



# North Carolina Department of Public Safety

*Prevent. Protect. Prepare.*

Roy Cooper, Governor

Erik A. Hooks, Secretary

## MEMORANDUM

**TO:** Chairs of the Joint Legislative Oversight Committee on Justice and Public Safety

**FROM:** Erik A. Hooks, Secretary *EAH*  
Reuben Young, Interim Chief Deputy Secretary *RY*

**RE:** Prison Reform Report

**DATE:** February 1, 2019

*Pursuant to Session Law 2018-05 SECTION 16C.2.(b), "The Department of Public Safety (Department) shall report quarterly beginning November 1, 2018, and continuing quarterly until November 1, 2019, to the Joint Legislative Oversight Committee on Justice and Public Safety on the implementation of the recommendations contained in the National Institute of Corrections Security Operational Assessment report of November 2017.*

*The report by the Department shall include all of the following:*

- (1) All modifications to Department rules, policies, and procedures related to disciplinary actions against correctional officers and other correctional staff.*
- (2) All modifications to Department rules, policies, and procedures related to disciplinary actions against inmates.*
- (3) Information regarding improvements in collaboration between the Department and Correction Enterprises.*
- (4) The amount, content, quality, and frequency of staff training.*
- (5) Modifications to inmate work assignments, including assessments of the appropriateness of particular work assignments based on inmate classification.*
- (6) The results of security audits and inspections, listed both by facility and aggregated.*
- (7) Facility infrastructure improvements made to emergency communication, location tracking capabilities, and installation of additional cameras.*
- (8) Increased availability of staff personal safety equipment and institutional safety equipment.*
- (9) Adequacy of staffing of prison facilities and actions taken to increase staffing levels.*
- (10) Changes to the hiring and orientation processes and procedures for correctional officers.*

## OVERVIEW

As 2019 begins, the Department of Public Safety (DPS) continues its focus within the Division of Adult Correction and Juvenile Justice to improve the safety and security of the state's prison system. Many improvements have been made, and others are in various stages of implementation.

As noted in the initial Nov. 1, 2018 prison reform report, the agency is approaching its ongoing work through a strategic plan framework, establishing five multi-disciplinary workgroups to identify opportunities for improvement, research best practices, and propose solutions. The five workgroups are:

1. Enhancing Security Policies and Practices
2. Reducing Contraband in Prison Facilities
3. Increasing Hiring and Retention
4. Improving Training for New and Veteran Employees
5. Improving Communication with Internal and External Stakeholders

In addition to utilizing the experience and expertise of its staff, the department continues to actively enlist the aid of organizations such as the National Institute of Corrections (NIC) and other corrections leaders to seek guidance, counsel, and identify best practices. In September 2018, Gary Mohr joined DPS as a Senior Executive Advisor. Mr. Mohr came to DPS after serving as the director of the Ohio Department of Rehabilitation and Correction (ODRC) since 2011; he is the current president of the American Correctional Association. Mr. Mohr's expertise is already having an impact on North Carolina's prison system through the implementation of his "Back to Basics" training that engages facility front-line and supervisory staff in dialogue regarding potential incidents and ways to mitigate the risk of occurrence.

DPS leadership also continues to receive input and counsel from its Prison Reform Advisory Board, which met four times in 2018, and has meetings scheduled throughout 2019.

The Department appreciates and values the support of and collaboration with the General Assembly to fund and enact meaningful reform. DPS leadership welcomes the opportunity to share its progress regarding prison reform from Oct. 1, 2018-Dec. 31, 2018 in this report, and future quarterly reports.

In response to the specific requirements outlined in SL 2018-05 Section 16C.2. (b) for the report, DPS provides the following:

**(1) All modifications to Department rules, policies, and procedures related to disciplinary actions against correctional officers and other correctional staff.**

DPS developed and piloted a new system to manage the confidential review and electronic dissemination of information related to staff investigations. The tool, known as the Employee Relations System (ERS), is an automated centralized disciplinary/investigation system developed to track staff job performance and personal conduct issues in the workplace. The system is being implemented agency wide beginning in January 2019.

As reported previously, DPS implemented the updated Office of State Human Resources (OSHR) Disciplinary Action Policy effective Oct. 1, 2017. The policy serves as a resource for managers and employees about maintaining expectations of satisfactory job performance and acceptable personal conduct. When performance expectations are not maintained or when the need arises to address unacceptable personal conduct, the policy provides an approach to improve deficiencies and specific procedural requirements to impose disciplinary action, when necessary.

