will develop a procedure to conduct and verify completion of the orientation. The orientation will be documented and will contain, at a minimum, the topics listed on the **New Employee Orientation Checklist – Field Employees (Attachment 4-A)**, **New Employee Orientation Checklist – Central Office Employees (Attachment 4-B)**, or the **New Employee Orientation Checklist – Bureau of Community Corrections (Attachment 4-C)**, functional areas visited, and that the department head, person in charge/designee covered the information on the **checklist** (see **Subsection B.1.k. below**). Facilities, bureaus, and Community Corrections Center (CCC) Regions are authorized to add to the items listed on the **New Employee Orientation Checklists**. The employee, **orientation coordinator/designee**, and the Training Coordinator will sign and date the checklist. The original checklist will be **maintained** in the Official Personnel **Record** and a copy will be placed in the employee's permanent training file.⁷

¹ 4-4229, 4-4381

² 4-4084

³ 4-4070, 4-4088, 4-ACRS-7B-18

⁴ 4-4084, 4-4229

⁵ 4-4063, 4-4070

⁶ 4-4082, 4-ACRS-7B-14, 2-CTA-3A-15, 2-CI-2B-1, 2-CI-6C-6

⁷ 4-ACRS-7B-14, 2-CTA-3A-15, 2-CI-1A-8, 2-CI-2B-1, 2-CI-6C-6

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- d. As a requirement to attend the Department's Basic Training Program, all employees should complete the Basic Training Orientation Web-Based Training (WBT) course as part of their new employee orientation prior to attending the Basic Training Program. ***It is the responsibility of supervisors and Field Human Resource Officers to ensure that new employees are scheduled for an orientation.***

- e. Orientation: Each Corrections Officer Trainee (COT) will receive an orientation to the Department as stated in **Section 2**. The first week (40 hours) will consist of each topic, a tour of the facility, and an on-site visit of every department and functional area within the facility listed on the **New Employee Orientation Checklist – Field Employees**.

- f. Shift Observation: The 40-hour week shall consist of shift observation on every shift in order to orient COTs to each type of custody post within the facility; however, if observation on the 10-6 shift is not possible during this 40-hour week, it shall be scheduled during one of the remaining phases and shall be completed and documented before the end of the COTs OJT program. An example of similar "types" of posts would be two general population-housing units constructed with essentially the same operational procedures on the same shift. If the trainee observed one of these housing unit posts, they would not have to observe any additional similar housing unit posts on that shift. The following guidelines for shift observation will be used:
 - (1) the amount of time for each shift will be determined locally, but the trainee must spend time on every shift;
 - (2) a schedule will be developed to ensure exposure to every post during this 40-hour period;
 - (3) the time required for each type of post will be relative to the complexity of the assignment; and
 - (4) to maintain consistency for each trainee, the 40-hour post orientation schedule must be documented in writing, defining by name the specific type of post each trainee must observe. A written record of the completed post orientation shall be retained for each trainee. This post orientation schedule will be reviewed and updated as needed and/or during the annual OJT program review (see **Subsection E.2.o. below**).

- g. Post Development: The 40-hour week shall consist of "post development" to familiarize the COTs with Phase 2 posts under the guidance of an experienced officer. An example would be post familiarization of housing units, yard and dining hall activities, commissary, etc. and other posts/activities at the discretion of the facility.

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- h. Each full-time non-Corrections Officer employee will receive an orientation to the Department as stated in **Section 2**. The orientation will consist of each topic, a tour of the facility, and an on-site visit of each department and functional area within the facility listed on the appropriate **New Employee Orientation Checklist**.
- i. Each non-regular status employee (except full time limited-term wage H-1 bargaining unit members) will receive an orientation within the first month of the employee's date of hire. This orientation shall include, but not be limited to, the Department's mission and value statements, facility purpose, goals, policies and procedures, professionalism and ethics for correctional staff, sexual harassment, diversity, security (inmate accountability, tool/key/radio control), Code of Ethics, emergency preparedness, fire/safety, drug and alcohol program, dealing with inmates, and the new employee's job duties, and responsibilities.⁸
- j. Full time limited-term wage H-1 bargaining unit members will receive an orientation within the first month of the employee's date of hire. This orientation will consist of each topic, a tour of the facility, and an on-site visit of each department and functional area within the facility listed on the appropriate **New Employee Orientation Checklist**.
- k. Each full-time and part-time contracted medical staff will receive an orientation within the first month of the employee's date of hire. The orientation will cover, at a minimum, each topic as outlined in **Subsection B.1.h. above** and those listed on the appropriate **New Employee Orientation Checklist**.
- l. Each contracted nursing staff member will receive, in addition to the **New Employee Orientation Checklist**, the Security Orientation Packet for Contract Nurses, as outlined in Department policy **13.1.1, "Management and Administration of Health Care," Section 2**.
- m. The tour of the facility and on-site visit to each department and functional area will comprise the remaining portion of the orientation program. The department head or person in charge of each functional area will develop a topical outline of the information to be covered during the visit or observation.
- n. Each regular and non-regular volunteer shall receive an orientation in accordance with Department policy **1.1.6, "Volunteers and Interns in the Department"** prior to any program involvement.

2. Basic Training

- a. A COT will complete Basic Training within the first six weeks of employment. A request for an exception must be approved by the Regional Deputy Secretary and will not exceed six months from the employee's date of hire.

⁸ 4-4082, 4-4088, 4-ACRS-7B-18

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NOTE: The trainee will complete orientation and shift observation prior to attending Basic Training.

- b. A full-time non-Corrections Officer employee shall attend the first available session of the Basic Training course for his/her job classification with a time limit of 90 days from date of hire for completion. A request for an exception must be approved by the Regional Deputy Secretary and will not exceed six months from the employee's date of hire.
- c. A full-time limited-term wage H-1 bargaining unit member will attend the Basic Training course. The course must be successfully completed prior to the employee being issued any "security" keys, "restricted" keys, and "emergency" keys (as defined in Department policy **6.3.1, "Facility Security"**) **or** independently supervising any inmate.
- d. A new part-time CCC Monitor shall attend the first available session of the Basic Training course with a time limit of 90 days from date of hire for completion. A request for an exception must be approved by the Regional Deputy Secretary/designee and will not exceed six months from the employee's date of hire.
- e. A Regional Assessment and/or Support Team member contracted by the Department of Education, but working in a Department facility, will attend the Basic Training course for a non-contact employee.
- f. A student attending Basic Training must successfully meet all of the academic standards for his/her job classification as stated in the "Supplement to Department of Corrections Application." The Staff Development and Training Office will issue an employment termination notice to a student who fails to meet the academic standards, or is found to be in violation of the Department's Code of Ethics. The termination notice will direct the student to report to his/her duty station for out-processing the beginning of the next working day. His/her termination will be effective the end of the "out-processing" day.⁹
- g. An employee terminated from Basic Training for failing to meet the academic standards may again pursue employment with the Department and be considered for reinstatement into an existing vacancy if the individual meets the minimum requirements for the vacant position and his/her name is re-certified by the State Civil Service Commission or the Bureau of State Employment.¹⁰
- h. The following guidelines have been established for reinstatement:
 - (1) the candidate's name is on a new Civil Service or Bureau of State Employment list (not the list used for the original appointment);

⁹ 2-CTA-3A-19

¹⁰ 2-CTA-3A-19

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- (2) at least one month has elapsed since the termination date;¹¹ and
 - (3) reemployment must be justified in writing to the Bureau of Human Resources (BHR). The BHR must approve reemployment prior to a rehire commitment.
- i. Each reinstated individual must successfully complete (or have completed) the Basic Training standards established for the job classification being filled (refer to the Department's class code listing published by the BHR). Guidelines for determining training needs are outlined below.
- (1) If more than one year has elapsed since the termination date, the employee must attend the entire Basic Training course, as prescribed by the class code listing, regardless of previous training.
 - (2) If the individual is reinstated into the same job classification within one year of the termination date, the person must attend the portion of Basic Training that was failed or missed. For example, if the employee failed an end-of-week examination, he/she must attend and successfully complete that particular week of instruction and any additional training not previously completed.
 - (3) If the individual is reinstated into a different job classification within one year of the termination date, additional training may be required (refer to the class code listing). For example, an individual whose original training category was listed as "non-contact" but is reinstated as a "contact" employee would need to successfully complete the failed portion of Basic Training plus additional training that is required for each "contact" employee.
- j. A former Department employee who previously completed Basic Training, left the Department for a period of time, and has applied for reinstatement, may need to complete additional training. The guidelines listed below shall apply.
- (1) A former employee hired who has been out of the Department for three years or longer from the new hiring date must complete the entire Basic Training course, as prescribed by the class code listing, regardless of previous training.
 - (2) A former employee hired who has been out of the Department for less than three years of the new hiring date may be waived from retaking the course. The Facility Manager, Bureau Director, or Community Corrections Regional Director will decide whether to have the employee attend. If the decision is made to not send the employee through the course, the following will be accomplished:
 - (a) the decision must be documented;

¹¹ 2-CTA-3A-19

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- (b) the documentation will include the date the original Basic Training course was completed, a copy of the individual's graduation certificate, and a copy of the course schedule; and
 - (c) the documentation will be filed in the employee's personnel file and recorded in his/her permanent training record.
- k. A county nomination to attend Basic Training will be processed by the Staff Development and Training Office as stated in **Section 8** of this procedures manual. A county nominee will be placed into a Basic Training course, according to his/her job classification, no later than six months of receipt of the nomination. The below listed guidelines will apply for a county employee who fails to successfully complete the course.
 - (1) Academic Failure: The county warden's office will be notified of the employee's failure to meet the academic standards. The county will be asked to choose from the following two options:
 - (a) the county may elect to have the employee remain in the course but the individual will not receive a certificate of graduation; or
 - (b) the county may elect to have the employee immediately returned to his/her duty station.
 - (2) Reason other than Academic: A county employee terminated from the course for any other reason will be immediately dismissed from the Academy.
- l. A county employee who previously completed the Department's Basic Training course or a Basic Training course certified by the Department, and has applied for Department employment, may need to complete additional training. The below listed guidelines shall apply.
 - (1) Graduated beyond Three Years: A former county employee who has not completed the Department's Basic Training course or a Basic Training course certified by the Department within three years of the new hire date must complete the entire course, as prescribed by the class code listing, regardless of previous training.
 - (2) Graduated within Three Years: A former county employee who has completed the Department's Basic Training course or a Basic Training course certified by the Department less than three years of the new hiring date may be waived from retaking the course. The Facility Manager, Bureau Director, or Community Corrections Regional Director will decide whether to have the employee attend. If the decision is made to not send the employee through the course, the following will be accomplished:
 - (a) the decision must be documented;

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- (b) the documentation will include the date the original Basic Training course was completed, a copy of the individual's graduation certificate, and a copy of the course schedule; and
 - (c) the documentation will be filed in the employee's personnel file and recorded in his/her permanent training record.
- m. A Department employee who is either promoted or reclassified into a new job classification may need to complete additional Basic Training. For example, an employee initially classified as "non-contact" but promoted or reclassified into a "contact" position must attend the additional Basic Training required for a "contact" employee. The below listed guidelines shall apply.
- (1) An employee affected by this requirement will be advised that he/she must complete the additional Basic Training class(es) in order to continue in his/her probationary period. Successful completion of the probationary period shall include successful completion of the applicable Basic Training class(es).
 - (2) The Training Coordinator will schedule the employee in the first available Basic Training class, as required by his/her new job classification, and coordinate with the Staff Development and Training Office on the additional training needed.
 - (3) The Staff Development and Training Office will immediately notify the employee's duty station if the employee fails the additional Basic Training.
3. A new CIVEA bargaining unit employee and/or school principal, who is not assigned to a facility designated for school-age youth, is required to attend a Bureau of Correction Education (BCE) orientation course within the first year of hire. The course will include, at a minimum, training on procedures manuals, a review of teaching techniques in a correctional setting, and security procedures. Course credit may be applied towards Act 48 training as stated in **Section 2** of this procedures manual.

C. First-Year Trainee Plans

- 1. The Training Coordinator will provide an individual training plan to an employee in a "trainee" classification listed in **Management Directive 535.5, Use of Trainee Classes in the Classified Service** on his/her first day of hire. Although the plan is individualized and tailored to the facility, Central Office, or Community Corrections Region, the training plan should follow the requirements established by the Management Directive.
- 2. The length of the training plan will cover the length of the employee's initial training program (Pre-Service and OJT). Each individual plan will be a specific training schedule in accordance with local and Department-level training requirements.

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3. An Individual training plan for a COT will be completed as shown in the **Verification of Corrections Officer Trainee Work Training Plan (Attachment 4-D)**.¹²
4. The Training Coordinator will **prepare and** submit the individual training plan to the **Facility's Human Resource Officer** no later than 15 workdays after appointment of the trainee. **The individual training plan must be maintained in the Facility's Human Resource Office for audit purposes.**
5. The First-Year Trainee Plan and OJT record will be maintained **in the trainee's permanent training file and retained for two years following the trainee's training completion date** in accordance with **Section 5** of this procedures manual.

D. Corrections Officer Trainee (COT) On-the-Job Training (OJT) Program

1. The formal OJT program for a COT should be given special attention because it affords the trainee job experience, giving the Training Lieutenant and Training Sergeant an opportunity to influence the trainee's behavior and attitude, and provides the Shift Commander an opportunity to evaluate the trainee's probationary status.
2. Each correctional facility will select a "Training Lieutenant" to monitor and coordinate every aspect of the program and five primary "Training Sergeants" to provide the daily training. Each correctional facility will also have the option to select alternate Training Sergeants to provide training in the event the primary trainers are not scheduled for duty. A Training Sergeant will be assigned to shift duty as follows: Two on the 6-2 and 2-10 shifts; and one on the 10-6 shift.
3. A correctional facility should consider the following when developing an acceptable OJT program:
 - a. shift assignment based on training objectives;
 - b. post assignment based on the trainee being supported by an experienced officer;
 - c. periodic observation by the Training Lieutenant and daily contact by a Training Sergeant;
 - d. documented control of the completion of training objectives and duties performed by the trainee; and
 - e. a system to evaluate trainee performance.

¹² 4-4084, 4-4229, 2-CTA-3A-30

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4. Each correctional facility shall:
 - a. review each custody post assignment to determine into which COT training phase the custody post assignment will be placed;
 - b. develop training objectives which include both academic and performance objectives. These objectives shall ensure coverage of every required duty. The objectives should also be based on the established “Post Order.”
 - c. develop an end-of-phase test (excluding Phase 1) to measure the trainee’s comprehension of the materials covered during each training phase; and
 - d. ensure that each COT receives instruction on every custody post. A COT must be assigned to every post that would be operational while the facility is under a state of emergency (except an outside hospital detail as stated in **Subsection F.4.b. below**).
5. Although the ultimate responsibility for the success of any facility program rests with the Facility Manager, the success of the OJT Program requires the cooperation of every staff member associated with it.

