

State of Iowa Department of Corrections

Policy and Procedures

Policy Number: AD-CI-04

Applicability: Institutions, CBC, Central Office, IPI

Policy Code: Public Access

Iowa Code Reference: [669.24](#)

Chapter 1: ADMINISTRATION & MANAGEMENT

Sub Chapter: CITIZEN INVOLVEMENT-VOLUNTEERS, INTERNS AND CONTRACTORS

Related DOC Policies: [AD-CI-03](#), [AD-GA-18](#), [AD-GA-22](#), [AD-PR-29](#)

Administrative Code Reference: N/A

Subject: CONTRACTORS

PREA Standards: [115.32](#), [115.77](#), [115.232](#), [115.277](#)

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1. PURPOSE

To provide guidelines for the utilization of contractors within the Iowa Department of Corrections (IDOC).

2. POLICY

It is the policy of the IDOC to recognize the value that contractors, as defined in this policy, contribute to accomplishing our mission. Contractors can provide significant assistance in meeting the needs of the Iowa Department of Corrections.

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3. DEFINITION - As used in this document:

Contractor - A paid non-IDOC person, who directly or indirectly, provides services on a recurring basis to the IDOC, its staff, or incarcerated individuals/clients with or without a contractual agreement. (Note: Per DOC definition, volunteers (unpaid) are not considered contractors. See IDOC policy **AD-CI-03** *Volunteer Programs in Community-Based Corrections* for guidance on Volunteer Programs).

4. PROCEDURES

A. Functions of Contractors

1. A contractor program serves to supplement existing IDOC staff resources to provide services that are not currently available, and to promote the integration of public and correctional entities.
2. The level of knowledge and skill necessary to deliver the various types of contracted services may vary greatly. When professional level or specialized services are provided, IDOC staff shall ensure that the contractor has the proper credentials (license, certification, etc.) to perform the services.
3. Services may be provided directly or indirectly for incarcerated individuals/clients, the institution/district or for staff.
4. As members of the public, contractors are representatives of those we serve. Contractors' interactions with others within their communities has a direct impact on the public's knowledge and perception of the work we do.

5. The Warden/District Director/Designee may temporarily discontinue contractor services due to facility emergencies or staffing shortages at their discretion. An attempt shall be made to notify contractors of cancellation of services.

B. Program Coordination

1. Each institution/district shall appoint a staff member(s) to be responsible for coordinating the contractor programs and activities. The site coordinator shall oversee the recruitment, screening, orientation/training, and supervision of all contractors and their activities utilizing the IDOC *Contractor Orientation Checklist*, **AD-CI-04 F-2**.
2. Site coordinators shall utilize the Non-IDOC Personnel PREA Database on the DOC Portal to maintain a master list of contractors providing services in the IDOC and as documentation of the completion and currency of training, record checks, and screening requirements. <https://docwebapps.doc.gov.state.ia.us/VolunteerPREA/main/>
3. Contractor applications, approvals, and training records shall be retained by the site coordinator/designee for three years following the completion of their services, per **AD-GA-18 Records Retention**.

C. Eligibility

1. Contractors must be at least 18 years of age.
2. No person has an entitlement to selection as a contractor.
3. Former incarcerated individuals/clients previously under supervision may be considered for approval providing they have displayed successful adjustment in the community for a minimum of 18 months after discharging all correctional supervision and remain crime free. The decision to approve a former incarcerated individual/client once they have met these minimum requirements is subject to the Warden/District Director/Designee's approval.
4. Relatives and approved visitors of incarcerated individuals/clients shall not normally be approved as contractors. The Warden/District Director must approve any exceptions.

5. Former IDOC staff members that left in good standing may be approved as contractors. Former IDOC staff members who were not in good standing at the time they left employment or have not remained in good standing shall not be approved as contractors.
6. The screening process should be uniform and consistent with security practices.

D. Application Process

1. The application form **AD-CI-04 F-1** must be filled out completely and honestly. Any attempt to omit or falsify information shall constitute cause to deny contractor services.
2. All applicants shall have a criminal history check through the National Crime Information Center (NCIC).
3. All applicants shall have an ICONView check conducted.
4. **For institutions only:** If a contractor has been removed from an incarcerated individual/client's visiting list or had an active Corrlinks account, six months must elapse before a contractor application can be made. The Warden must approve any exceptions.
5. The site coordinator or other executive level staff shall make a final determination to allow or deny the contractor.

