



Compliance Monitoring Workbook

Agency Instructions



BOARD OF STATE & COMMUNITY CORRECTIONS
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INTRODUCTION

The purpose of this guide is to assist participating agencies in using the new Compliance Monitoring Workbook, developed by the Standards and Training for Corrections (STC) division. This electronic workbook will replace the current list of STC eligible staff that agencies are required to submit for annual compliance monitoring. The agency staff list must be submitted on this Excel workbook. In addition, the agency will still be required to submit a letter, signed by the agency administrator, stating that the administrator has reviewed the agency's staff selection and training records and stating either; the agency has meet or not meet the STC Program standards.

Please note, there is one workbook for Sheriff Departments and Police Departments and a separate workbook for Juvenile/Probation Departments with respective STC classifications.

If you need assistance, please contact your assigned Field Representative.

Contents

I. Agency Requirements	4
II. Automatically Populated Cells	5
III. Field Representative Required Fields	6
IV. Compliance Review	6
V. Sample.....	7
VI. Agency's Letter	9
Additional Resource Material	10

I. Agency Requirements

The following column headers (highlighted in blue) are required to be filled out by the agencies Training Managers and/or Training Staff. The cells contain automatic formatting that will change cells and font colors based on the information input. These features will help identify employees who will be checked for core, who did not complete core within one year of hire, who did not complete the required hours for their classification and who are exempt based on hire date.

Agency Name (top of the form)

- Input the full agency name (i.e., Alameda County Probation Department)

Last Name, First Name

- Input the employee's name in "Last Name, First Name" format

Department Job Title

- Input the employee's current department job title

Current STC Classification

- Select one of the STC Classification from the drop-down field:
 - ACO
 - JCO
 - PO
 - Administrator
 - Manager
 - Supervisor

Note: The selected workbook will only show STC classifications relevant to your organization (i.e., the Sheriff/Police Workbook will only show options for ACO, Administrator, Manager, Supervisor)

- When a classification is selected, the row font will automatically turn red. Once the "STC Classification" and "Hours Completed" are entered, the field will turn black, unless the "Hours Completed" is less than the "Hours Required."

Date Assigned to Current STC Classification

- Input the date the employee was assigned to their current STC Classification
- This is not necessarily the original hire date; it should be the date the employee was assigned to the current STC Classification (in some cases it will be the hire date but may be a promotion date)
- If this date is between 7/1/2021-6/30/2022 the entire row will turn yellow, indicating the employee should have completed core, and the Field Representative will be checking the core completion date.

- If the date is within the training year, 7/1/2022-6/30/2023, the text in the entire row will be crossed out, indicating this employee as exempt from the sample and will not be checked. This includes staff that completed core early, they will be checked for core completion the next compliance monitoring cycle.

Hours Completed

- Input the number of training hours the employee completed by 6/30/2023
- The row font will remain red if the hours required are not met, indicating this employee is subject to being mitigating or out.
- The hours completed is not required for core employees.
- The hours completed is not required for anyone hired 7/1/2022-6/30/2023
- If the employee did not complete their required training hours, indicate why in the “Agency Comments” column.

Core Completion Date

- *The core completion date only needs to be input for core employees (if the row is highlighted yellow)!*
- If the core completion date is after one year of hire, the cell it will turn orange.
- If cell turns orange, indicate why core was not completed within one year of hire in the “Agency Comments” column.

Agency Comments

- Enter the reason why training hours were not completed, or core was not completed within one year of hire. Include dates of leave, etc.

II. Automatically Populated Cells

The columns with grey column headers will automatically populate based on the information entered in the other required fields.

- Core or Annual
 - “Annual” will automatically populate if the Date Assigned is on or before 6/30/2021.
 - “Core” will automatically populate if the Date Assigned is between 7/1/2021 to 6/30/2022. If hired after 7/1/2022 it will be blank, as these employees would be considered exempt from the sample.
- Annual Hours Required
 - “Annual Hours Required” will automatically populate based on the STC classification that is selected from the “Current STC Classification” drop-down.
 - If the employee is required to be checked for core, this field will remain blank, as the most important information is the “Core Completion Date”

III. Field Representative Required Fields

The following column headers (highlighted in yellow) will be filled out by the Field Representative once the Compliance Monitoring Workbook has been submitted by the agency.