E. COT Training Responsibilities

Outlined below are the duties and responsibilities of key personnel directly involved in this program.

1. The Deputy Superintendent for Facilities Management (DSFM) shall:
 - a. be administratively responsible to ensure that the procedures set forth in this section are followed;
 - b. monitor and evaluate the Training Lieutenant’s performance, or designate appropriate staff responsible for this duty; and
 - c. review each trainee’s monthly and end-of-probationary period performance evaluation or delegate their function to an appropriate staff member (Major, Shift Commander, etc.).
2. The Training Lieutenant shall:
 - a. review each training booklet regularly, present written and oral feedback to the trainee and the Training Sergeants when necessary;
 - b. provide reinforcement of the OJT Program through ongoing monitoring and evaluation of each Training Sergeants’ performance;

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- c. supervise each Training Sergeant's work performance. Ensure that every individual designated as a Training Sergeant completes the WBT for Training Sergeants and the Training for Staff Trainers (TST) course within six months of placement, to enhance his/her training abilities. A current Training Sergeant who has not attended the TST course shall attend the next available training course;
- d. make on-site visits to observe the trainees and Training Sergeants' work performance, and encourage and support the free exchange of information among training staff and the trainee. Record every observation in the trainee's training booklet;
- e. assure that the trainee's monthly and end-of-probationary period evaluations are completed using the **Employee Performance Review (363L)**, and that the results of the evaluations are reviewed with each trainee;
- f. create and maintain a secure "central depository" for every training booklet, trainee evaluation, trainee work schedule, curriculum and lesson plans, and any other incidental reports and related documents (see **Section 5** of this procedures manual);
- g. provide the Training Coordinator with the trainee's complete training file when the trainee is promoted to Corrections Officer I;
- h. monitor each COT assignment to ensure that the assignment is appropriate for the trainee's phase level;
- i. ensure that Department policies and procedures are followed in overseeing and coordinating the documentation of unsatisfactory trainee performance in anticipation of possible remedial training, disciplinary action, or recommendation for termination;
- j. resolve any conflict between a trainee and other staff as required;
- k. coordinate the trainee's work schedule with the appropriate Shift Commander to ensure that the necessary training and monitoring is provided, and that manpower needs are maintained;
- l. assist the Training Sergeants in preparing for training duties and assignments;
- m. instruct new Training Sergeants on how to provide training, and proper procedures of required documentation, using the Department-approved lesson plan;
- n. administer each end-of-phase test, when possible, or schedule appropriate staff to administer each test;
- o. annually review the OJT training material to ensure that this information remains current with any change(s) in Department policy;

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- p. assist the Training Coordinator in developing each trainee's post orientation schedule; and
 - q. review and submit to the Training Coordinator each COT's **End of Phase 2 COT-OJT Evaluation (Attachment 4-E)** and the **End of COT-OJT Program Evaluation (Attachment 4-F)**.
3. The Training Coordinator shall:
- a. create and maintain a permanent training record for each trainee. Place the trainee's completed OJT training file in the permanent training record upon receipt from the Training Lieutenant;
 - b. review and evaluate the OJT Program and make any necessary recommendation(s) to the Facility Manager and to the Staff Development and Training Office;
 - c. complete the **Verification of Corrections Officer Trainee Work Training Plan** for each trainee and forward the original to the Staff Development and Training Office for review and approval in accordance with **Subsection C.4. above**;
 - d. enroll each trainee and any requesting senior Corrections Officer in the Department's Apprenticeship Program following the procedures outlined by the Staff Development and Training Office;
 - e. coordinate enrollment in the Department of Labor and Industry's (L&I) Apprenticeship program and/or the Veteran's Administration benefit program, when qualified;
 - f. review each piece of documentation (post objective, lesson plan, etc.) used in the program to ensure it conforms to the Department's format and standards;
 - g. make on-site visits to observe the trainee's work performance; encourage and support the free exchange of information among the training staff and the trainee; and
 - h. review and submit to the Training Academy's Field Liaison Supervisor the **End of Phase 2 COT-OJT Evaluation** and the **End of COT-OJT Program Evaluation** within 30 days of the COT completing each evaluation.
4. The Training Sergeant shall:
- a. provide ongoing instruction, training, and performance assessment;
 - b. complete the "training provided" and "training assessment" sections of the trainee booklet each day, following the proper format;
 - c. complete the WBT for Training Sergeants and participate and successfully complete the TST course within six months of placement to enhance his/her training abilities. A

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- current Training Sergeant who has not attended the TST course shall attend the next available training course;
- d. participate in training programs to learn new appropriate training techniques;
 - e. inform the proper staff (Training Lieutenant, Shift Commander, Shift Lieutenant, Training Coordinator, etc.) when it is believed that a trainee should be removed from a post due to the trainee's inability to perform his/her duties with reasonable safety or competence. Provide detailed documentation to substantiate any such situation;
 - f. inform the Training Lieutenant and the Training Coordinator of any needed remedial training for each trainee and recommend the means for, and time when, training should be completed;
 - g. review and evaluate the OJT Program and make any necessary recommendation(s) to the Training Lieutenant and Training Coordinator; and
 - h. maintain continual communication with the Training Lieutenant regarding every aspect of the trainee's performance and progress for performance evaluation purposes.
5. The COT shall:
- a. pay close attention to all information presented by the training staff;
 - b. pay close attention to every demonstration and instruction of tasks and functions;
 - c. assist each training staff and co-worker in the performance of his/her duties at the trainee's assigned post;
 - d. execute each duty on his/her post faithfully and conscientiously;
 - e. seek assistance from the training staff or chain of command whenever questions or difficulties arise;
 - f. strive to improve any identified area of performance deficiency and/or personal weakness;
 - g. maintain a positive attitude regarding job duties, him/herself, other staff, and inmates;
 - h. observe and follow Department policies, procedures, and local procedures; and
 - i. participate in all academic instruction and OJT training as mandated by the Department and the facility.

F. COT Training Phases

1. Phase 1: Pre-Service

- a. The Pre-Service phase (which consists of orientation to the facility, shift observation, “post development”, and Basic Training) is used to introduce the trainee to the overall philosophy of the Department and to provide basic skills as outlined in **Subsection B.1. above.**
- b. Facilities will plan the hiring schedule so that a new COT completes Phase 1 within the time requirement. If, however, an isolated situation occurs which does not permit the COT to complete Phase 1 within the first **eight** weeks, a facility may elect to maintain the COT in Phase 1 and subtract the additional time from another phase. The phase in which the additional time is subtracted from is at the discretion of the facility; however, it must be the same phase for each COT that falls into this category.

c. Phase Length:

(1) Facility Orientation:	1 week
(2) Shift Observation:	1 week
(3) Basic Training:	5 weeks
(4) Post Development:	<u>1 week</u>
Total:	8 weeks

2. Phase 2: Multiple Posts

- a. This refers to any post that will provide the trainee with support and assistance of another officer either working the same post or in a close proximity to the trainee. The exceptions to this phase are a Security Level 5 Housing Unit, Mental Health Unit (MHU), transportation of inmates, and outside hospital duty.
- b. Phase Length: A correctional facility has the option of one of the following:

(1) First Shift:	6 weeks
(2) Second Shift:	<u>7 weeks</u>
Total:	13 weeks

(1) First Shift:	7 weeks
(2) Second Shift:	<u>6 weeks</u>
Total:	13 weeks

c. End-of-Phase 2 COT-OJT Evaluation

After a trainee has completed Phase 2 of the COT-OJT program, the Training Coordinator will have the COT complete an **electronic End of Phase 2 COT-OJT**

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Evaluation and return the evaluation to the Academy's Field Liaison Supervisor within 30 days of completing Phase 2 of the OJT program.

3. Phase 3: Single Posts

a. This is any post assignment that enables the trainee to work independently using acquired knowledge and skills.

b. Phase Length:

(1) First Shift:	7 weeks
(2) Second Shift:	7 weeks
(3) Optional:	<u>2 weeks</u>
Total:	16 weeks

4. Phase 4: Restricted Posts

a. A restricted post is any post determined to be "high security" in nature or requiring a higher degree of knowledge or experience. This phase will include at a minimum, the Security Level 5 Housing Unit, MHU, transportation of inmates, and/or outside hospital duty.

b. All Phase 4 COTs must receive inmate transport training and observation prior to becoming COIs. A Phase 4 COT will be used on a transport detail (as an additional officer) only for the purpose of training and observing proper transport procedures. However, a COT will not be used on any transport detail for training purposes outside of a correctional facility unless:

- (1) the trainee has received security transport training on the procedures to be used;
- (2) the training is properly documented; and
- (3) the inmate to be transported has not been determined to be a high-risk inmate.

During emergency conditions only, a Phase 4 COT may be used on a transport detail for other than training and observing, but the three above listed conditions must be met prior to the trainee being placed on the detail.

NOTE: A COT will not be used for an outside hospital post duty, even during emergency conditions. He/she will be assigned to an outside hospital post (as an additional officer) for training purposes only.

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c. Phase Length:

- | | |
|-------------------|-----------------|
| (1) First Shift: | 6 weeks |
| (2) Second Shift: | 6 weeks |
| (3) Optional: | <u>3 weeks</u> |
| Total: | 15 weeks |

5. Specialized Training - A COT assigned to SCI Cambridge Springs, SCI Muncy, SCI Pine Grove, and the Quehanna Boot Camp will complete the specialized courses stated in **Section 2** of this procedures manual prior to the completion of his/her probationary period. The time will be subtracted from the training phase that the COT is in when the course is conducted.

6. End of COT-OJT Program Evaluation

After a trainee has completed Phase 4 of the COT-OJT program, the Training Coordinator will have the COT complete an **electronic End of COT-OJT Program Evaluation** and return the evaluation to the Academy's Field Liaison Supervisor within 30 days of completing the OJT program.

G. COT Training Records

The following are the minimum required records that must be maintained. Each facility may use additional documents or forms if it assists in the implementation of that facility's program. The training documents (trainee booklet, orientation form, monthly performance evaluation, phase test(s), post and shift assignment record etc.) will be kept on file in accordance with **Section 5** of this procedures manual.

1. Orientation

- a. A schedule of the facility orientation will be developed and a copy of this orientation will be kept for each trainee's file.
- b. A post orientation schedule will be developed. It will include each post on each of the following shifts: 6-2, 2-10, and 10-6. A copy of this orientation will be kept in each trainee's file.
- c. The orientation will be updated as needed.

2. Post Objectives

- a. Training objectives will be established for each post. The training objectives may be consolidated for similar posts. For example: similar population cell blocks may have one set of objectives.

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- b. The training objectives shall be reviewed annually and the facility shall maintain a record of this review.
- c. Each COT shall be given a complete set of all training objectives before starting Phase 2 of his/her training.

3. Trainee Training Booklet

- a. The “Phase Format” training booklet shall be used. It contains the applicable phase objectives in the front pages of the booklet.
- b. Each facility shall maintain an adequate supply of trainee booklets. These are acquired from Correctional Industries (CI) printing services.
- c. An entry will be made in the trainee’s booklet daily. The booklet must document training for each day the trainee works.
- d. Each day’s training shall be listed in the objective format in the “Training Provided” space. For example: “Phase 3 #54. Demonstrate a Frisk/Pat, search,” etc.
- e. The “Training Sergeant’s Assessment” section must clearly define the trainee’s comprehension of the day’s training objective(s). For example: “COT Jones was able to complete the objective in its entirety.” “COT Smith was able to complete the objective in part.” “COT Green was unable to complete the objective,” etc. The objective in the front of the phase booklet is only initialed when the trainee is able to complete the objective “in its entirety.” A comment may be made in the assessment section, but it must be listed as a comment. Leave a space under the assessment section and then write, “Comment.”
- f. The “Trainee’s Comment” section shall have either a comment by the trainee or the words, “No comment” followed by the trainee’s initials.
- g. The following entrees will be completed: Date, Post, Arrival and Departure Times, Training Sergeant and Trainee Signatures, Training Provided, Training Assessment, Trainee Comments, Training Lieutenant Signature, and Date Reviewed.

4. Performance Evaluations

- a. A monthly and end-of-probationary period evaluation shall be completed for each trainee. The evaluation period will begin in Phase 2 and continue until the completion of the OJT program. An additional evaluation(s) may be conducted at any time, if deemed necessary by the training staff.

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- b. Each rating on the evaluation form other than "Meets Standards" must be justified by a comment in the appropriate block. A general comment about the trainee's performance will be written on the evaluation form in the "Rater's Comment" section.
- c. The Training Lieutenant shall review the monthly performance evaluation with each trainee. During this review, the trainee is notified of any performance problems and a plan of corrective action for the deficiencies is outlined to the trainee.
- d. The trainee will be given a copy of his/her performance evaluation and a copy of the evaluation will be kept in the trainee's file.

5. Phase Tests

- a. An end-of-phase examination will be conducted after each of the following training phases: Phase 2, Phase 3, and Phase 4.
- b. The test will be objective in format with multiple choice, true and false, and fill-in-the-blank type questions. The minimum passing score will be 70%.
- c. The test will be reviewed annually and updated as information changes. Each correct answer must exist in writing. For example: post order, Department policy and procedures manual, lesson plan, etc.
- d. If the trainee fails an examination, he/she shall be permitted one retest.
- e. If the trainee fails the retest, termination procedures will be sought in accordance with the H-1 Collective Bargaining Agreement.
- f. The trainee's probationary status will not be extended beyond the 12-month period unless the extension meets the requirements listed for "absences" in the H-1 Collective Bargaining Agreement.¹³
- g. The procedure for the end-of-phase examination and the consequences of failing an end-of-phase examination must be explained to the trainee as part of the orientation process.
- h. The facility shall maintain documentation to support the decision concerning a trainee's termination or extension (due to the collective bargaining agreement). Documentation such as: A copy of any evaluation where the trainee did not meet standards, a copy of the failed test and retest, any notation of dates where the trainee booklet has documented substandard performance and ratings, every trainee booklet, and any other documentation that influenced the termination or extension.

¹³ 4-4059

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6. Shift and Post Assignments

- a. Each trainee must be rotated from shift to shift.
- b. Because each facility has unique needs, four weeks of training may be assigned to any shift at the option of the facility. Two of these weeks are during Phase 3 and two are during Phase 4. For example: At facility #1, the need for training is on the 6-2 shift and on the 2-10 shift. At this facility, the optional weeks will be used on these two shifts. At facility #2, the need is on the 10-6 shift. This facility will use anywhere from one to four of the optional weeks to supplement the night shift training. At facility #3, the need exists on the 8-4 shift. This facility can use anywhere from one to four of the optional weeks for training on the 8-4 shift.
- c. Each trainee must be trained on all posts that would be operational when the facility is under a state of emergency. It is recommended that the trainee be assigned to all posts (except outside hospital details as stated in **Subsection F.4.b. above**). If it is not possible to assign the trainee to a post(s), the trainee is still to receive instruction on the operation of that post(s).
- d. A record of the shift rotation and post assignment will be maintained.