E. Registry and Identification of Contractors

1. The site coordinator will be responsible for maintaining entries in the Non-IDOC Personnel PREA database. This includes entering ICONView and NCIC check dates annually and ensuring the required checks are completed prior to the approval expiry date.
2. Contractor IDs shall be issued to regularly scheduled/recurring contractors and shall be worn and visible while they are on the premises and acting in their contractor capacity.

F. Training and Supervision

1. An orientation/training session shall be completed with contractors appropriate for their functions and the service they provide. This shall be completed and documented prior to initiation of the contractor service.¹ This may be completed electronically.
2. PREA Contractor training.
 - a. The agency shall ensure that all contractors who have contact with residents have been trained on their responsibilities under the agency's sexual abuse and sexual harassment prevention, detection, and response policies and procedures.
 - b. The level and type of training provided to contractors shall be based on the services they provide and level of contact they have with residents, but all contractors who have contact with residents shall be notified of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report such incidents.
 - c. The agency shall maintain documentation confirming that contractors understand the training they have received. **§ 115.232**
3. All contractors shall sign the IDOC Liability Release Form **AD-GA-22 F-1** prior to being transported in a state vehicle.
4. Training provided to contractors shall be documented on **AD-CI-04 F-2**, *Contractor Orientation Checklist* and at a minimum, include:
 - a. Confidentiality of client's information IDOC policy **AD-PR-29**.
 - b. IDOCs zero tolerance policy regarding sexual abuse and violence, and their responsibilities regarding prevention, detection and response to sexual violence while working in IDOC facilities.
 - c. PREA Training for Volunteers/Contractors (online training)²

¹ PREA Standard §115.32(c)/§115.232(c)

² PREA Standard §115.31(a)(1-10)/§115.231(a)(1-10)

- d. CJIS Training, if required based upon the Access Level & Activity following the guidelines below:
- 1) Tier 1 (High) - Unescorted access to virtual and physical areas where CJI is stored, processed, or transmitted, or performing functions that grant logical access to CJI. CJIS Training and Fingerprinting required. Examples: IT Staff (contracted or employee), Network Engineers, Facility Maintenance with full access, Vendors performing CJI-related work.
 - 2) Tier 2 (Medium) - Escorted access to physical areas where CJI is stored, processed, or transmitted, or performing work that could inadvertently expose them to CJI. CJIS Training not required. Examples: General Building Maintenance, Cleaning Services, Contractors in the vicinity of CJI-processing areas. (Escort is required and staff shall ensure CJIS security requirements.)
 - 3) Tier 3 (Low/Exempt) - No access to physical areas where CJI is stored, processed, or transmitted. Access is limited to public/common areas, or they are servicing equipment where CJI is probably not present. CJIS Training not required. Examples: Vending Machine Vendors (in public areas), Landscapers, Delivery Personnel (who do not enter secured areas), etc.

G. Conduct

1. Contractors shall abide by all department rules and regulations, shall cooperate with staff at all times, and shall refrain from inappropriate conduct with incarcerated individuals/clients, a client's family, or associates. Incidental and non-planned community contact with incarcerated individuals/clients is not a violation of this policy.
2. Contractors shall adhere to maintaining confidentiality both while serving as a contractor with the IDOC and agree that the confidentiality agreement will continue after leaving their term. This includes refraining from posting on social media sites about the nature of their contractor services without written permission from the IDOC Chief of Staff or approved designee. Each institution/district may elect to complete random checks for compliance.

H. Contractor Status Review

Contractors continuing their services shall complete the PREA online training annually. Local procedures shall establish protocol for a yearly review of approved contractors. The review of individual contractors shall include a current NCIC check, ICONView search, an evaluation of performance, and determination of continued contractor involvement. Program review may include review of the program goals, progress toward those goals, and determination of need for the program revision or elimination.

I. Denials and Termination

1. Contractors and their services may be denied or discontinued at the discretion of the Warden/District Director/Designee at any time. Denials and terminations must be entered in the Non-IDOC Personnel PREA Database and communicated with any other institution/district that is identified as an approved site.
2. Any contractor who engages in sexual abuse shall be prohibited from contact with incarcerated individuals/clients and shall be reported to law enforcement agencies, unless the activity was clearly not criminal, and to relevant licensing bodies.³
3. The institution/district shall take appropriate remedial measures and shall consider whether to prohibit further contact with incarcerated individuals/clients, in the case of any other violation of IDOC sexual violence or sexual harassment policies by a contractor.⁴

³ PREA Standard §115.77(a)/§115.277(a)

⁴ PREA Standard §115.77(b)/§115.277(b)

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