

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT:	PAGE <u>1</u> OF <u>5</u>
Training Record Keeping	NUMBER: 39-TRN-09
RULE/CODE REFERENCE:	SUPERSEDES: 39-TRN-09 dated 04/17/15
RELATED ACA STANDARDS: 2-CTA-1A-15; 2-CTA-1D-01, 1D-02; 2-CTA-3A-16 thru 20	EFFECTIVE DATE: June 27, 2016
	APPROVED: 

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to establish a standard method of record keeping for all Ohio Department of Rehabilitation and Correction's training departments.

III. APPLICABILITY

This policy applies to all Ohio Department of Rehabilitation and Correction (DRC) training personnel and staff at the privately operated correctional facilities.

IV. DEFINITIONS

Continuing Education (CE) Credits - A number of recognized credit hours approved by a licensing agency or professional board which represent actual clock hours of time spent in an adult learning environment specific to the training participant's discipline or profession.

Employee Training File - An electronic (e.g. ELM or OnBase) or hard-copy (paper) file that contains all training records for an employee. The file shall minimally contain records pertaining to the employee's completion of orientation, annual in-service and any additional in-service or specialized training and all special skill certifications and re-certifications.

Enterprise Learning Management (ELM) System - The Ohio Administrative Knowledge System (OAKS) Enterprise Learning Management (ELM) is an integrated application that assists in improving workforce knowledge, skills, and abilities by providing employees access to traditional instructor-led training registration, and instant access to web-based e-Learning. The ELM application also provides automated tracking of learning events.

Proficiency List - A list of employees who are proficient and hold current certification in a special skill area.

Special Skill Areas - Those DRC-approved subjects that require advanced training. Such topics include, but are not limited to, defensive tactics and subject control, firearms, hostage negotiations, tactical rifleman, special response team, chemical munitions, OC/pepper spray, pepper ball, CPR/CPR PRO, first aid, transportation, and instructional skills.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) to ensure that institution training officers and other staff members responsible for training compile and maintain records of all training activities, as well as individual electronic training files for all department employees. Private prison training records will be maintained using a hard copy records system. The training officer and other staff members responsible for training shall also maintain current proficiency lists for special skill areas requiring certification and/or re-certification/requalification.

VI. PROCEDURES

- A. New Employee Orientation (NEO) training attendance shall be documented using the DRC Training Session Report (DRC1792). Additional forms to be completed as part of the NEO Academy are specified within DRC policy 39-TRN-10, Employee Orientation Training.
- B. Institutional training officers and other staff members responsible for training shall be responsible for compiling and maintaining records of all training activities on a DRC Training Session Report (DRC1792). The individual certifying the form shall ensure that all aspects of the document are completed or marked through and initialed accordingly. All PREA-related training shall be documented using the PREA Training Session Report (DRC1680). Said document is to be signed by participants at the conclusion of PREA training sessions. In the event a participant indicates he/she did not understand the training presented, remediation training shall be provided.
- C. The institution training officer and other non-institution staff members responsible for training shall maintain and regularly update employee electronic training files (e.g. ELM and OnBase). Private prison employee records shall be maintained and regularly updated on the Employee Training File Card (DRC1214). The file should contain, at a minimum, records pertaining to the employee's completion of orientation, annual in-service, any additional in-service or specialized training and all special skill certifications and re-certifications.

- D. For DRC individual training files, using the employee's State of Ohio User/OAKS identification number, the following documentation shall be scanned into OnBase:
1. Course Agenda (DRC1811);
 2. Certificate of Completion (if available);
 3. Course failures shall be documented utilizing the employee's test(s) or score sheet, a written list of problem areas, dates and type of coaching or practice conducted as provided on the NEO Mandated Training Performance Evaluation Coaching Practice form (DRC1968) and/or the Mandated Training Performance Evaluation Coaching Practice form (DRC1769). Subsequent tests given shall be marked "re-test" and placed in the training file.
 4. Other documentation as provided (e.g. ELM supplemental documentation for external training, conferences, workshops).
- E. If a DRC employee transfers to another DRC institution or office, the electronic training file, containing all ELM, and OnBase contents, is automatically transferred to the employee's new work location.
- F. Training course file documentation for CTA programs should minimally include the following as outlined on the Course File Completion Checklist (DRC1790) and be scanned into OnBase:
1. DRC Training Session Report (DRC1792) and/or PREA Training Session Report (DRC1680);
 2. Agenda to include topic, student performance objectives, instructor(s) and time for courses;
 3. Employee's Test(s) with grades indicated or a compilation of scores listing student names and individual student test scores. Testing/Evaluation documentation may include:
 - a. Successful completion documentation;
 - b. Course failures shall be documented utilizing the employee's test(s) or score sheet, a written list of problem areas, dates and type of coaching or practice conducted as provided on the NEO Mandated Training Performance Evaluation Coaching Practice form (DRC1968) and/or Mandated Training Performance Evaluation Coaching Practice form (DRC1769). Subsequent tests given shall be marked "re-test" and placed in the training file.
 4. Original or scanned copies of Course/Instructor Evaluations (DRC1523) or a compilation summary of all evaluations;
 5. Copies of certificates if issued.
- G. Training course file documentation for training conducted within the context of a meeting shall minimally include the following and be included within an employee's training file. It shall be recorded as "Supplemental" training within ELM:
1. DRC Training Session Report (DRC1792);
 2. Agenda to include topic, student performance objectives, instructor(s) and times for session.