7. Post Training Evaluation

Within 30 days after a trainee has completed the OJT program, the Training Coordinator or Training Lieutenant will have the new CO1 complete an evaluation of the OJT program.

H. Supervision of an Outside Inmate Work Detail

1. Staff responsible for the supervision of an outside inmate work detail must have at least 39 weeks of experience/on-the job training to independently supervise any custody level 2R inmate(s). For a COT, this means that he/she can supervise any inmate(s) outside the facility's secure perimeter when he/she begins Phase 4 of the OJT Program. All staff must receive training related to the supervision of any outside inmate(s) prior to being independently assigned the duty. Any staff member, regardless of classification, with less than 39 weeks of experience must be paired with a staff person who has more than 39 weeks of experience when supervising any inmate(s) with this custody level outside the secure perimeter, except:
 - a. an employee with less than 39 weeks of experience, who has completed his/her orientation and the Basic Training course, may independently supervise a custody level 2MC, 2M, or custody level 1 inmate, provided he/she has received training related to the supervision of an outside inmate prior to being independently assigned the duty; or
 - b. an employee with less than 39 weeks of experience, who has completed his/her orientation and the Basic Training course, may independently supervise any custody

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level 2R inmate, provided he/she has received training related to the supervision of an outside inmate prior to being independently assigned the duty.

2. Each facility will develop a lesson plan in accordance with **Section 10** of this procedures manual on the supervision of an outside inmate work detail. The In-Service Inmate Accountability and Inmate Supervision lesson plans will provide the basic framework for the local lesson plan.

Section 5 – Training Needs Assessments, Plans, Records, and Reports

A. Training Needs Assessments

1. Each correctional facility, Community Corrections Region, Central Office, and the Training Academy will conduct a training needs assessment each **calendar** year to **analyze the facility's training needs and** determine what **staff** training needs should be included in their annual training plans.¹
2. Training Coordinators, with assistance and support from their Training Advisory Committees (see **Section 11** of this procedures manual), will conduct the needs assessment and analyze the findings. The Staff Development and Training Office will identify Department-wide training needs based on **needs assessment survey data provided by each facility** for the development of the **Department's annual** training plan.
3. **The Staff Development and Training Office shall provide Training Coordinators with an on-line survey to assess their facility's staff training needs. Training Coordinators and other designated staff may conduct additional assessments using tools, i.e., staff interviews, evaluations, committee discussions and other techniques to generate a comprehensive training needs assessment.** Training Coordinators and members of the Training Advisory Committees will **provide employees with the on-line needs assessment survey to address major** job categories **to be completed by September 30 of each year.**

B. Training Plans

1. The Department **and facilities** will prepare an annual training plan using the **Guidelines for Developing an Annual Training Plan (Attachment 5-A). The purpose of the plan is to manage the training and development of staff competencies to meet the current and emerging needs of the Department. The training is updated annually based on the aggregate needs of the facilities and the Department. The plan outlines the major program objectives, requirements, and schedules for the upcoming training year.**²
2. Facilities, Community Corrections Regions, the Training Academy, and Central Office will develop an individual training plan for new employees in formal On-the-Job Training (OJT) programs (i.e., COTs and new Corrections Counselor Trainees). See **Section 4** of this procedures manual for more information on formal OJT program requirements.

¹ 4-4075, 2-CTA-3A-04, 4-ACRS-7B-11

² 4-4073, 4-4075, 4-ACRS-7B-10, 4-ACRS-7B-11, 2-CTA-3A-01, 2-CTA-3A-04

3. Facility Training Plans

- a. Training Coordinators, with the advice and assistance of their Training Advisory Committees, will prepare their **training** plans. Particular attention will be given to the Department-wide mandated training requirements stated in **Section 2** and **Section 3** of this procedures manual, **participant evaluations of facility training programs, and facility training needs determined by the Facility Manager and their Training Advisory Committee.**³
- b. Facility Managers will approve their facility **training** plans, and the Deputy Secretary for Administration will approve the Central Office plan and the Director, Staff Development and Training Office, will approve the Training Academy's plan.
- c. Each Community Corrections Center (CCC) Director will approve their Center's plan and forward them to the Regional Director for review and **submission to the Bureau of Community Corrections Director for approval, and then to the Director, Staff Development and Training Office.** The Regional Director may elect to consolidate the plans prior to forwarding them.
- d. Facilities, CCC's, the Training Academy, and Central Office are required to prepare and submit an annual training plan for the following **calendar** year to the Director, Staff Development and Training Office, no later than **December 1** of each year.

4. Department Training Plan

- a. Upon receipt of the training plans from the facilities, CCC's, and Central Office, the Staff Development and Training Office will develop the Department's Annual Training Plan and submit the plan to the Department's Training Advisory Committee for review (see **Section 11** of this procedures manual). The plan will contain, at a minimum, the content guidelines as stated in **Management Directive 535.7** and will be forwarded to the Secretary for approval no later than **January 1** of each year.
- b. The annual training plan shall also contain the following:⁴
 - (1) **synopsis of the facility training needs assessment data;**
 - (2) list of all courses/classes to be offered;
 - (3) **the method and general time frames for delivery; and**
 - (4) **methods to evaluate the facility training program and the delivery of specific training classes.**

³ 4-4077, 4-ACRS-7B-12, 2-CTA-3A-09, 2-CTA-3A-10, 2-CTA-3A-11, 2-CTA-3A-12

⁴ 2-CTA-3A-06

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- c. The Director, Staff Development and Training Office, will maintain the Department's approved annual training plan for three years and will make it available to the Office of Administration during post-audits of Out-Service Training and Personnel Management Reviews.

5. First-Year Trainee Plans

- a. First-Year Trainee Plans will be established in accordance with **Section 4** of this procedures manual.
- b. The facility Training Advisory Committee will assist the Training Coordinator in establishing procedures to ensure that minimum training requirements are met for employees in a “trainee” classification in accordance with **Sections 2 and 4**.
- c. The Training Coordinator, Training Lieutenant, and supervisor will monitor the training plan of new employees in formal OJT programs. Documentation in the form of phase booklet/tests and orientation checklists will be maintained for authentication.
- d. First-Year Trainee Plans will be maintained in the trainee’s permanent training file and will be retained for two years following the trainee’s training completion date. Trainee plans will be made available for Department and Office of Administration reviews and audits.

C. Training Records

- 1. Permanent employee training records are prepared and maintained in order to ensure that all completed training is recorded accurately.⁵
- 2. Employee Training Records – Individual training records will be established and maintained for all full-time and non-regular status employees who work for the Department. Training Coordinators will maintain the following:
 - a. Annual – Records that are established and maintained annually via an approved **automated** employee training records system. ***A printout or access to the automated training record must be provided to honor requests for training records. When an employee separates or transfers, a printout or electronic availability of the employee’s training record should be incorporated into the transferred folder to the gaining facility/agency.***
 - b. On-the-Job Training Records – A file that is established and maintained by the Training Lieutenant for each new employee who is in a Department-approved On-the-Job Training program. The file will contain, at a minimum, the following documentation: training booklets, shift observation forms (COTs only), monthly performance evaluations, phase tests, job assignment records (COTs only), and a certificate of completion. The Training Lieutenant will provide the Training Coordinator

⁵ 2-CTA-3A-16

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with the new employee's complete training file when the employee completes the On-the-Job Training Program (see **Section 4** of this procedures manual).

3. Employees who complete Out-Service training are responsible to submit the required training information to the Training Coordinator in accordance with **Section 6** of this procedures manual. The Training Coordinator will **enter** the information **into the** appropriate **employee's automated** training record.
4. In-Service Training Rosters - Training Coordinators will ensure that instructors provide a training roster (refer to **Attachment 8-I** of this procedures manual) at the completion of each scheduled In-Service class. The roster will contain, at a minimum, the **course** title and length, date(s), location, instructor name(s), name and employee number of each attendee, **shift, job title, comp/pay, and signature**. The Training Coordinator will transfer the information to the employee training records system and will maintain the rosters, which are subject to inspection during training audits.
5. Certificates – Each employee will receive a course certificate upon successfully completing the Department's Basic Training and select nursing courses. Upon receiving a copy of the certificate from the Staff Development and Training Office, the Training Coordinator will input the information into the employee training record system **and maintain a printout or an electronic copy**. Additionally, Training Coordinators will issue a **Certificate of Completion (Attachment 5-B)** to each new employee who successfully completes a Department-sponsored OJT program. **A printout or an electronic** copy of this certificate **will be maintained**.
6. Training Records – All training records will be maintained in the **Commonwealth's Learning Solutions (LSO) automated training management system**. **All in-service, out-service, and other training-related records must be entered in the LSO within 30 days after the training is completed**.
7. Lesson Plans – Training Coordinators will **manage the access and use of** all current Department approved In-Service lesson plans for mandated training modules listed in the training schedule attached to **Section 2** of this procedures manual. Lesson plans developed and approved at the local level for facility-based training will also be maintained on file (see **Section 10**).
8. Staff Development and Training Office Course Records – The Staff Development and Training Office will establish and maintain a record for each Basic Training and Centralized course conducted. The record will include, at a minimum, the following:⁶
 - a. attendance roster;⁷
 - b. lesson plans;

⁶ 2-CTA-3A-17

⁷ 2-CTA-3A-18

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- c. instructor name(s);
 - d. course evaluations;
 - e. course beginning and end dates;
 - f. student test results (if applicable);
 - g. record of certificates awarded (***if applicable***); and
 - h. class schedule (if applicable).⁸
9. Course records will be archived for a minimum of seven years. After that period, they will be handled in accordance with **Management Directive 210.5**.⁹
10. The Staff Development and Training Office is responsible for forwarding to the appropriate Training Coordinator a copy of an employee's certificate, and other pertinent material as needed, when an employee successfully completes Basic Training and other Centralized courses that require a course completion certificate (see **Section 8, Program Coordination**).

D. Training Reports

1. Training reports are part of the Department's training and staff development monitoring and review process. The reports reflect accomplishments achieved through training as compared to what was expected in the annual training plan. The reports also serve as a basis for planning new programs and for monitoring existing ones.
2. The Department will complete an annual agency training report in accordance with **Management Directive 535.7**. In order to accomplish this, quarterly and annual training reports will be developed at the facility level and will be used to formulate the overall agency training report.¹⁰
3. **Quarterly and Year-End Training Reports** – Facilities, CCC, Training Academy, and Central Office will complete a **Quarterly and Year-End Training Report (Attachment 5-C) and maintain quarterly reports at their facility. Facility Managers will approve their facility's Quarterly Training Reports and the Deputy Secretary for Administration will approve for Central Office. Regional Directors and the Director, Staff Development and Training Office, will approve their respective quarterly training reports. The report shall contain the following:**
 - a. the latest mandated training requirements as stated in **Section 2**;

⁸ 2-CTA-3A-20

⁹ 2-CTA-1D-02

¹⁰ 2-CTA-3A-12

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- b. **facility training needs determined by the Training Coordinator, Training Advisory Committee, and the Facility Manager, Director, Regional Director, or Secretary of Administration; and**
 - c. **training representation of the facility's total staff complement during each quarter of training minus staff on extended leave, as determined by completing the Facility Complement Adjustment Form (Attachment 5-D).**
4. Facility Annual Training Reports – At the completion of each calendar year, correctional facilities, CCC, Training Academy, and Central Office are required to prepare and submit, **through their Facility Manager**, an annual training report to the Staff Development and Training Office no later than **January 15**. The report shall contain the following:
 - a. a comparison of the projected training in the organization's training plan to the actual training achieved;
 - b. a brief summary of noteworthy training accomplishments;
 - c. a copy of the **Year-End Training Report**. The report is cumulative and will reflect training for the entire calendar year **and include an internal-audit to ensure training information is accurate; and**
 - d. a brief summary of all approved Out-Service training paid for in the calendar year.
5. Facility Managers will approve their facility report and the Deputy Secretary for Administration will approve the Central Office report. CCC Directors will approve their report and forward it to the Regional Director for consolidation, approval, and submission to the Staff Development and Training Office. The Director, Staff Development and Training Office, will approve the Training Academy's report.
6. Department's Annual Training Report – Upon receipt of the annual training reports from the correctional facilities, CCCs, Central Office, and the Training Academy, the Staff Development and Training Office will develop the Department's annual training report in accordance with **Management Directive 535.7**. The Secretary will approve the report and it will be submitted to the Office of Administration, Human Resource Development Division.
7. Act 48 Training – Training Coordinators will provide to the facility's school principal a training record printout of all employees required to take training under Commonwealth Act 48, 24 P.S. §12-1205.1 et seq. The printout will list what training was received during the calendar year. The facility's school principal will forward the printout to the Director, Bureau of Correction Education, no later than **December 30 of each calendar year**.
8. Training reports will be maintained for a period of three years and will be made available upon request during inspections or audits.

Section 6 - Out-Service Training

A. General

1. Out-Service employee training and development is a joint venture between the Department and its employees. The overall objective is to improve Department operations and to help achieve goals of the organization through optimum use of employees.
2. The Department accepts responsibility for training related to the development and enhancement of knowledge, skills, and abilities in employees' job duties. Attendance at conferences, conventions, and professional association meetings is expected to benefit the Department but may not involve instruction or training. Such attendance is also subject to the procedures of this section.
3. Each employee shall assume full responsibility for any monetary commitments made until his/her Out-Service training request has been approved. Additionally, travel should be planned sufficiently in advance to take advantage of rate reductions and other travel economies.
4. Out-Service training may be used in situations where management changes job assignments or technology changes such that updated skills and knowledge are required to perform job duties. Out-Service training also may be used to prepare an employee for promotions or for transfer into different classifications where the Department anticipates a business necessity for such skills. Approvals will be granted on a case-by-case basis.
5. Before selecting Out-Service training, internal resources will be used and/or found to be measurably less effective in providing the required skills or knowledge. Out-Service training should be planned to accommodate identified needs of employees and integrated with Department-wide programs to meet these needs. Training needs should be planned and documented on the individual's Employee Performance Review whenever possible.
6. Out-Service training will not be used to rectify poor hiring decisions. Each employee is expected to possess the requisite skills prescribed for his/her class specification. Where such required skills or knowledge is lacking, the employee is responsible for using personal resources to improve his/her competencies to the level required in the position.