**(2) All modifications to Department rules, policies, and procedures related to disciplinary actions against inmates.**

Prisons continues to review and update operational and offender-related policies. Table 1 lists the policies related to disciplinary actions against offenders that were modified through the Dec. 1, 2017 – Dec. 31, 2018 reporting period. A summary of policy changes listed in Table 1 was provided in the Nov. 1, 2018 report.

**Table 1 - Modified Prisons Policies Related to Inmate Disciplinary Actions**

<b>Policy Chapter</b>	<b>Policy Title</b>	<b>Date of Revision</b>
Chap. F .1500	Use of Force	03/26/18
Chap. B .0100	Sentence Credits	8/10/18
Chap. B .0200	Disciplinary Procedures	1/3/18 & 8/10/18
Chap. D .0200	Visitation: Policy/Procedure	8/13/18
Chap. C .1300	Restrictive Housing Control Purposes	8/10/18
Chap. C .1700	High Security Maximum Control	8/10/18

As a result of policy changes noted in Table 1, offenders found guilty of an assault on staff resulting in serious injury will have visitation suspended for a minimum of 12-24 months. A review will be conducted after the initial 12 months to determine if restoration of the visitation privilege is warranted, based on the offender's behavior. Once visitation privileges are restored, only non-contact visits will be allowed for the remainder of the offender's period of incarceration. Offenders will also be placed in a Rehabilitative Diversion Unit (RDU) after serving a minimum of 12 months in restrictive housing for control purposes. Additionally, offenders will be considered for out-of-state housing, and will forfeit current and future good, earned, and merit time. As of Dec. 31, 2018, this sanction has been applied to four offenders.

In addition to changes already enacted, the Department continues to review existing policies to determine if additional modifications may enhance the safety and security of facilities. Table 2 lists security-related policies modified from October to December 2018. To date, approximately 54 policies have been reviewed, modified and re-issued. This includes policy changes to the Prisons Policy and Procedure Manual, Security Manual and Health Services Manual.

**Table 2 - Security Related Polices updated from October – December 2018**

<b>Policy Chapter</b>	<b>Policy Title</b>	<b>Date of Revision</b>
Chap. C .2800	Offender Assignment	10/02/18
Chap. F .3300	Prisons Entrance/Exit	10/29/18
Chap. F .1600	Management of Security Post	10/26/18
Chap. F .0800	Contraband Control	11/06/18
Security Manual .1400	Standardized Equipment	10/30/18
Chap. F .1000	Control of Offenders	11/13/18

Prisons is constantly exploring methods to improve safety, security, and overall operations. This includes ensuring all offenders have an opportunity to reside within Prisons facilities without fear of intimidation or undue influence to commit illicit acts for monetary gain. As a result, effective Feb. 5, 2019 Prisons will restrict depositors into an offender's trust fund account to only those listed as approved visitors. This practice has been implemented in other state corrections agencies such as Ohio, Indiana, and Georgia.

**(3) Information regarding improvements in collaboration between the Department and Correction Enterprises.**

The agency is enhancing collaboration between Prisons and Correction Enterprises on multiple fronts. For example, Prisons and Correction Enterprises leadership are meeting on a consistent basis to discuss ongoing operational needs and future projects. In December 2018, the directors of Prisons and Correction Enterprises visited Enterprises operations at N.C. Correctional Institution for Women. The Correction Enterprises director presented an overview of Enterprises at the Nov. 14, 2018 Prison Reform Advisory Board meeting. Either the Correction Enterprises director or deputy director have attended the monthly Prisons meetings with the region director and management team. During the Oct. 1-Dec. 31, 2018 reporting period, Correction Enterprises general managers attended monthly meetings of Prisons' facility heads on a regional basis. Additionally, Correction Enterprises general managers are meeting with facility administrators on a regular basis. Plant managers for Correction Enterprises are attending interdisciplinary meetings at prison facilities where plants are located. The Correction Enterprises safety consultant is providing copies of semi-annual safety inspections of Enterprises plants to the respective prison facility heads. Finally, prison facility heads are included in Correction Enterprises' annual business planning process. Measures to address improved safety and security collaboration between Prisons and Correction Enterprises are addressed in section 6 of this report.