- Field Representative Name (top of form)
- Monitored Date (top of form)
- In Sample
 - The Field Representative will review your workbook and select a compliance.
 - If yes is selected by the Field Representative, the number and “Last Name, First Name” cell will turn light blue, indicating that staff will be reviewed.
- Compliance Status
- Mitigating Circumstance
- Prior Year Core
- STC Comments

IV. Compliance Review

Once the Compliance Workbook is submitted, along with the signed compliance letter, the Field Representative will coordinate a meeting to complete their compliance review. The Field Representative will send the selected sample back to you to prepare training documents. Their name will be highlighted in blue. Please have all course rosters, course certificates or any other documentation certified by an agency and/or training representative ready to be reviewed.

V. Sample

CHEAT SHEET:

Color/Font Style	Function
Blue Column Header	The agency must fill out
Yellow Column Header	Field Representative must fill out
Red Font	When the "Hours Completed" is less than the "Hours Required"
Striked-Out Font	New hires (auto) and other exempt employees
Yellow Filled Row	Based on "Date Assigned", should complete core
Orange Filled Cell	Core was not completed within 1 year of "Date Assigned"
Blue Filled Cell	Employee is in the sample

STANDARDS AND TRAINING FOR CORRECTIONS (STC) PROGRAM

Agency Name: _____

Fiscal Year: 07/01/2022-06/30/2023

Field Representative Name: _____

Last Name, First	Department/Job Title	Current STC Classification	Date Assigned to Current STC Classification	Core or Annual	Annual Hours Required	Hours Completed	Core Completion Date	Agency Comments (Dates of leave or absence and details for non-compliance)	In Sample	Compliance Status	Mitigating Circumstance	Prior Year Core	STC Comments
	Agency												
	Agency												

Note:
 There are 2 separate templates. 1 for Probation and Juvenile Departments and 1 for Sheriff and Police Departments.

VI. Agency's Letter

In addition, the agency will still be required to submit a letter on your agency's letter head, signed by the Agency Administrator stating that the Administrator has reviewed the STC regulations and agency's training records, stating whether the agency has met or not met the STC program compliance standards, a list of vacancies and number of staff that were hired between July 1, 2021 and June 30, 22 as these will be checked for core.

This is an example of how the letter should be formatted:



Board of State and Community Corrections
Standards and Training for Corrections
2590 Venture Oaks Way Suite 200
Sacramento, CA 95833

Dear Field Representative,

Enclosed is the STC workbook, containing all the required information related to eligible personnel as of June 30, 2023. I have reviewed the STC program regulations and department records and to the best of my knowledge, the majority of STC program eligible staff is in compliance with training standards.

All information pertaining to specific staff that have not completed their required training hours is contained in the workbook under "agency comments" section

As of June 30, 2023, we have the following vacancies:

2 Supervisors
5 Probation Officers and
2 Juvenile Corrections Officers

Cores during FY 22/23 (regardless of completed or if the officer is no longer with your agency).

Should you have any questions regarding this information, please feel free to contact the training manager.