B. Eligibility

1. Out-Service training will be granted only to permanent full-time and permanent part-time employees.
2. Out-Service training will not exceed 20 calendar days per calendar year. For a permanent part-time employee, the 20-day allowance should be administered on a prorated basis. The Training Coordinator will establish a process to track individual employee usage.

C. Approval Process

1. Employee-Initiated Requests (Non-CIVEA Bargaining Unit Employees)
 - a. Out-Service training requests will be submitted in writing to the employee's supervisor for approval. The employee will complete a Form STD-279, Out-Service Training Authorization, whenever the course or registration fee is \$100 or more. Course and registration fees less than \$100 will be submitted using the Form STD-181, Agency Purchase Request (APR). All written requests will include a justification statement, travel, and training costs, and leave requested (see **Subsection F. below**).
 - b. The employee's supervisor and/or department head will either approve or disapprove the request. If disapproved, the request will be returned to the employee with a reason for disapproval. If approved, the supervisor will forward the request to the Training Coordinator with a comprehensive justification of relevance to the employee's developmental needs and ways in which the Out-Service training will benefit the Department.
 - c. The Training Coordinator will review the request and recommend approval or disapproval to the Facility Manager or Regional Director based on course content, job relevance, eligibility (see **Subsection B. above**), and other training available.
 - d. The Business Manager will recommend approval or disapproval to the Facility Manager or Regional Director based on budgetary concerns.
 - e. Facility Managers, Regional Directors, and Bureau Directors are authorized to approve Out-Service training requests for up to \$2,000 (including travel expenses) per event. Therefore, all requests costing less than \$2,000 will be approved and processed locally.
 - f. Facility Managers, Regional Directors, and Bureau Directors may also approve all requests that are governed by a collective bargaining agreement, memorandum of understanding, or arbitration award.
 - g. Out-Service training requests exceeding \$2,000 (including travel expenses) will be submitted to the Director, Staff Development and Training Office on the Form STD-279 and accompanied by a justification of relevance to the employee's training needs and the resulting benefit to the Department. The Director, Staff Development and Training Office, will review the requests for approval or disapproval.
 - h. Requests that are disapproved will be returned to the Facility Manager, Regional Director, or Bureau Director with the reason for disapproval.
 - i. Approved requests that are \$3,000 or more (excluding travel expenses) will be forwarded to the Department's comptroller for review of fiscal responsibility and budgetary appropriateness, availability of funds, and subsequent payment.

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- j. Approved requests costing less than \$3,000 (excluding travel expenses) will be returned to the facility/bureau for payment by using the Commonwealth Purchasing Card or the advancement account (up to \$1,500).
 - k. A copy of all approved requests will be returned to the Training Coordinator for audit purposes.
 - l. Upon completion of the training event, the employee will complete an **Out-Service Training Evaluation Form (Attachment 6-A)** and submit the form to the Training Coordinator. The Training Coordinator will review the completed form to determine the usefulness of the event and attach it to the STD-279 or APR.
2. Employee-Initiated Requests (CIVEA Bargaining Unit Employees)
- a. Employee prepares the request in accordance with **Subsection C. 1. a.** above and submits it as follows:
 - (1) ***Employees will complete all Out-Service Training forms in conjunction with Article 25 of the CIVEA Contract.***
 - (a) ***The School Principal or Supervisor will either approve or disapprove the request. If disapproved, the request will be returned to the employee with a reason for disapproval. If approved, the employee will then submit the request to the Bureau of Correction Education (BCE) for review. (Staff will receive notification when OST'S arrive at BCE through E-mail.)***
 - (b) ***The BCE will determine if the course is educationally appropriate. This request will be submitted in sufficient time to arrive at the BCE at least 30 working days in advance of the course (no later than the close of business on the 30th working day).***
 - (c) ***The Director of BCE reviews the request to determine the educational appropriateness and will return it to the School Principal or Supervisor. The Training Coordinator will maintain a copy of any approved requests for post-audit purposes.***
 - (d) Reimbursement will occur at the BCE level. Reimbursement is for tuition at the State System of Higher Education rate. Requests for mileage, lodging, and subsistence should not be approved.
 - (e) Upon successful completion of the course, the employee must submit a letter requesting reimbursement to the BCE. The following documentation must be attached to the letter:
 - i. a copy of the approved Out-Service training request;

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- ii. a receipt verifying the tuition was paid by the employee;
 - iii. a document verifying the course was completed with a grade of C or better; and
 - iv. a copy of the college or university tuition statement.
- (f) An employee will not assume the training is approved until they have an approved request.
- b. Upon completion of the training event, the employee will complete an **Out-Service Training Evaluation Form (Attachment 6-A)** and submit it to the Training Coordinator. The Training Coordinator will review the completed form to determine the usefulness of the event and attach it to the STD-279 or APR.
- c. Requests for leave in conjunction with taking a college course for credit by a CIVEA bargaining unit employee should use professional/business education leave (self-initiated) prior to requesting leave under **Management Directive 535.3, Use of Trainee Classes in the Classified Service**. NOTE: Facility Managers are encouraged to allow employees to use professional/business education leave (self-initiated) in ¼ hour increments to leave work early to attend college courses that are required for establishing or maintaining certification.
- d. Requests for leave under **Management Directive 535.3** (up to 20 days per year) should be granted if the employee can provide verification that the course is required for establishing and maintaining certification, and is offered at no other time during the current year.
3. Management-Initiated Requests
- a. Either an employee or supervisor may complete the paperwork for Out-Service training directed by management.
 - b. Training will be planned in concert with the employee's performance evaluation, the application of such training to Department goals, and evaluation of cost-effectiveness.
 - c. Management-initiated requests will follow the steps in **Subsection C.1. a.-g. above** except for the following:
 - (1) Out-Service training requests exceeding \$3,000 (excluding travel expenses) will be submitted to the Director, Staff Development and Training Office on the Form STD-279 and accompanied by a justification of relevance to the employee's training needs and the resulting benefit to the Department. The Director, Staff Development and Training Office will review the requests for approval or disapproval.

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- (2) Requests that are disapproved will be returned to the Facility Manager, Regional Director, or Bureau Director with the reason for disapproval.
 - (3) Approved requests that are \$3,000 or more (excluding travel expenses) will be forwarded to the Department's comptroller for review of fiscal responsibility and budgetary appropriateness, availability of funds, and subsequent payment.
 - (4) Approved requests costing less than \$3,000 (excluding travel expenses) will be returned to the facility/bureau for payment by using the Commonwealth Purchasing Card or the advancement account (up to \$1,500).
 - (5) Central Office will approve and process requests to attend agency-wide conferences and conventions such as the American Correctional Association, CAMA-PA, PA Wardens Association, American Management Association, etc.
4. Requests for the following events must be forwarded to the Director, Staff Development and Training Office for agency approval. These requests also will be forwarded to the Office of Administration for approval after agency review:
- a. more than one person is requesting attendance and the total cost for all participants is \$2,000 or more;
 - b. full-time Out-Service training regardless of cost or funding source;
 - c. Out-Service training requests for which academic and non-academic credits are earned regardless of cost or funding source. NOTE: Requests for academic and non-academic courses that are provided as a result of a collective bargaining agreement, memorandum of understanding, or arbitration award are exempt from this prior approval requirement (see **Subsection C.1. f. above**); and
 - d. training/travel requests that require travel out of the contiguous United States (Alaska or Hawaii) by any employee, excluding agency heads.

D. Academic Credit Courses

1. The Department may approve academic credit courses that provide theoretical and technological updates in subject areas that cannot effectively be provided in on-the-job situations or short-term seminars and conferences. Out-Service training requests for academic credit will be processed as stated in **Subsection C. 4. above**.
2. The employee will provide evidence of satisfactory completion of academic courses before being reimbursed. Standard criteria for undergraduate academic courses are a final grade of "C" or above; and for graduate academic courses is a final grade of "B" or above. A copy of the official grade notification form or transcript must be submitted for reimbursement.

3. Reimbursement for educational expenses will not be made to employees who do not successfully complete an academic course, who terminate employment before completing a course, or who receive reimbursement from other sources for the training.

E. Non-Academic Courses

1. The Department may approve non-academic courses such as correspondence, accreditation programs, examinations, etc. Out-Service training requests for non-academic credit will be processed as stated in **Subsection C. 4. above**.
2. Employees will provide evidence of satisfactory completion of non-academic courses. A copy of certification or attendance must be submitted for reimbursement.
3. Reimbursement for educational expenses will not be made to employees who do not successfully complete a non-academic course, who terminate employment before completing a course, or who receive reimbursement from other sources for the training.

F. Leave

1. Employees are expected to schedule employee-initiated Out-Service training, such as academic courses, during non-work hours.
2. When Out-Service training is management initiated, and the course or travel time occurs during the normally scheduled work period, such training will be considered a work assignment and no leave will be charged.
3. Employees on any type of Out-Service training paid by the Department will be subject to the same work rules and standards of conduct and attendance as if the employee were present at the work site.
4. When employee-initiated Out-Service training that is part-time and approved for payment by the Department, occurs during an employee's regular work hours, educational leave should be granted. If the 20-day maximum has been reached, annual, personal, or leave without pay, as requested by the employee, may be approved.
5. The Facility Manager, Regional Director, or Bureau Director may approve educational leave if part-time Out-Service training is not approved for payment by the Department but is job related. In such cases, the approving authority must determine that approval of the educational leave is in the best interest of the Department.

G. Regional Corrections Rifle Specialist Teams (CRST), Hostage Rescue Teams (HRT), and Hostage Negotiations Teams (HNT)

1. Regional Special Team Coordinators

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Regional Special Team Coordinators who receive a request to attend Out-Service Training will submit a STD-279, Training Authorization through the Special Teams Coordinator for final approval by the Chief of Security.

2. Regional CRST and HRT

- a. A Regional CRST and HRT member who initiates a request to attend Out-Service training relating to CRST and HRT will submit his/her STD-279, Training Authorization in accordance with **Subsection C.1.a. & b. above**. When the request reaches the Training Coordinator, he/she will forward it to the Security Division's Special Teams Coordinator. The Special Teams Coordinator will either approve or disapprove the request in terms of the training content, and return it to the Training Coordinator. The Training Coordinator will return disapproved requests to the CRST or HRT member and will process approved requests in accordance with **Subsection C.1.c. above**.
- b. **Out-Service requests initiated by the Security Division for CRST and HRT members will be forwarded to** the Facility Manager for approval and then processed in accordance with **Subsection C.3. above**.
- c. A Regional CRST and HRT member shall evaluate all Out-Service training and provide a completed **Out-Service Training Evaluation Form** to the Security Division's Special Teams Coordinator within five days of return. Copies of any course announcements, training schedules, outlines, handouts, etc., shall be attached to the evaluation form. The member shall evaluate such training as to its content and applicability to the Department's special teams program and categorize it according to the following:
 - (1) recommend for all team members or some team members (specify which and why);
 - (2) of limited application, nice to know, general team interest only; and/or
 - (3) of little or no value to team members.
- d. The Special Teams Coordinator shall review the submitted evaluation, and if appropriate, may require the member to meet for further discussion. Upon completion of the review, the Special Teams Coordinator will forward the evaluation to the team member's facility Training Coordinator, who will process it in accordance with **Subsection C. above**.
- e. Any Regional CRST or HRT member who receives information about training which may be of interest to other team members, or attends such training without Department sponsorship, is encouraged to submit an evaluation so the information may be shared. The Special Teams Coordinator shall provide this information, with an appropriate endorsement, to the Chief of Security, for possible inclusion in the Department's training program.

3. Hostage Negotiation Teams

a. Regional HNT

- (1) A Regional HNT member who initiates a request to attend Out-Service training relating to HNT will submit his/her **STD-279, Training Authorization** in accordance with **Subsection C.1.a. & B. above**. When the request reaches the Training Coordinator, he/she will forward it to the Security Division's Hostage Negotiation Coordinator. The Hostage Negotiation Coordinator will either approve or disapprove the request in terms of the training content, and return it to the Training Coordinator. The Training Coordinator will return disapproved requests to the HNT member and will process approved requests in accordance with **Subsection C.1.c. above**.
- (2) Security Division-initiated requests for HNT members to attend Out-Service training will be forwarded to the Facility Manager for approval and then processed in accordance with **Subsection C.3. above**.
- (3) Regional HNT members shall evaluate all Out-Service training and provide a completed **Out-Service Training Evaluation Form** to the Security Division's Hostage Negotiation Coordinator within five days of return. Copies of any course announcements, training schedules, outlines, handouts, etc., shall be attached to the evaluation form. The member shall evaluate such training as to its content and applicability to the Department's special teams program and categorize it according to the following:
 - (a) recommend for all team members or some team members (specify which and why);
 - (b) of limited application, nice to know, general team interest only; and/or
 - (c) of little or no value to team members.
- (4) The Hostage Negotiation Coordinator shall review the submitted evaluation, and if appropriate, may require the member to meet for further discussion. Upon completion of the review, the Hostage Negotiation Coordinator will forward the evaluation to the team member's facility Training Coordinator, who will process it in accordance with **Subsection C. above**.

b. Facility HNT

Out-Service training for facility Hostage Negotiation Team members shall be in accordance with **Subsection C. above**.

H. Required Reports and Post-Audit Process

1. The Staff Development and Training Office will maintain documentation and provide a yearly summary of Out-Service training usage within the Department in accordance with **Management Directive 535.3**.
2. All Out-Service training will be included in the employee's training record and retained for training audit purposes.
3. Training Coordinators will maintain a file for copies of all approved Out-Service training requests approved during a fiscal year. The file will be maintained for a period of three years and will be made available during audits.
4. Completed Out-Service training will be recorded on the Quarterly Training Reports as stated in **Section 5, Training Needs Assessments, Plans, Records, and Reports**.

CONFIDENTIAL

5.1.1, Staff Development & Training

Section 7 – Firearms Qualification

This Section is confidential and not for public dissemination.

Section 8 – Program Coordinator

A. General

1. The Staff Development and Training Office is responsible for coordinating all formal training events conducted at the Department level and for ensuring that a Program Coordinator is assigned to each event. Training events will be announced and coordinated in a timely, accurate, and clear manner to all persons and agencies having a valid interest in the Department's training programs.
2. Correctional facilities, Central Office, and Community Corrections Regions will request Department-wide training through the Staff Development and Training Office.
3. The Staff Development and Training Office is responsible to provide housing space to individuals attending training events at the Training Academy. Housing assignments will be provided on a space available basis. Alternate housing space may be provided to employees who qualify (see **Subsection H. below**) at local Commonwealth-approved motels if space is not available at the Training Academy.