**(4) The amount, content, quality, and frequency of staff training.**

Prison employees receive training on various topics throughout the year, beginning with New Employee Orientation during their first week of employment. In their second week of employment, all new correctional officers and case managers begin a four-week, 160-hour Basic Correctional Officer Training (BCOT) program, which is taught by Office of Staff Development and Training (OSDT) certified instructors. From Oct. 1, 2018-Dec. 31, 2018, 434 students in 21 classes completed basic training. During 2018, a multi-disciplinary team from OSDT and Prisons reviewed and modified the standard curriculum for basic correctional officer training and recommended expansion of the program to six weeks. In November 2018, DPS received provisional approval from the N.C. Criminal Justice Education and Training Standards Commission (CJETS) to begin teaching the new six-week curriculum in January 2019. On an annual basis, both certified and non-certified employees complete 40 hours of in-service training on various topics such as firearms recertification, control restraints and defensive techniques, bloodborne pathogens, fire safety, and maintaining professional boundaries. In-service training for certified Prisons staff is provided by instructors at community colleges in geographic proximity to prison facilities through formal cooperative agreements.

Supervisory training for front-line supervisors, mid-level managers, and prospective agency leaders is conducted by OSDT. First Steps for first-line supervisors and Peak Performance for mid-level managers are week-long courses. The Correctional Leadership Development Program is a year-long class, which culminates with a capstone group project.

Supervisory training continues to be a priority in 2019, with additional front-line supervisor and mid-level manager classes scheduled by OSDT. Credible Leadership, a new online program developed in partnership with Wake Technical Community College and the International Academy of Public Safety, is in the final stages of development. The course, hosted by Wake Tech, will be available at no cost for certified staff and is designed to be delivered in three phases, and will help to reinforce and enhance the leadership lessons learned in traditional classroom environments.



Prisons staff have an opportunity to participate in the Teambuilding Attitude Conflict Transformation (TACT) training which is geared towards improving relations among staff, cooperation between departments and allow for a clear focus on departmental goals.

In order to reinforce correctional operational principles, the curriculum for unit management training was updated. Unit management is an approach to offender and institutional management that delegates decision-making to a unit team that works collaboratively in close proximity to each other and to the offenders they manage. Through Dec. 31, 2018, 137 employees participated in the revised training.

In addition to OSDT and Prisons management, DPS Human Resources conducts training on various topics including interviewing, mediation, and diversity. Appendix A provides a summary of training classes, hours, and number of students from Oct. 1, 2018 to Dec. 31, 2018.

**(5) Modifications to inmate work assignments, including assessments of the appropriateness of particular work assignments based on inmate classification.**

As noted in the November 2018 report, a new policy regarding offender job assignment was approved in October 2018 and formalizes actions taken immediately following the tragedy at Pasquotank Correctional Institution regarding assignment of offenders to Correction Enterprises and incorporates other changes. In relation to Correction Enterprises assignments:

- No close custody male offender shall be assigned to a Correction Enterprises job, except for Central Prison Laundry.
- No male offender under the age of 35 with a conviction of an assaultive crime against a person shall be assigned to a Correction Enterprises job; and
- No offender convicted of an assaultive crime against a government official shall be eligible for any assignment that allows for access to a Class A tool, which is defined as a tool that can be used to effect an escape, or cause injury or death to staff or other offenders.

Offender job assignments are based on:

- Ensuring the safety and security of the prison, the staff, and public;
- Meeting the treatment and rehabilitative needs of the offender based on individual Service Priority Level (SPL) and/or other relevant assessment tools; and
- Fulfilling the essential functions and/or the criteria of the assignment.

Offenders who are qualified to fulfill the essential functions of a job and who are assigned a job may not refuse the assignment. Offender refusal may result in disciplinary action. The institution head may refuse an assignment to any offender based on Security Precaution Factors (SPF) or who, in the judgment of the institution head, constitutes a serious threat to the safe, secure and orderly operation of the facility.

Revisions to the Offender Assignment Manual and associated forms are under review by the management staff of the Re-Entry, Programs and Services section.

In addition, the offender custody classification instrument is being revalidated with training and implementation anticipated in summer 2019. The National Institute of Corrections is providing technical assistance for the revalidation process.

**(6) The results of security audits and inspections, listed both by facility and aggregated.**

Following the 2017 incidents at Bertie and Pasquotank, 41 safety and security assessments were conducted at all Correction Enterprises operations, all close custody facilities, and major medium custody facilities throughout the state. Assessments were based on Prisons policy and facility standard operating policies and were conducted by an independent group of former correctional professionals with explicit knowledge of prison operations. After receiving the assessments, Correction Enterprises and Prisons staff worked collaboratively to implement corrective action, and prioritize plans for other needed actions such as adding cameras. Standard operating procedures (SOP) for Prisons and Correction Enterprises security practices were consolidated into a single SOP at prisons where Correction Enterprises plants are located to ensure consistency and uniformity in policy application.