Sincerely,

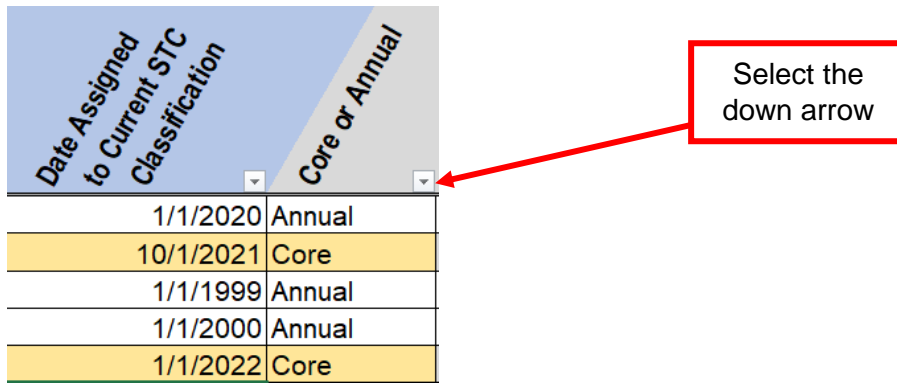
Chief or Sheriff

Additional Resource Material

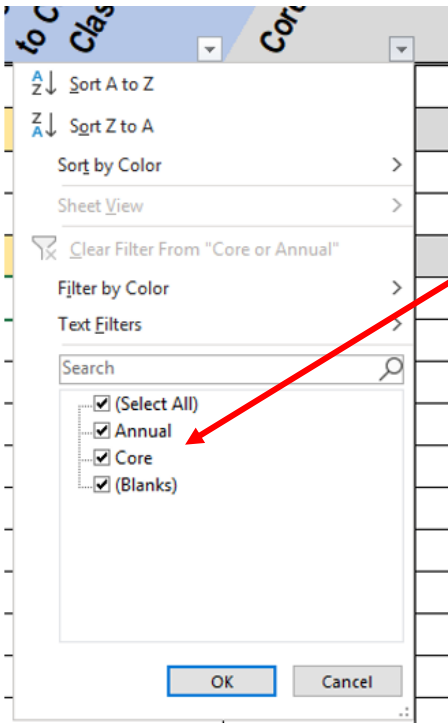
Filtering Columns

Any column on this Workbook can be filtered. Filtering can occur alphabetically, newest to oldest/oldest to newest (date fields only) or by option (for drop down columns). This is important when wanting to see staff filtered by Classification, staff in the sample, by Compliance Status, etc.

1. Click the arrow next to the header of the column you want to filter
2. Select only the options you want to display, or unselect the ones you don't want to show if they are already all selected
3. Click "OK"



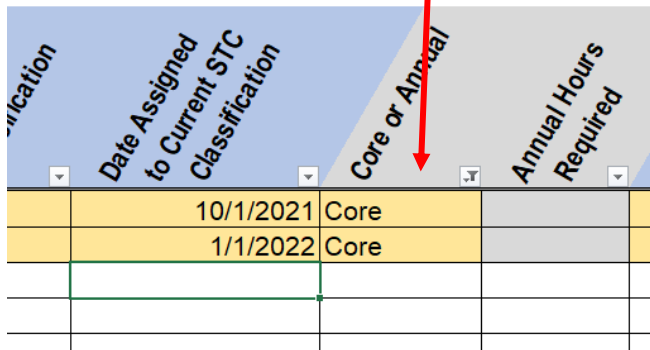
Date Assigned to Current STC Classification	Core or Annual
1/1/2020	Annual
10/1/2021	Core
1/1/1999	Annual
1/1/2000	Annual
1/1/2022	Core



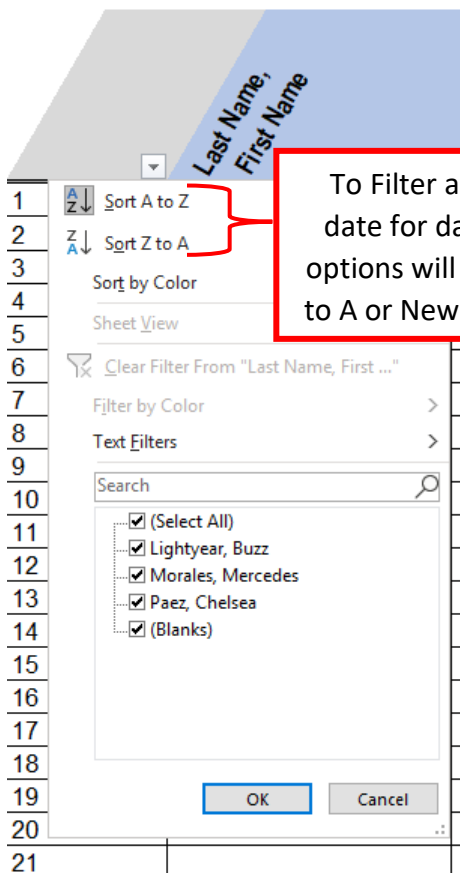
Make sure only the options you want to display are selected and click "OK"

Only lines that fit your filtered criteria will show.