B. Program Coordination

1. Course Announcements - The Program Coordinator is required to prepare a draft **Course Announcement (Attachment 8-A)** for all Department-level training events. The Program Coordinator will work with the Staff Development and Training Office's Academic Services Unit in developing the course announcement. Course information will be entered into the Corrections Learning Environment (CLE) system in sufficient time for Training Coordinators to meet the nomination due date listed on the Training Schedule.
2. Resource Requests - The Program Coordinator is responsible for contacting the Staff Development and Training Office to coordinate training date(s), location of the training site, classroom availability, necessary space and equipment, and training resources needed to conduct the training.¹
 - a. Academy-Held Training: For training conducted at the Training Academy, once classroom availability and training dates are established, the Program Coordinator is must submit a completed **Resource Request Form (Attachment 8-B)**. A copy of this electronic form may be obtained by contacting the Academic Services Coordinator or accessing the Department's intranet site. This form shall be submitted at least 30 days prior to the course start date to the Staff Development and Training Office's Academic Services Coordinator for confirmation. The Program Coordinator will receive a copy of the resource request once it is approved.
 - b. Regional-Held Training: For training conducted at a regional site, the Program Coordinator is responsible for contacting the host Training Coordinator and ensuring

¹ 1-CTA-2C-01, 4-ACRS-7B-13

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that all appropriate coordination and assistance is provided in sufficient time for the training to be successfully conducted.

3. Work Requests - When training material reproduction is necessary, the Program Coordinator must submit a completed **Academic Services Work Request Form (Attachment 8-C)** to the Academic Services Coordinator at least 30 days prior to the course start date. The Program Coordinator will be notified when the reproduction is complete and delivery arrangements will be made.

C. Adjunct Instructor Coordination – Centralized Courses

1. The Program Coordinator shall develop and maintain a list of Adjunct Instructors authorized to teach and/or assist with Department-level centralized courses. The Program Coordinator should coordinate with the Staff Development and Training Office's Academic Services Coordinator to obtain the names of individuals who have the necessary certification(s).
2. Each Training Coordinator is required to coordinate Adjunct Instructor support at his/her facility, Central Office, or Community Corrections Region. The Program Coordinator will contact the Training Coordinator directly when requesting Adjunct Instructor support. The Program Coordinator will not contact an Adjunct Instructor until after the correctional facility, Central Office, or Community Corrections Region has given approval to release the Adjunct Instructor for a particular training event.
3. The Program Coordinator should develop a method that rotates (if possible) the facilities that provide Adjuncts Instructors for the Program Coordinator's training event. The Program Coordinator should contact several Training Coordinators simultaneously if more than one Adjunct Instructor is required.
4. A Program Coordinator may ask the Training Coordinator for a particular Adjunct Instructor by name if he/she has not instructed in a while, and must do so in order to remain certified. If the certifications of all of the Adjunct Instructors at that correctional facility, Central Office, or Community Corrections Region are current for the training event requested, the Program Coordinator should ask the Training Coordinator to provide an individual who is qualified to assist, and is available on the dates required.
5. For training events that require more than one Adjunct Instructor, the Program Coordinator should try to match Adjunct Instructors with different instructional styles.
6. Training Coordinators are responsible for sending an **Adjunct Instructor Nomination/Approval Form (Attachment 8-D)** to provide an Adjunct Instructor to the Program Coordinator at least four weeks prior to the course start date. The Program Coordinator shall provide the form to the Staff Development and Training Office's Academic Services Coordinator at least three weeks prior to the course start date.
7. Upon receipt of the approval form, the Academic Services Unit will send the Training Coordinator an **Adjunct Instructor Confirmation Roster (Attachment 8-E)**. If the

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Training Coordinator is unable to provide an Adjunct Instructor, the process outlined above should be followed and another facility should be contacted.

8. Each Program Coordinator is responsible for good planning and close monitoring of Adjunct Instructor coordination. The fiscal year training course schedule should be used as a guide to allow Program Coordinators time to begin arranging for Adjunct Instructors. Coordination with Training Coordinators should begin not later than 8-10 weeks prior to course start date. This timeframe provides the Training Coordinators sufficient time to recruit Adjunct Instructors while allowing the Program Coordinator sufficient flexibility to continue the search if a particular Training Coordinator is unable to provide an Adjunct Instructor.

D. Course Registrations

1. The Training Coordinator is required to nominate participants through the CLE course nominations option for individuals who are interested in attending training announced through a CLE generated course announcement, and through the fiscal year training schedule.
2. The Training Coordinator shall ensure that course nominations are received by the "nomination due date" established on the course announcement and the fiscal year training schedule.
3. The Academic Services Unit will review nominations submitted by the Training Coordinators and select participants based on their order of priority. Every effort will be made to fill each course with a cross section of students from all facilities, Central Office, and Community Corrections Regions that submitted course nominations for a particular course.
4. The Academic Services Unit will develop a waiting list for courses that receive more nominations than the course capacity will allow. A nominee on the waiting list will be accepted into the course as space becomes available and in the order of his/her placement on the list. Nominations received after the "nomination due date" will also be placed on a waiting list.

E. Course Confirmation

1. Four business days prior to the nomination due date, Academic Services staff will "Accept" or "Deny" students in the CLE roster. Training Coordinators will be able to view the registration status of their participants. Two weeks before the start of the class, on the nomination due date, the final roster is prepared and a notification email will be sent to all rostered participants. The participants can view their status via their learner profile within CLE. The Training Coordinator shall notify the participants that they were accepted or denied course attendance. The Training Coordinator is also responsible to notify the Academic Services Unit of any changes to the course roster as soon as those changes occur.

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2. The Program Coordinator will provide the Staff Development and Training Office's Academic Services Unit with student changes to the course roster and a copy of the student sign-in sheet the first day of the course.

F. Course Certificates

Only Basic Training and select nursing courses will receive a certificate of completion. All training records will be maintained in the student's learner profile within CLE. Procedures for developing, issuing, and maintaining formal course certificates shall be in accordance with **Section 5** of this procedures manual.

G. In-Service Training Roster

1. ***A standardized In-Service Training Roster (Attachment 8-F) must be completed or each in-service training program. The Training Coordinator or instructor will ensure each student and instructor completes and signs the In-Service Training Roster.***
2. ***In-Service Training reported on the roster must be entered into the SAP Learning Solution (LSO) training management system for training records accountability.***
3. ***In-Service Training Rosters must be maintained by the Training Coordinator for training record verification and training audit purposes.***

H. Lodging

1. Each employee coming from a duty station outside a 50-mile radius of the Training Academy to attend training classes or events conducted at the Training Academy which requires overnight lodging is required to stay at the Academy, if housing space is available.
2. An employee coming from a duty station within a 50-mile radius of the Training Academy will not be lodged at the Academy unless the Director, Staff Development and Training Office approves an exception.
3. If an employee from a duty station outside the 50-mile radius elects not to stay at the Academy when space is available, the employee must sign a **Surrendered Lodging Agreement (Attachment 8-G)** and there will be no reimbursement for lodging, meals, and travel to/from the Academy to a motel/hotel.
4. A **Lodging Report (Attachment 8-H)** is sent via email to Training Coordinators and Business Managers, indicating if housing is available at the Academy. It will also inform the attendees if alternate arrangements may be necessary. If space is not available, the employee's home facility will provide an agency lodging card for the employee, or the employee may use the Commonwealth-approved credit card.

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5. In order to utilize as many Academy beds as possible, it may be necessary to split a class and lodge some at the Academy and some at a hotel. Those selected to stay at a hotel in this instance will be determined on a case-by-case basis.
6. An employee authorized to lodge off Academy grounds will make every attempt to use local Commonwealth-approved motels/hotels, as listed in AdTrav. Meals will not be claimed as an expense since the Academy provides three meals per day.

I. Meals

1. Participants attending training at the Academy who may need a special dietary accommodation due to a health restriction should contact the Program Coordinator in advance of the training to allow time for the Academy's food service unit to determine if a reasonable accommodation can be met.
2. All meals (breakfast, lunch, and dinner) will be provided at the Academy for participants attending Basic Training and centralized training. Participants will not be reimbursed for meals, regardless of their lodging status, when attending training conducted at the Academy.
3. Participants attending centralized training courses that are held regionally at a facility will be provided lunch by the hosting institution.
4. Adjunct instructors are required to eat lunch at the Academy or facility when teaching a course. The breakfast and dinner meal may be claimed as a travel expense.

J. Reservation of Academy Facilities

1. All Department and outside agency requests for use of the Academy's facilities for meetings, seminars, conferences, etc. will be directed to the Staff Development and Training Office's Academic Services Coordinator. Persons organizing the activity are required to submit a resource request as stated in **Subsection B. 2. above**.
2. Classroom space will take precedence over meeting space. Meeting space will be granted on a "first come, first serve" basis unless a Department-level priority dictates otherwise.

Section 9 – Instructor Certification and Standards of Conduct

A. General

1. The Staff Development and Training Office is responsible for establishing and maintaining the requirements and standards for the certification of employees as instructors. This is to ensure that all training meets the standards of the Department.¹
2. The Training Coordinator is responsible to ensure that any instructor who conducts local training has successfully completed all initial certification and re-certification requirements that are applicable to the subject material being taught.²
3. All Department instructor certificates will contain the signatures of the Secretary and the Director, Staff Development and Training Office.
4. A Department instructor will meet the standards and requirements listed below before he/she is authorized to conduct formal training.

B. Instructor Selection

1. The Staff Development and Training Office will ensure that individuals who occupy permanent positions at the Training Academy and who are responsible to coordinate staff development and student training programs meet the following minimum requirements:³
 - a. possess a GED or high school diploma;
 - b. have completed specialized training, if applicable, for the position that they hold; and
 - c. have a combination of college education, training, or experience that totals at least five years.
2. An employee assigned to a facility, Community Corrections Region, and/or Central Office will follow local procedures when volunteering to be an instructor and applying for instructor courses. The Training Coordinator, with assistance from his/her Training Advisory Committee, will select candidates and recommend approval to his/her Facility Manager, Central Office Director, or Community Corrections Regional Director. The following factors will be considered by the Training Coordinator when recommending approval:
 - a. willingness to instruct;
 - b. subject knowledge and expertise;

¹ 1-CTA-3A-01

² 4-ACRS-7B-12, 1-ABC-1D-05

³ 1-CTA-3A-02

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- c. job performance;
- d. dependability;
- e. leadership potential;
- f. job-related experience;
- g. willingness to perform Adjunct Instructor duties at the Academy, if needed; and
- h. conduct (no disciplinary action or pending disciplinary actions within the last two years).

C. Certification Requirements

1. General requirements for all instructors certified by the Department are stated below. Specific qualifications for each mandated In-Service training module and Department courses are listed in the **Instructor Certification Requirements (Attachment 9-A)**. The Staff Development and Training Office is responsible for updating the qualifications as needed.
 - a. Each new Training Coordinator will successfully complete the Department's Training for Staff Trainers course within six months of their placement or promotion into the position.⁴
 - b. A Training Academy employee assigned to an instructor position, or to teach on a regular basis, will successfully complete the Department's Training for Staff Trainers course within six months of his/her assignment to the Academy, promotion into an instructor position, or assignment to teach on a regular basis.
 - c. An individual who volunteers to instruct Department courses listed on the **Instructor Certification Requirements** will meet the requirements stated for that particular course.
 - d. Each instructor must have completed training on standardized instructor skill topics approved by the Staff Development and Training Office. This training may be contained either within a particular instructor course or within a Training for Staff Trainers course.
 - e. Each instructor candidate must pass a written examination, and be able to demonstrate competency of all applicable core skill requirements, by the end of the instructor course and prior to receiving an instructor certificate.

⁴ 4-4074

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- f. An instructor who teaches mandatory In-Service modules listed in **Section 2, Minimum Training Criteria** will be credited the module and module hours towards his/her annual training requirements.
2. Requirements for all Department instructor courses are as follows:
 - a. Each instructor course will have sufficient time in its schedule to ensure that an instructor candidate is knowledgeable in the content of the lesson plan(s) and has demonstrated competency of all applicable core skill requirements.
 - b. Each instructor course shall have applicable objective and measurable standards that each instructor candidate must meet before receiving a certificate.
 - c. Each instructor course must contain instruction on standardized trainer skill topics approved by the Staff Development and Training Office unless completion of the Training for Staff Trainer course is a requirement to attend the instructor course.

D. Re-certification Requirements

1. Each Training Coordinator will meet at least annually with his/her instructors who are certified to teach mandated In-Service training subjects in order to review subject data, module objectives, facilitation difficulties, and to review and practice any curriculum changes. The Training Coordinator will send any concerns or comments to the Staff Development and Training Office that may or should impact on the content of a Department-level lesson plan.
2. The Training Coordinator will schedule an instructor to teach at least once per In-Service training module cycle for which he/she has been certified to instruct. For example: If a module is only required to be taught once every two years, the instructor must teach at least once every two years to remain current in that module. An instructor, who failed or declined to teach a minimum of once per module cycle for which he/she has been certified, will have his/her certification de-activated by the Training Coordinator. The Training Coordinator is responsible for ensuring that the instructor has met the following requirements before re-activating the instructor's certificate:
 - a. assisted in conducting an entire module with an instructor who has a current instructor certificate in the subject;
 - b. demonstrated knowledge of, and competency in, the subject material to the Training Coordinator and a current Department instructor who is certified in the subject. The individual must demonstrate proficiency in subjects that contain "hands-on" skills; and
 - c. conducted at least one successful teach back of the entire module. The teach back may be conducted for an employee attending a mandated training session, but an instructor who has a current Department instructor certificate for the module must be present during the entire class.

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3. An instructor, who failed or declined to teach a minimum of once every 18 months in a Department course for which he/she has been certified, will have his/her certification de-activated by the Staff Development and Training Office. The Staff Development and Training Office will not re-activate the certification until the instructor has met the following requirements:
 - a. assisted in conducting an entire course with an instructor who has a current instructor certificate for the course;
 - b. demonstrated to the Program Coordinator that he/she has a knowledge of, and competency in, the subject material. The individual must demonstrate proficiency in subjects that contain "hands-on" skills; and
 - c. conducted at least two successful teach backs of two separate lesson plans contained within the course. The teach backs may be conducted for an employee attending the course, but the instructor who is authorized to teach the course, and the Program Coordinator, must be present during the teach backs.
4. An instructor who fails or declines to teach a minimum of once per In-Service training module cycle or once every 18 months for a Department course for which he/she has been certified to instruct will not be permitted to enroll in additional instructor courses until completion of this requirement. Only the Facility Manager will approve exceptions to this requirement.
5. An instructor whose certificate for a particular module or course has been de-activated for a period of five or more years will meet the initial requirements for that module or course as stated in the **Instructor Certification Requirements**. For example: If the requirement is to complete the Department's instructor course for a particular module, then the instructor must retake that instructor course even though he/she attended the course five or more years ago.