In October 2018, the Correction Enterprises director and industry general manager reviewed and followed up on the security assessments to assess and ensure implementation of any recommended corrective action. In January 2019, security compliance auditors from the Prisons Security Accountability Section began reassessments to determine compliance with previously identified deficiencies and identify any new concerns. The security compliance auditors' reviews are separate and independent from unannounced security audits.

Among the actions to enhance security within Correction Enterprises plants are removing seldom used or unnecessary tools, increasing correctional officer posts in plants where needed, adding security cages in tool rooms and inventory storage areas, installing door alarms where recommended, and relocating equipment workstations and inventory to improve line of sight. Examples of security enhancements include a 50% reduction of scissors and other cutting tools at Correction Enterprises sewing plants, a 50% reduction of tools at Caledonia's Correction Enterprises farm, and replacement of pneumatic nail guns with cordless screwdrivers at the Franklin sign plant. Harnett and Nash correctional institutions, including the Correction Enterprises plants located within those facilities, are piloting a web-based tool inventory application which will improve control and monitoring access to tools by offenders. Domed security mirrors are being installed in areas of facilities not feasible for cameras.

A centralized security accountability section created within Prisons in December 2017 consists of 16 security compliance auditors. In February 2018, the National Institute of Corrections trained 24 staff to conduct security audits using a standardized audit tool. Following the NIC training, Prisons staff used the NIC model to develop a new security audit tool, which contains 336 standards, and updated policy regarding security standards.

In September 2018, the team began unannounced audits and completed 18 unannounced security audits by Dec. 31, 2018. In 2019, the security accountability section will conduct unannounced security audits at 55 facilities on an annual basis. The findings of the audits are recorded in a formal report. Any deficiencies and/or best practices are communicated in writing and during daily verbal debriefs. Non-emergency deficiencies are required to be corrected within 30 days. Any major life/safety findings must be corrected immediately.

Regional inspections, focused on general operational functions and sanitation, continue to be conducted annually under the guidance of Prisons regional staff.

As noted in the Nov. 1, 2018 report, pursuant to G.S. 132-1.7, results of security audits and inspections are not public records, and therefore, are not included in the quarterly prison reform legislative reports.

**(7) Facility infrastructure improvements made to emergency communication, location tracking capabilities, and installation of additional cameras.**

The Department is working to upgrade its security infrastructure and technology on several fronts:

**Man-Down Technology**

DPS continues to work toward deployment of personal alarm "man-down" technology through Prisons' existing radio network. The DPS Radio Communications team is upgrading Prisons' radios to new Next Generation Digital Narrowband (NXDN) radios for a statewide trunking system to provide more secure and comprehensive coverage than the current system. A trunking radio system is a computer-controlled network that connects users to available channels.

Three pilot facilities - Harnett, Franklin, and Nash - received new radios for all staff and equipment for the new man-down alert system.

DPS will use the three pilot facilities to test and modify the equipment. Installation of the radio frequency technology is complete at the three pilot locations. Asset tracking at Franklin is complete, with prison buildings being upfitted with sensors and positioning equipment. Asset tracking includes installation of controllers and switches to manage data through the tracking system and networked Bluetooth Low Energy (BLE)/WIFI sensors that will provide pinpoint location capability of staff in distress when the button on their assigned radio is activated.

Preliminary design work and Federal Communications Commission (FCC) license modifications are underway at 24 additional facilities. When the system is fully functional, all employees will be assigned a radio equipped with the man-down distress capability and all visitors will be assigned a personal alarm device programmed with pinpoint location capability.

DPS designated a project manager to oversee and coordinate the man-down project to ensure that multiple disciplines such as custody and operations, facility maintenance, information technology, radio communications, and engineering are collaborating and communicating in development and management of the project timeline and implementation.

**Cameras**

DPS Central Engineering and Prisons Facility Maintenance staff are coordinating efforts to design, purchase, and install additional high definition cameras to enhance camera surveillance within prisons. Since April 2017, nearly 1,150 cameras have been installed, including 300 between Oct. 1, 2018 and Dec. 31, 2018. DPS secured funding through a special \$1.5 million reallocation from the Office of State Budget and Management in January 2018, and over \$5 million in funds from the General Assembly to install more than 3,000 additional cameras. To date, approximately \$884,000 of the \$1.5 million allocation has been spent on camera projects and \$550,000 of the \$5 million allocation has been spent on camera projects.