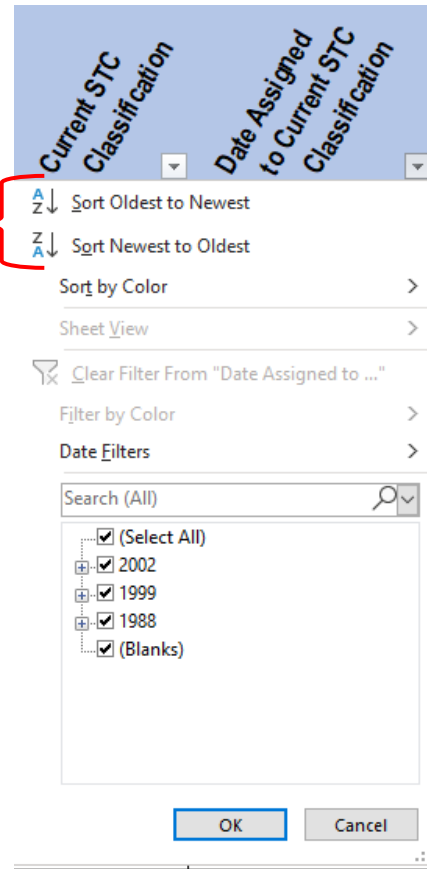
To undo, go back and "(Select All)" and "OK"



Classification	Date Assigned to Current STC Classification	Core or Annual	Annual Hours Required
	10/1/2021	Core	
	1/1/2022	Core	



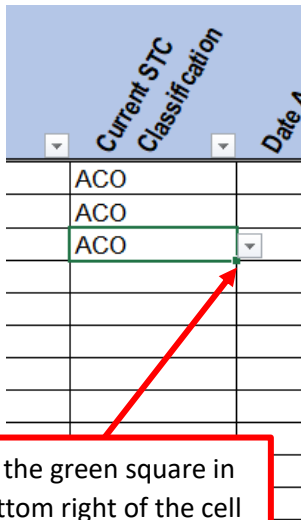
To Filter alphabetically or by date for date fields, the top 2 options will allow quick A to Z, Z to A or Newest to Oldest, Oldest



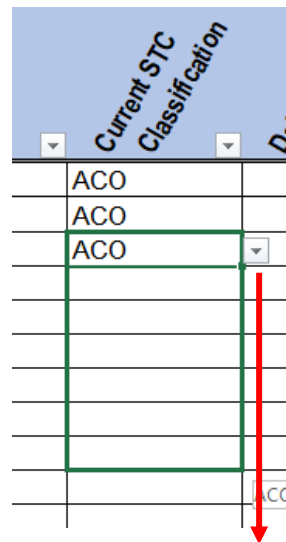
Copying Cells

If you need to fill multiple cells in consecutive order with the same information (ex: STC classification), you can easily auto fill many cells in one column. This will overwrite any existing data in any cells. If you accidentally drag over existing data, hold ctrl and z to undo.

1. Click on the cell you would like to copy. There will be a green square at the bottom right of the cell.
2. Click the green box, hold, and drag down to the last cell you would like the text, then let go of the mouse.
3. All cells in the range selected will populate the data in the cell selected.



Select the green square in the bottom right of the cell you want to copy downwards.



Drag the square down as far as you need and release. All cells in the green box will populate.

Required Training Hours by Classification

CLASSIFICATION	REQ HOURS
ANNUAL TRAINING	
Probation Officer	40
Probation Manager or Administrator	40
Probation Supervisor	40
Juvenile Corrections Officer	24
Juvenile Corrections Manager or Administrator	40
Juvenile Corrections Supervisor	40
Adult Corrections Officer	24
Adult Corrections Manager or Administrator	24
Adult Corrections Supervisor	24
Adult Corrections Supplemental	N/A
CORE HOUR REQUIREMENTS	
Probation Officer	189
Probation Manager or Administrator	80
Probation Supervisor	80
Juvenile Corrections Officer	168
Juvenile Corrections Manager or Administrator	80
Juvenile Corrections Supervisor	80
Adult Corrections Officer	187
Adult Corrections Manager or Administrator	80
Adult Corrections Supervisor	80
Adult Corrections Supplemental	79
TRANSFER ACADEMY HOURS:	
ACO to JCO (OJT)	10
JCO to ACO (OJT)	8
ACO to PO	76
PO to ACO	63
JCO to PO	71
PO to JCO	59
CDCR to ACO	79