E. Training Records

1. Each Training Coordinator will maintain a complete and up-to-date record of instructors whose certifications are current or inactive. A list of instructors whose certifications are current will be provided with the annual training plan as required by **Section 5, Training Needs Assessments, Plans, Records, and Reports**.
2. Training and instructor certification must be documented in accordance with **Section 5** of this procedures manual.

F. Instructor Recognition

1. Recognition for instructor services will be in accordance with Department policy **4.1.1, "Human Resources and Labor Relations."**

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2. The Training Advisory Committee will establish procedures for recognizing and awarding an instructor on an annual basis in accordance with **Section 11, Training Advisory Committees**.

G. Standards of Conduct for Instructors

1. ***The Staff Development and training Office is responsible for establishing and maintaining standards of conduct for all Department staff instructors while teaching at any Department facility. The Standards of Conduct for Instructors (Attachment 9-B) will ensure instructors meet the expectations and standards of the Department.***
2. ***Each Training Coordinator will be responsible for distributing the Standards of Conduct for Instructors to current and future instructors at their facility and maintain a complete and up-to-date record of instructors who have received the document and the date received.***
3. ***The Standards of Conduct for Instructors is included in the Department's Training for Staff Trainers (TST) course. A copy of these standards will be provided to each participant.***
4. ***All Department instructors shall be familiar with and abide by the standards of conduct according to the Department's Standards of Conduct for Instructors.***
5. ***Facility Managers are responsible to ensure instructors teaching at their facilities comply with the standards.***

Section 10 – Lesson Plan Development

A. General

1. All formal training conducted within the Department will be taught from an approved lesson plan using approved training methods.
2. The Staff Development and Training Office is responsible for curriculum development within the Department, and as such, will develop, review, and update all lesson plans used Department-wide. It will also be the central repository for lesson plans approved by the Secretary.¹
3. The Training Coordinator may develop facility-specific lesson plans as long as they meet the criteria contained in **Subsection B.1. below**. The Training Coordinator is also responsible for maintaining copies of all current Department In-Service and facility-specific lesson plans, distributing them to appropriate instructors upon implementation or revision, and ensuring that the lesson plans are followed.
4. A county prison, whose Basic Training courses are approved through the Department, may develop county-specific lesson plans as long as they meet the criteria contained in **Subsection B.1. below**. A county prison is also responsible for maintaining copies of all current lesson plans within their Basic Training course, distributing them to appropriate instructors upon implementation or revision, and ensuring the lesson plans are followed.

B. Lesson Plans

1. All lesson plans must include, at a minimum, the following:
 - a. name of course and module;
 - b. module hours;
 - c. target group;
 - d. performance objectives;
 - e. detailed class content online;
 - f. list of needed training aids, and materials;
 - g. copies of handouts and visual aids;
 - h. test procedures or questions, if applicable;
 - i. student/instructor ratio, if applicable; and

¹ 1-CTA-3A-03, 1-CTA-3A-14, 1-CTA-3A-15

- j. references.
2. The recommended student to instructor ratio for training that is considered “hands-on” (defensive tactics, individual and riot baton training, chemical munitions, CPR/First Aid, etc.) should be a ratio of 10 students to each instructor. The only exception to this standard ratio is when firearms training is conducted. The student to instructor ratio for all firearms training will be in accordance with **Section 7, Firearms Qualification**.
3. **A business owner, Curriculum Development Supervisor, Associate Director and the Director**, Staff Development and Training Office, must approve all lesson plans developed for Department-level training. Facility managers and Training Coordinators must approve facility-specific lesson plans. The warden and the training officer should approve all lesson plans developed at the county prison.
4. Every Department-level and facility-specific lesson plan that contains instruction regarding laws of the Commonwealth or issues that have a tendency to have legal ramifications (such as use of force) will be reviewed by the Department’s Office of the Chief Counsel prior to approval.

C. Content Organization

Each lesson plan must contain an introduction, a detailed course content outline, and a summary. Sufficient content must be contained for, and organized around, the performance objectives.

D. Performance Objectives

Performance objectives must be stated within the text of a lesson plan and on a visual aid, PowerPoint, other presentation software, or slide as part of the introduction and summary in all lesson plans.

E. Handouts

Handouts must be visually clear, concise, and in an understandable format that enhances the important points emphasized in the lesson plans. They should be originals or as close to original condition as possible. If necessary, they will be retyped or scanned to provide a legible document.

F. PowerPoint, Presentation Software, and visual Aids

1. Visual aids must be visually clear, concise, and in an understandable format that enhances the key points emphasized in the lesson plans.
2. Font size should be at least 36-point in all master presentation software.

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3. Inserting clip-art, figures, symbols, and digital pictures into PowerPoint of other presentation software can easily detract from the intended information or message by limiting the font size required for the written message. Developers should weigh the aesthetic effects against the purpose/intent. If an object is being inserted just for “fancying” a presentation, it is not necessary.
4. Background color and print color, and the combination thereof, are other capabilities that PowerPoint and other presentation software provide. Careful use of colors and color combinations must be considered; what appear to be acceptable colors on a computer monitor may not be acceptable color choices on a television monitor, therefore, a preview is required. For example, a black background with red type that appears to be acceptable on a computer monitor will not be clear or legible on a television monitor.

G. Business Owner

1. The Business Owner, as outlined on the **Business Owners List for the Curriculum Process (Attachment 10-A)** is a subject matter expert, who based on their specific role or position, will serve as the Training Academy’s source for current and factual review of the curriculum development cycle (ADDIE) to include: analysis, design, development, implementation, and evaluation of curriculum materials by:
 - a. interpreting the governing policy or legislation related to topical area and when possible be the initiator of these revisions and edits to lessen the gap between Department change and delivery of appropriate training;
 - b. establishing procedural steps or information for students and instructors;
 - c. reviewing and editing of printed lesson plans, handouts, and curriculum materials;
 - d. signing-off as a reviewing official for the Department-approved lesson plans.
2. The Business Owner shall review their designated areas and related curriculum at a minimum of every three years.
3. As the need arises, additional Business Owners will be designated by the Director of the Training Academy and the **Business Owner Lists for the Curriculum Process** will be updated accordingly.

Section 11 – Training Committees and Meetings

A. Training Advisory Committee

1. Each **facility, Bureau of Community Corrections (BCC), Central Office, and the Training Academy** shall establish and maintain a Training Advisory Committee. The Committee is responsible for advising the **Executive Staff/Director/Facility Manager** of all training needs, facility **resources** and training procedures. The Committee is also responsible for developing the annual training plan, **monitoring staff training requirements and ensuring that staff complete training and follow the training plan.**¹
2. Each facility shall establish procedures for the selection and approval of Training Advisory Committee members. The Committee will be composed of representatives from the various departments within the facility. The composition will ensure representation for clerical/support (non-contact), support (contact), administrative/management, Corrections Officers, and professional specialists.² **Community Corrections representation will be at the discretion of the Bureau Offices' Training Advisory Committee based on their staff training needs.**
3. Length of appointment for members on the Committee is at the discretion of the Facility Manager.
4. The facility's Training Coordinator will serve as chairperson.³

B. Department

1. The Department will establish and maintain a Training Advisory Committee composed of the Director, Staff Development and Training Office, and representatives from Central Office and selected facilities. The Committee's purpose is to keep the Secretary advised of the Department's **staff training requirements** and **facility training** needs.⁴
2. The Committee's composition will ensure representation for clerical/support (non-contact), support (contact), administrative/management, Corrections Officers, professional specialists, and **Community Corrections representation.**
3. The Director, Staff Development and Training Office, will serve as the chairperson.

C. Responsibilities

1. Facilities

¹ 4-4076, 2-CTA-3A-07

² 4-4076

³ 4-4076

⁴ 2-CTA-3A-07

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- a. The Training Advisory Committee will meet at least quarterly to review progress and resolve issues. The Committee will maintain a written record (minutes) of their deliberations. Internal distribution of the minutes is at the discretion of each facility; however, at a minimum, the Facility Manager/**BCC Director** will receive a copy.⁵
- b. The Training Advisory Committee assists the Training Coordinator in compiling the annual needs assessment. Each member of the Committee shall conduct **an on-line training needs assessment** and follow the procedures as outlined in **Section 5** of this procedures manual.
- c. The Training Advisory Committee assists the Training Coordinator in the development of the facility's annual training plan in accordance with **Section 5** of this procedures manual.
- d. The Training Advisory Committee monitors and evaluates training progress through its quarterly meetings, evaluating In-Service and Out-Service training requests, and reviewing other activities developed to meet the training priorities, objectives, and schedules listed in the annual training plan.⁶
- e. The Training Advisory Committee will assist the Training Coordinator in identifying and developing (subject to the Facility Manager or Regional Director's approval) Adjunct Instructors to assist with In-Service and Centralized training. The Committee will keep the Facility Manager or Regional Director apprised of the contributions the Adjunct Instructors make; and will recommend certificates of recognition, letters of appreciation and other awards, as appropriate, for those deserving of special recognition. Facilities will consider the best method(s) of presenting and publicizing these awards so that maximum exposure of their contributions is made. More information on the instructor certification process is contained in **Section 9** of this procedures manual.
- f. The Training Advisory Committee will assist the Training Coordinator in establishing procedures to ensure that minimum training requirements are met for first-year trainees in accordance with **Section 4** of this procedures manual.

2. Department

- a. The Department's Training Advisory Committee will meet at least annually **to provide support to the Department's training program, review training needs, recommend changes to training requirements, support revisions to curriculum, and** review and recommend approval of the Department's annual training plan in accordance with **Section 5** of this procedures manual.⁷

⁵ 4-4076

⁶ 4-4077, 2-CTA-3A-09, 2-CTA-3A-10, 2-CTA-3A-11, 2-CTA-3A-12

⁷ 2-CTA-3A-07

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- b. The Committee will review the plan to ensure it represents the Department's learning needs and recommended training to support key Department training goals and ongoing employee development for the next **training** year.

D. Joint Apprenticeship Committee

1. The Department will establish and maintain a Joint Apprenticeship Committee comprised of the Director, Staff Development and Training Office, a Facility Manager, Regional Deputy Superintendents, selected Training Academy staff, a representative from Central Office Labor Relations, selected members from the PA State Corrections Officers Association (PSCOA), and union representatives from selected facilities.
2. The committee's purpose is to monitor and evaluate the COT On-the-Job (OJT) program to ensure the COT-OJT requirements are met for first-year trainees in accordance with **Section 4** of this procedures manual. The committee will also advise the Department of any training-related concerns or recommendations to improve the training for Corrections Officers.
3. The Director, Staff Development and Training Office, will serve as the chairperson.
4. The Joint Apprenticeship Committee will meet at least quarterly to review the COT-OJT program and resolve issues. The Committee will maintain a written record (minutes) of their deliberations. Distribution of the minutes will be provided to, at a minimum, Facility Managers, Field Human Resource Officers, and Training Coordinators.

E. Training Coordinator/Training Lieutenant Meetings

1. Meetings with the facility's Training Coordinators and Training Lieutenants should be conducted on a regular basis as budgetary conditions allow or as determined by the Director of the Staff Development and Training Office.
2. Training Sergeants should be represented in these meetings as determined by the Staff Development and Training Office.

Section 12 – Special Response Teams Training Requirements

A. Regional Corrections Rifle Specialist Teams (CRST)

1. General Procedures

- a. A Regional CRST member requires thorough training in basic and specialized skills, which allow maximum flexibility and adaptability to each situation. It is necessary to provide continuous training to ensure a CRST member maintains a high level of proficiency to carry out his/her team's mission.
- b. While involved in training, a Regional CRST member shall be on detached duty to the Central Office's Security Division.
- c. Each training requirement, not including the basic entry-level Corrections Emergency Response Team (CERT) Academy, shall be conducted in accordance with **Section 2** of this procedures manual.
- d. Out-Service training related to Regional CRST may be authorized by the Chief of Security, subject to approval by the team member's Facility Manager. Any Out-Service training received shall be included in the monthly training requirement listed in **Section 2** of this procedures manual.
- e. The CRST Coordinator will develop and distribute to all CRST members an annual training schedule for the upcoming fiscal year by May 1st.
- f. To test and improve certain capabilities, it may be necessary to conduct training exercises with little or no advance notice. Appropriate command personnel will be notified as soon as possible.
- g. Team members who miss three training sessions in any six-month period shall not be activated for actual deployment until authorized by the Security Division's Special Response Teams Coordinator.
- h. The CRST Coordinator will document and maintain all training.

2. Out-Service Training

A Regional CRST member shall request Out-Service training that is directly related to CRST in accordance with **Section 6** of this procedures manual.

3. Training Records

Training records shall be maintained on all team members in accordance with **Section 5** of this procedures manual. A copy of those training records will be sent to the Security Division's Special Response Teams Coordinator quarterly.

B. Hostage Negotiation Teams (HNT)

1. General Procedures

- a. All HNT members shall receive the required training as stated in **Section 2** of this procedures manual.
- b. All HNT members shall be trained as an interchangeable team member, able to function in any team member's role.
- c. Regional HNT Members
 - (1) A Regional HNT member must participate in monthly training. The training shall be scheduled and coordinated by the Regional HNT Leaders and/or the HNT Coordinator.
 - (2) Regional HNTs will conduct regular joint exercises with tactical components (CERT, Hostage Rescue Team [HRT], CRST, etc.) at least annually.
- d. Facility HNT Members
 - (1) Facility HNT members must participate in training that shall be developed and coordinated by the Facility HNT Leader, Emergency Preparedness Coordinator, and Training Coordinator. This training shall be part of each facility's annual training schedule in accordance with **Section 5** of this procedures manual.
 - (2) The Facility HTN shall conduct joint training with a Regional HNT at least once per year.
 - (3) Facility HNTs will conduct regular joint exercises with tactical components (CERT, HRT, CRST, etc.) at least annually.

2. Out-Service Training

A Hostage Negotiation Team member shall request Out-Service training that is directly related to HNT in accordance with **Section 6** of this procedures manual.

3. Training Records

Training records shall be maintained on all team members in accordance with **Section 5** of this procedures manual.