- H. Employee training files and training course files shall comply with security protocols. As employee files are accessed via ELM, a log-in and password protected website, staff can personally view their personal training information. OnBase is a secure system by which course files are created and maintained by training officers and staff members responsible for training. Collectively, the two (2) systems ensure the security of employee training records.
- I. Employee training files shall comply with the retention requirements of the agency as set forth in the ODRC Record Retention Schedule. As per HR-0012 of the record retention schedule, employee training files shall contain a record of employee training and staff development opportunities completed to include both mandatory as designated by policy and non-mandatory topics. Attendance rosters, agendas, curricula, course evaluations/test results and training certificates may be used to document completed training activities. Paper files shall be maintained ten (10) years after the employee terminates service, then destroyed/shredded. An original file that has been electronically transferred and thus machine readable, may be destroyed immediately upon placement onto a server or other mechanism for computerized access. Electronic records shall be maintained ten (10) years after employee terminates service, then destroyed or deleted.
- J. Course training files shall comply with the retention requirements of the agency as set forth in the DRC record retention schedule. As per HR-0014, of the record retention schedule, course training files shall be maintained as outlined and to reflect opportunities completed to include mandatory training as designated by policy. Attendance roster, agenda, curricula, course evaluation/test results and training certificates may be used to document completed training activities. Paper files shall be maintained five (5) years and then be destroyed/shredded. An original file that has been electronically transferred and thus machine readable may be destroyed immediately upon placement onto a server or other mechanism for computerized access. Electronic records shall be maintained five (5) years, then destroyed or deleted.
- K. The Bureau of Medical Services (BOMS) may issue certificates of continuing education (CE) to eligible training participants. Issuance of CE credit is dependent upon the resources of the BOMS and upon its status as a provider of CE for each licensing board. For programs in which CE credit has been approved, participants must follow the rules of their professional board or licensing agency in documenting their attendance. Certificates of CE will be awarded electronically or in person. Participants must sign in for the training using both the Sign in Sheet for Professionals Seeking Continuing Education (DRC1241) and the DRC Training Session Report (DRC1792).
- L. The training officer or other staff members responsible for training shall maintain and distribute current and accurate proficiency lists in all areas where certification and recertification is required.
- M. Proficiency lists shall include the employee's name, skill area, initial certification date, current recertification date and expiration of certification date.

- N. Proficiency lists shall be available to all persons and institutional departments that are responsible for post assignments or special duty and emergency assignments. APA regional administrators shall be provided with annual rosters of staff demonstrating proficiency in physical skills/recertifications.
- O. DRC's (Agency) instructor certification lists shall be created, maintained and posted by CTA. This certification list serves as the official record for the DRC, reflecting the individuals that are currently certified to serve as an instructor within the agency, while also denoting those in an inactive status or decertified status both of which results in the individual being unable to instruct.
- P. Within sixty (60) calendar days following the end of a training year (fiscal year), institution training officers and CTA's field support staff assigned to manage APA training shall compile statistics and a corresponding summary of all training activities. Said report shall be provided to the managing officer, and a copy to CTA's superintendent and field support supervisor.
- Q. The CTA shall prepare an annual report that is submitted to the Operation Support Center (OSC) and reflects a compilation of both CTA and departmental training activities for a fiscal year. NEO, annual (mandatory) in-service and specialized in-service training information shall be highlighted as well as other major initiatives, goals, accomplishments and critical operational updates.

Related Department Forms:

Sign In Sheet for Professionals Seeking Continuing Education	DRC1241
Course/Instructor Evaluation	DRC1523
PREA Training Session Report	DRC1680
Mandated Training Performance Evaluation Coaching/Practice	DRC1769
Course File Completion Checklist	DRC1790
DRC Training Session Report	DRC1792
Course Agenda	DRC1811
NEO Mandated Training Performance Evaluation Coaching/Practice	DRC1968