C. Hostage Rescue Team (HRT)

1. General Procedures

- a. Every HRT member shall receive the required training as stated in **Section 2** of this procedures manual.
- b. A member is to attend the mandated HRT training and any additional training the Security Division Special Response Teams Coordinator may request.
- c. Each member shall be trained as an interchangeable team member, able to function in any team member's role.
- d. Each HRT member must uphold a physical fitness level to ensure the minimum physical standards are maintained.
- e. While involved in training, a Regional HRT member shall be detached to the Central Office Security Division.
- f. A Regional HRT member shall be thoroughly trained in basic shooting, entry skills, and specialized/unique skills that allow maximum flexibility and adaptability to each situation. Continuous training shall be provided to ensure a member maintains a high level of proficiency in the skills necessary to carry out his/her team's mission.
- g. Operation and maintenance of breaching equipment shall be reviewed and practiced monthly. A HRT member shall demonstrate proficiency with all HRT manual breaching devices and entry equipment.
- h. Each HRT member shall successfully complete the following training:
 - (1) an authorized Basic HRT Operators School;
 - (2) the Block Transition Course, Tactical Pistol Course, Basic Building Entry Course, MP5 Operations Course, and other related schools; and
 - (3) annual Department exercises.
- i. Firing of the HRT weapons systems will only occur during approved training sessions and when deployed.
- j. A team member who misses three training sessions in any six-month period shall be put on a restricted deployment status or suspended from HRT as determined by the Special Response Teams Coordinator and Regional HRT Leader.

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2. Out-Service Training

A Hostage Rescue Team member shall request Out-Service training that is directly related to HRT in accordance with **Section 6** of this procedures manual.

3. Training Records

- a. Training records shall be maintained on all team members in accordance with **Section 5** of this procedures manual.
- b. The HRT Coordinator shall maintain the cumulative training records of each team member. The HRT Coordinator will forward a copy of those training records to the Security Divisions' Special Response Teams Coordinator quarterly.

D. Fire Emergency Response Teams (FERT)

1. General Procedures

- a. Each FERT member shall receive the required training as stated in **Section 2** of this procedures manual.
- b. An individual selected for the FERT must complete the Department's FERT Academy.
- c. The facility's Corrections Institutional Safety Manager, in conjunction with the Training Coordinator, will identify the FERT training needs and conduct In-Service training using any combination of the following Department-approved lesson plans, **but not less than 16 hours of training annually**;
 - (1) FERT Operations;
 - (2) FERT Equipment;
 - (3) Hose and Hydrant;
 - (4) Ventilation;
 - (5) Search and Rescue;
 - (6) Fire Extinguishers;
 - (7) Sprinkler/Standpipe Systems; and
 - (8) Self-Contained Breathing Apparatus (SCBA).

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2. Out-Service Training

A FERT member shall request Out-Service training that is directly related to FERT in accordance with **Section 6** of this procedures manual.

3. Training Records

Training record shall be maintained on all team members in accordance with **Section 5** of this procedures manual.

E. Corrections Emergency Response Teams (CERT)

1. General Procedures

- a. Each CERT member shall receive the required training as stated in **Section 2** of this procedures manual.
- b. The CERT Regional Coordinators will develop a standardized annual training schedule for all regions. The facility CERT Team Leader will complete a quarterly training schedule no later than 45 days prior to each training quarter. The schedule shall be coordinated with the Regional CERT Coordinator and the facility Training Coordinator. This schedule shall be completed in accordance with Department policy **6.7.2, “Special Response Teams,” Section 2**. All training shall be a complete team compliment (there shall be no split squad or split team training).
- c. At a minimum, all mandatory subjects and hourly requirements shall be covered annually. A member who does not attend scheduled training must be rescheduled by the facility CERT Leader, in coordination with the Training Coordinator, to fulfill all CERT mandatory training hours before the end of the fiscal year.
- d. The facility CERT Leader will complete an annual training report in accordance with Department policy **6.7.2, Section 2** and forward copies to the Regional CERT Coordinator and the facility Training Coordinator by June 30th of each fiscal year. The report shall consist of a break-down of each member’s mandatory CERT training for each subject received during the fiscal year.
- e. Each CERT member attending training shall be required to sign a training roster. The training roster shall list the instructor(s) name, the training being conducted, a description of the training objectives, list of all participants, the number of hours, date the training was conducted, and any other relevant comments (members not qualifying or not completing the training session). The roster will be provided to the Training Coordinator.

2. Out-Service Training

A CERT member shall request Out-Service training that is directly related to CERT in accordance with **Section 6** of this procedures manual.

3. Training Records

Training records shall be maintained on all team members in accordance with **Section 5** of this procedures manual.

F. K-9 Unit

1. General Procedures

- a. In order to maintain maximum proficiency, each K-9 handler and his/her assigned K-9 shall successfully complete the Department's basic Drug Detector Dog Training course.
- b. After successful completion of the basic course, the K-9 handler shall be responsible for maintaining the proficiency of the K-9. This shall be accomplished through the In-Service training requirements (refer to **Section 2, Attachment 2-A**) and operational training conducted by the K-9 handler during normal working conditions.
- c. Monthly training will be scheduled and supervised by the K-9 Academy Supervisor. An individual unit member may be required to attend non-departmental seminars and training in addition to unit training.
- d. Each K-9 handler shall attend all scheduled training. The Drug Interdiction Program Coordinator or K-9 Academy Supervisor must approve any deviation from the training schedule.
- e. Scheduled unit training will be conducted at the K-9 Academy as well as various locations throughout the Commonwealth; and shall consist of simulated situations that may be encountered during routine conditions or emergency.
- f. The use of a Department K-9 for training with an outside agency/handler must be pre-approved by the Drug Interdiction Program Coordinator and/or the K-9 Academy Supervisor, in conjunction with the Executive Deputy Secretary. All requests for such training will be in writing to the Drug Interdiction Program Coordinator and/or K-9 Academy Supervisor.
- g. Additional training techniques that K-9 handlers receive from outside sources/agencies shall not conflict with the Department's techniques unless authorized by the Drug Interdiction Program Coordinator and/or the K-9 Academy Supervisor, in conjunction with the Executive Deputy Secretary.
- h. Each K-9 handler is responsible for completing, on a monthly basis, the **Drug Interdiction Unit Record of Training Form (Attachment 12-A)**. This form will reflect all training to include in-service, operational, and non-departmental; and will be sent to the K-9 Academy Supervisor not later than the 15th of the following month.

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2. Out-Service Training

K-9 handler unit members shall request Out-Service training that is directly related to K-9 training in accordance with **Section 6** of this procedures manual.

3. Training Records

Training Records shall be maintained on all K-9 unit members in accordance with **Section 5** of this procedures manual.

Section 13 – County Basic Training Programs

A. General Procedures

1. This section establishes procedures to certify/approve and audit the Basic Training programs of a Commonwealth county who chooses to provide its own basic training for county corrections staff.
2. It is the policy of the Department to establish, implement, and evaluate criteria for a county who chooses to provide basic training to county corrections staff under 37 Pa. Code § 95.221. A county who provides basic training to county employees shall have its basic training program certified or approved pursuant to this section and shall maintain that status to be permitted to provide such training.

B. Approval Process

1. A county warden who chooses to conduct basic training for county corrections staff is responsible for requesting a review of the proposed program of instruction. This request must be directed to the Director, Staff Development and Training Office (**SDTO**). The county shall designate a contact person to work with the Staff Development and Training Office through this process.
2. The Staff Development and Training Office's Curriculum Development Unit will provide the requesting county with applicable **American Correctional Association (ACA) Performance-Based Standards for Adult Local Detention Facility (ALDF) and ACA Standards for Correctional Training Academies (CTA) (Attachment 13-A)**, and a checklist of areas of emphasis that, once satisfied, will determine approval by using the **PA County Training Audit Checklist (Attachment 13-B)**. The county shall submit copies of all lesson plans, schedules, instructor certifications, and curriculum documentation to the Curriculum Development Unit's point of contact.
3. The SDTO will review the submitted materials using criteria in the **ACA Performance-Based Standards for ALDF and ACA Standards for CTA and the PA County Training Audit Checklist** to review the county's training policy, training schedule, lesson plan content, instructor certification, etc. for accuracy and completeness.
4. The SDTO will conduct a comprehensive review of the county's Basic Training Program. If any areas are not in compliance with the standards, the county will be informed of the deficiencies and asked to correct them. If the county's program meets the above standards, the Department will approve the county to provide Basic Training for its employees. A letter will be sent to the Warden from the Secretary of Corrections.
5. The certification/approval period is for three years.

C. Curriculum Assistance

1. To assist a county in providing accurate and up-to-date information to staff, the Staff Development and Training Office will, at a minimum, annually distribute a list of the Department's Basic Training lesson plans by July of that calendar year. This list will contain the most current information and may be used by the county as needed. In the event a lesson plan has been updated by the Department and is of a time critical nature, that information will be distributed immediately.
2. A county may request lesson plans and/or additional information at any time.

Section 14 – Annual Training Audits

The Staff Development and Training Office is responsible for monitoring training quality and compliance within the Department, providing support to facility training programs, and guidance to ensure training requirements are met and procedures are compliant with Department policies and American Correctional Association (ACA) standards. The training audit process is a risk management tool to assist facilities to maintain a quality training program. The process will identify strengths and deficiencies, risks and exposures, and establish a corrective action plan and best practices within the facility's training program.

A. Scope of the Audit

An annual audit will encompass compliance with Department policies, ACA standards, applicable laws, procedures, practices, and related professional standards.¹ The areas to be audited by the Academy's audit team are listed below. Areas to be reviewed and audited include the following, but are not limited to:

1. mandatory in-service training requirements;
2. Corrections Office Trainee (COT)/On-the-Job (OJT) Program;
3. Training Plan, Training Schedule, Year-End Training Report;
4. employee training records;
5. Commonwealth's Learning Solutions (LSO);
6. instructor certification;
7. training class sign-in sheets;
8. Facility Complement Adjustment Form;
9. ACA Training Standards and supporting documentation;
10. Facility Training Advisory Committee Meeting Minutes;
11. last year's Audit Report and Plan of Action (if applicable);
12. lesson plan library;
13. tour of training area;
14. student and instructor interviews and evaluations; and

¹ 4-4017, 4-4107, 4-4211, 4-4423, 4-4438, 4-4455

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15. additional documentation to support training areas.

B. Audit Process

1. The audit of all functional areas identified in **Subsection A** above will be conducted annually. Audits may be conducted onsite or remotely using electronic records, the training records management system, other supporting documents and discussions with the Training Coordinator, and other training staff to satisfy requirements of an annual training audit. However, a site-based audit must be conducted at facilities scheduled for an ACA audit in the given audit year.
2. The facilities, through the Training Coordinator and other training staff, shall perform an internal self-audit in support of the Year-End Training Report. The audit standards for the areas to be audited will be available in the Accreditation, Audit and Risk Management Security (AARMS) System and DOCNet under ACA. The facility will be able to access these standards prior to the audit in order to conduct a self-audit and to note any changes.
3. The Academy's Field Resource Liaison/Audit Team Leader will contact the Facility Manager/designee prior to the audit to confirm the date and time of the audit.
4. The audit team will annotate on the Auditor Checklist each area assignment and the training areas that the facility is compliant, non-compliant, or non-applicable. All findings of non-compliant or non-applicable status require the auditor to enter a comment explaining why the facility was non-compliant or reason the standard was non-applicable.
5. After the conclusion of the audit, an exit interview will be conducted with the Facility Manager/designee(s), where preliminary findings of the audit will be presented and discussed.

C. Central Office Responsibilities

1. The Regional Deputy Secretary shall:
 - a. review annual training audit reports for the assigned facilities in his/her region and oversee the corrective plan of actions in accordance with Department policy, **1.1.2, "Accreditation and Annual Operations Inspections Procedures Manual," Section 2** to address the noted deficiencies; and
 - b. review assigned facilities' progress in resolving audit deficiencies during scheduled quarterly facility visits.
2. The Training Academy shall:
 - a. ensure appropriate staff are identified to conduct audits. Audit teams may include staff from facilities other than the Academy. Staff may be used in their areas of expertise;

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- b. the Academy's Field Resource Liaison will ensure audit team members are familiar with the standardized audit format, criteria, reporting function, and their role in the process;
 - c. the Academy's Field Resource Liaison will inform the Training Coordinator and the Facility Manager/designee of the facility to be audited, coordinates the date(s) for the audit, and notifies the Bureau of Standards and Accreditation and the Facility Manager/designee who will be conducting the audit;
 - d. audits will be conducted in accordance with the *Operations/Mock/ACA Audit Schedule* posted on DOCNet under ACA;
 - e. the Academy's Field Resource Liaison will monitor and review completed training audits to ensure they are entered in a timely manner and report any issues of non-compliance;
 - f. the Academy's Field Resource Liaison will follow-up on any delinquent reports that are past the submission due date;
 - g. an Executive Summary is entered into the AARMS System no later than 30 days following the audit; and
 - h. audit standards are reviewed annually and necessary changes are made to ensure that they are in line with current law, policies/procedures, standards, and goals.
3. The Bureau of Standards & Accreditation shall:
- a. maintain schedule(s) for Accreditation Audits, Annual Operations Inspections, and Training Audits on DOCNet;
 - b. oversee the AARMS System;
 - c. act as administrator of the AARMS System by providing user access and passwords as well as training and technical assistance to auditors and facility staff in the applications of the system; and
 - d. coordinate the annual review of current inspection standards by area of responsibility at the end of each year to ensure ACA standards, training mandates, policy compliance, and/or problematic issues are continually evaluated and updated.
4. Each Facility Manager/designee shall ensure that:
- a. the Training Coordinator and Training Lieutenant/designee are available and able to assist the audit team in conducting the training audit of his/her respective area(s) of responsibility;

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- b. training records and reports are provided and/or made available by the Training Coordinator and Training Lieutenant/designee;
- c. the facility corrective plan-of-action for addressing non-compliance issues disclosed by the audit is prepared and submitted electronically in the AARMS System within 30 days following receipt of the audit report. The corrective plan-of-action in accordance with Department policy **1.1.2, Section 2** must describe corrective action(s) to be taken, staff responsibility, and timetables for completion of each task;
- d. the corrective plan-of-action includes documentation to justify the non-compliant finding has been corrected. Examples of appropriate documentation would be a training roster, sign-in-sheets, training report, meeting minutes, etc.; and
- e. the Training Coordinator receives periodic informational briefing through meetings, written documentation, and other communications on changes to training audit procedures.

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Section 15 – Central Office Training Program

Section 15 – Central Office Training Program

Training Program guidelines for all staff assigned to Central Office will be handled in the manner listed below with the exception of those in the H-1 and H-3 bargaining units; detached duty assignments; and other special assignments, such as staff assistants, which should be in accordance with **Section 2** and **Section 4** of this procedures manual.

A. Responsibilities

1. The Training Academy will oversee and coordinate the in-service training program for Central Office.
2. Supervisors will:
 - a. track and monitor employee progress to ensure training requirements are met;
 - b. counsel staff when training requirements are not being met;
 - c. review and approve (if appropriate) training requests from staff prior to scheduling; and
 - d. ensure staff complete and submit required training documentation to the Training Coordinator (TC).
3. The Employee will:
 - a. track his/her own progress to ensure that minimum training requirements are met;
 - b. seek out trainings of relevance and interest;
 - c. obtain supervisory approval prior to scheduling training; and
 - d. complete and submit required training documentation to the TC.

B. Guidelines

1. Adequate trainings should be offered and available to allow staff to complete their mandatory training requirements.
2. Training courses should be sought through other department locations including the Training Academy and the State Correctional Institution (SCI) Camp Hill.
3. Elective trainings taken by staff should be commensurate with their position and should focus on job relatedness. Trainings that are not directly related to one's position should provide for personal growth or career development.

C. Mandatory Training Requirements

1. All staff are required to successfully complete a minimum of 15 hours of training, within a calendar year as set forth in **Section 2** of this procedures manual.
2. All staff must complete all Commonwealth Mandatory Training as required by the Governor's Office of Administration.
3. All staff must complete all other courses that are designated as mandatory that are determined by the Training Advisory Committee on a yearly basis.

D. Elective Training Requirements

1. Employees must complete elective trainings in conjunction with their mandatory requirements in order to achieve their minimum training hours as outlined above.
2. Elective trainings must be selected based upon job relatedness that is specific to the employee's position and/or provide for personal growth or career development. As such, elective trainings need to be approved by the employee's supervisor and Bureau Director prior to scheduling and then forwarded to the TC in order to receive credit.

E. Basic Nurse Training

All new nurses are required to attend the Basic Correctional Nurse Training course within six months of promotion/placement. A current nurse who has not attended this training may attend, if deemed necessary by the Director of the Bureau of Health Care Services (BHCS).

F. Corrections Criminal Investigator Training

All Corrections Criminal Investigators within the Office of Special Investigations and Intelligence (OSII) are required to successfully complete firearms qualification on a biannual basis and all Act 120 updates annually. Additionally, they must successfully complete Prison Rape Elimination Act (PREA) Specialized Security Training within six months of promotion/placement.

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Academic Credit Courses - Out-Service courses for which academic credits are granted.

Adjunct Instructor - A trainer whose is certified to instruct at their duty station and volunteers to either conduct Department-level training or assist a Lead Instructor who is conducting Department-level training.

Annually - The term *annually* in this policy refers to a 12-month period related to the fiscal year (1 July - 30 June) unless otherwise noted.

Annual Training Needs Assessment - A standard method for determining and analyzing staff training needs at a facility, CCC, or Central Office. Results of the training needs assessment are used to formulate the Annual Training Plan for the facility, CCC, or the Department.

Annual Training Plan - A document that describes the major program objectives, requirements, and schedule to be followed in order to meet the annual training needs of an organization's workforce.

Annual Training Report - A document that describes accomplishments achieved though training in the previous fiscal year compared to what was expected in the Annual Training Plan.

Audit - An annual evaluation of the county's basic training program. The audit is used to determine continued compliance to specified requirements and standards.

Authorized Ammunition - Ammunition approved for use by the Department. The authorized ammunition is listed in DC-ADM 201, "Use of Force."

Authorized Firearms - Firearms approved for use by the department. The authorized firearms are listed in DC-ADM 201, "Use of Force."

Basic Training - The portion of Pre-Service training offered at the Training Academy. The purpose of Basic Training is to teach new employees fundamental skills and to provide information about the agency. Length of Basic Training, in weeks, is determined by the DOC personnel class code listing in the "Basic Training" column. All permanent full-time DOC employees must successfully complete Basic Training.

Business Owner – A Business Owner is a subject matter expert, who based on their specific role or position, will serve as the Training Academy's source for current and factual review of the curriculum development cycle (ADDIE) to include: analysis, design, development, implementation, and evaluation of curriculum materials.

Centralized Training - All DOC training, except Basic Training, offered by the Training Academy or other Central Office entities (computer services, human resources, security, etc.). This training may be conducted at the Training Academy, Central Office, or at a regional site.

Certified Firearms Instructor - DOC employees who have been officially assigned this responsibility, and are certified for handgun-shotgun training as DOC Handgun-Shotgun Instructors. Rifle training instructors shall be certified as DOC Rifle Instructors.

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Community Corrections Centers (CCC) - A state or contracted group home authorized by legislation (Act 173-1968, et al.) in a community setting and operated by the Department of Corrections. A CCC provides residential and treatment services to certain inmates selected for placement into a community setting prior to or as part of parole.

Confirmation Letter - A form letter sent from the Training Academy to the Training Coordinators confirming acceptance of a nominated employee into a specific training event.

Contact Employees - Employees who are responsible for the care, custody and control of inmates. See the DOC personnel class code listing in the "T/C" column.

Continuing Education Unit (CEU) – A standard unit of measure that quantifies continuing adult education and training activities while serving the diversity of providers, activities, and purposes in adult education. One CEU equals ten contact hours of participation in organized continuing education/training experience under responsible, qualified direction and instruction.

Core Course - Required training specifically developed for Department managers.

Corrections Officer (CO) - Employees in the Corrections Officer Trainee, Corrections Officer 1, Corrections Officer 2, Corrections Officer 3, Corrections Officer 4, or Corrections Officer 5 job classifications. Corrections Officers also are defined as contact employees.

Corrections Officer Trainee (COT) - Those employees of the DOC hired to serve a one-year training program to develop the skills and techniques required of a journeyman Corrections Officer. Successful completion of the contractual probationary period and the State Civil Service probationary period is required prior to promotion to Corrections Officer 1.

Corrections Officer Trainee On-the-Job Training Program - A one-year mandatory training program that all new Corrections Officer Trainees must successfully complete in order to maintain employment in the Corrections Officer classification.

County Approved Basic Training Program - A training program utilizing local facility- specific lesson plans as curriculum.

County Certified Basic Training Program - A training program that utilizes only PA DOC lesson plans as their curriculum with no variations.

Course – Any training program that contains more than one module.

Course Announcement - A standard form that announces the offering of a specific training event.

Cruiser Safe Weapon Condition - A shotgun or a rifle with the magazine loaded, the chamber empty, and the weapon on safe.

Curriculum Development Unit – The functional division within the Staff Development and Training Office responsible for development and review of all Department-level lesson plans.

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Department - The Pennsylvania Department of Corrections.

Department Training Advisory Committee - A committee composed of the Director, Staff Development and Training Office, and representatives from Central Office and selected facilities, whose purpose is to keep the Secretary of Corrections advised of the Department's training procedures and needs.

Duty Status - The work condition whereby the staff member is being compensated at the appropriate rate of pay. This includes both regular assigned hours of work and overtime hours.

Elective Courses - Training courses that include "technical" and "organizational" courses under the Management Development Program. Technical refers to training in areas such as personnel/labor relations, security issues, inmate services issues, budget issues, or other daily task issues. Organizational refers to training in areas such as team building, interpersonal communication, and organizational change, among other organizational topics.

Facility Manager - The Superintendent of a State Correctional Facility, State Regional Correctional Facility, Commander of a Motivational Boot Camp, Director of a Community Corrections Center, or Director of the Staff Development and Training Office.

Facility Training Advisory Committee - A committee composed of the Facility's Training Coordinator and representatives from various operational units within a facility. The committee meets at least quarterly to review progress and resolve training issues, and a written record of these meetings is forwarded to the Facility Manager.

Firearm - Any pistol, revolver, rifle, or shotgun.

Firearms Qualification - The initial successful completion of all training standards for the applicable firearm(s) in the Department's approved training programs.

Firearms Re-qualification - The successful completion of all training standards for the applicable firearm(s) in the Department's approved training programs during annual firearms training review.

Housing Space - Living quarters provided on site at the Training Academy.

In-Service Training – Training provided by an agency of state government such as the DOC or the Office of Administration. In-Service is also training completed at the employee's home facility and includes mandated programs that must be completed by the applicable employee group.

Inspection – A formal evaluation process utilized to determine compliance to specified requirements and standards.

Instructor - An employee whose is willing and certified to present formal instruction to personnel regardless of the instructor's job classification. An instructor may also be called a trainer.

Instructor Authorization - The act of authorizing an instructor to present formal instruction.

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Instructor Certification - The act of certifying by document that an instructor has fulfilled specified requirements to present formal instruction.

Joint Apprenticeship Committee – A committee with representation from both PSCOA and management that meets quarterly, or as required, to resolve OJT-related issues and to make program revisions as necessary to the Department's OJT programs. The Joint Apprenticeship Committee must approve any changes that affect any formal Department OJT Program.

Lead Instructor - A certified instructor who is responsible for the instruction of a particular module or course. A Lead Instructor may have one or more Adjunct Instructors assisting with the training. A Lead Instructor may also be the Program Coordinator for a particular course or training event.

Lesson Plan - A formal document that details the content of a specific training module. The Secretary of Corrections, the Director, Staff Development and Training Office, and a subject specialist must approve all Department-level lesson plans. At a minimum, the Superintendent or Regional Director and a Training Coordinator must approve all lesson plans developed at the local level.

Locally Mandated Training - Training that is required and approved at the local level by a Facility Manager, Regional Director, or Bureau Director.

Management Development Program (MDP) - A Department-level program that offers training to improve the efficiency and effectiveness of all Department managers by providing them with the basic skills necessary to lead the organization, conduct daily managerial duties, and prepare for promotional opportunities.

Manager - Any supervisor of supervisors, or administrator or coordinator of agency-wide programs within the three categories of Senior Managers (the Secretary, Executive Deputy Secretary, and Deputy Secretaries), Executive Managers (superintendents, deputy superintendents, directors, regional directors, and the Secretary's executive assistants) and Middle Managers (e.g., Majors, corrections classification and program managers, division chiefs, unit managers, personnel officers, CCC directors, drug and alcohol program managers, Captains, business managers, food service managers, CI managers, correctional health care administrators, among others). For a complete listing, see the Department Class Code Listing, MDP Training Code.

Mandatory Training - Training that is mandated by Department policy and/or job classification.

MDP Administrator - A Staff Development and Training Office employee designated by the Director, Staff Development and Training Office who is responsible for coordinating and administering the Department's MDP.

MDP Curriculum - The courses that make up the MDP, including a "core" course and "elective" courses that address technical and organizational issues.

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MDP Training Requirements - Each manager will be required to participate in at least two training courses (one core course every 18 months and one elective every fiscal year). MDP training hours may be credited to meet the American Correctional Association's standards. The length of each core course and elective course being offered will determine the MDP training hours.

Modified Duty - For this policy, a temporary change of work assignment to reasonably accommodate a medical/psychiatric disability for which there is a sound medical expectation that the employee will be returned to full, unrestricted duty in a reasonable time.

Module – A specific lesson within a course.

Nomination Form - A standard form that Training Coordinators complete when nominating employees to attend a specific training event. The form must be submitted to the Training Academy by the nomination due date stated on the course announcement.

Non-Academic Credit - Out-Service training courses for which no academic credits are granted.

Non-CO/H-1 Bargaining Unit Employee – A non-Corrections Officer employee who is covered by the Collective Bargaining Agreement for H-1 employees. Refer to the current Bureau of Human Resources Alphabetical Class Code Listing in order to determine all the classifications within the H-1 bargaining unit.

Non-CO/H-1 Employee On-the-Job Training Program - A security-related on-the-job training program that has been developed for non-CO/H-1 Bargaining Unit personnel as a result of identified training needs by the Department of Corrections and the American Federation of State and County Municipal Employees (AFSCME).

Non-Contact Employees - Employees who may have contact with inmates but are not directly responsible for the care, custody and control of inmates.

Non-Regular Status Employees - All DOC temporary and part-time employees (to include high school interns), limited-term employees (who are not expected to become permanent employees), contract employees, and/or employees of other agencies providing routine services (i.e., Pennsylvania Board of Probation and Parole, medical contractors, etc).

Non-Regular Volunteer - Any person from the community who comes into the institution one to four times requiring a general orientation by a staff member in the appropriate department. These persons usually include sporting teams, outside entertainment, athletic officials, church choirs, etc.

On-the-Job Training (OJT) - The second phase of training for new employees classified as "trainees" when they are assigned to their job but continue to be given special consideration in the areas of supervision and job training.

Orientation - The on-site portion of pre-service training designed to acquaint new employees with the overall operation of the facility.

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Out-Service Training - All training not conducted by the DOC. Out-service training also includes colleges (academic credit and non-academic credit courses), professional association meetings, conferences, workshops, conventions, etc., and may require an employee's absence from work.

Pre-Service Training - The initial training designed to teach new employees the fundamental skills that are necessary to effectively work in a correctional environment. Pre-Service training includes orientation and Basic Training.

Program Coordinator - An employee of the Department (usually from the Training Academy) who is identified as the primary instructor, facilitator, or host(ess) for a specific training event. The Program Coordinator is responsible for drafting the training event course announcement, submitting the appropriate requests for resources, and coordinating Adjunct Instructors, if needed.

Range Official - A certified firearms instructor or a range safety officer.

Range Safety Officer - A person officially assigned this responsibility by DOC management and has attended the DOC Handgun/Shotgun Instructor Course or the DOC Rifle Instructor Course.

Regular Volunteer - Any person from the community offering, without pay, any services, materials, or facilities to the inmates in the correctional system on a regular basis. Regular volunteer access to the institution should be on a regularly, pre-approved schedule.

Subject Specialist – A person with a high degree of skill and knowledge regarding a specific training topic.

Trainer - Another term for an instructor.

Training Academy - The Department of Corrections training facility located at 1451 North Market Street, Elizabethtown, PA 17022-1299.

Training Coordinator - An employee assigned by each facility, CCC region and center, Central Office, and Training Academy who is responsible for supervising the planning, coordinating, facility and ACA training record maintenance, and on-site monitoring of training.

Training Event - An organized, planned, and evaluated activity designed to achieve specific learning objectives and enhance the job performance of personnel. Training may occur on site, at the Training Academy or regional training site, an institution of higher learning, professional meetings, or through contract service or closely supervised on-the-job training. It includes a formal agenda and instruction by a teacher, manager, or official; physical training; or other instruction programs that include a trainer/trainee relationship. Training events usually include requirements for completion, attendance recording, and a system for recognition of completion. Meetings of professional associations are considered training where there is clear evidence of the above. Regardless of where it occurs, the training must be part of an overall training program.

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Training Record - A cumulative and permanent record of training for each employee that is established and maintained by the Training Coordinator at the employee's duty station. The record will include, at a minimum, the information required by the Employee Training Records System.

Training Roster - A document that contains, at a minimum but not limited to, the training topic, names of the participant, employee number, name of the instructor, length of the training session, and date of the training.

Training Staff - A staff of employees whose responsibilities include providing ongoing training to personnel. Examples include Training Sergeants, Training Lieutenants, Training Coordinators, and members of the Training Academy staff.