Construction is scheduled to begin on camera projects at nine facilities during the first quarter of 2019. The new projects will result in the installation of 1,129 cameras at a cost of \$1.7 million. As reported previously, DPS is actively working on multiple strategies to install the funded cameras. DPS' installation strategy includes hiring temporary staff to work alongside maintenance staff as a force multiplier for the project. However, the state salary scale, and the demand for tradespeople in the community due to economic growth and hurricane recovery have hampered DPS' ability to hire the needed workers. DPS continues to explore other

strategies, including contracting portions of the installation work, although doing so is estimated to cost four times more than completing the projects with internal resources. DPS Central Engineering is developing project design packages for two Correction Enterprises locations. Bids will be solicited from private vendors, and once received, will be evaluated for quality and price to determine if the projects will be outsourced or completed in-house.

**(8) Increased availability of staff personal safety equipment and institutional safety equipment.**

The agency continues to review and consider what personal and institutional safety equipment provides the greatest enhanced security to its staff.

**Safety Package**

Prisons is instituting a consistent safety package - (batons, radios, and increased concentration OC pepper spray) - for certified staff across all facility security levels. This includes custody staff and programs staff. Programs staff were issued radios, batons, and higher concentration OC pepper spray. For custody staff, officers in medium and close security facilities received higher concentration pepper spray, and officers in medium custody were issued batons. Batons are ordered for custody staff in minimum security facilities, and are expected to arrive by February 2019. Custody staff in all facilities have a radio assigned to them. Since Dec. 1, 2017, DPS purchased more than 6,400 radios to replace old radios still in service. Non-certified staff, such as maintenance, medical, and Correction Enterprises, were approved to carry OC pepper spray upon completion of training. More than 4,000 non-certified staff were issued safety whistles in August 2018. The whistles are intended to serve as a method to alert other staff for assistance when no other means of communication, such as radio or telephone, is available.

**Stab-resistant Vests**

Prisons is providing 13,000 stab resistant vests for its employees. To date, vests have been issued to staff in close and medium and a majority of minimum custody facilities. Orders are pending for two female facilities – N.C. Correctional Institution for Women and Neuse Correctional Institution. Based on feedback from staff, Prisons is transitioning to a lighter-weight material for its uniform shirt, which should improve overall comfort of the vest when paired with the uniform.

**Tasers**

A pilot program is underway for the use of Tasers, when warranted, by custody supervisors at four close custody facilities - Maury, Scotland, Marion, and Pasquotank. Policy regarding appropriate use of Tasers is in place and training for staff identified to carry Tasers is complete at three of four locations. Staff approved and trained to carry Tasers are equipped with this additional security tool at three of the four pilot locations.

**Institutional Safety Equipment**

While much of the purchased equipment focuses on use by individual employees, DPS is also improving security for staff by deploying technology to detect, intercept and block the use of unauthorized cell phones in the facility. Prisons is currently implementing two methods of managed access systems: stationary systems and mobile. Scotland and Maury correctional institutions will have stationary managed access systems. Scotland is expected to be functional in spring 2019, with Maury anticipated to be operational in late summer 2019. The use of mobile managed access systems began in November 2018 and will continue until 30 assessments are complete. As of Dec. 31, 2018, six assessments were conducted. In addition, Prisons previously deployed Cell Sense phone detection equipment at every facility.



Portable towers that span 14 feet were ordered for nine close and medium security facilities. The towers will improve safety and security on facility offender recreation yards and other areas as needed through an elevated, unobstructed aerial view of the area. Towers have been delivered and training is scheduled.

Firewalls have been installed in 64 Prisons locations to provide cyber security measures that didn't exist previously. The firewalls are fully implemented with a security policy consistent with agency and state requirements. Subscription cyber intelligence services provide real-time threat updates to the firewalls, which allows instantaneous adaption to new security postures. Additionally, programming was added to the firewalls to limit or eliminate some legitimate web sites or services to minimize potential misuse and bandwidth consumption.

See section 6 for discussion on installation of man-down technology and additional cameras.

**(9) Adequacy of staffing of prison facilities and actions taken to increase staffing levels.**

Recruiting and retaining staff across multiple disciplines continues to present challenges for Prisons, as well as other sections within DPS and state government. The statewide vacancy rate for correctional officers was 18.68 percent in December 2018. The vacancy rate remained between 16 percent and 17 percent for much of 2018. The number of correctional officer applicants declined during the last four months of 2018; the decrease is likely attributable to the effects of Hurricane Florence, and the traditional seasonal decline of applicants during the holidays.

One of the most important ways the agency tries to ensure adequacy of staff in prisons is the daily review of offender population and staffing levels at each facility. Dynamic population management techniques are critical to identify where offender populations can be shifted to promote higher staff to offender ratios. Because of this daily monitoring, Prisons management reduced offender populations at five close and medium custody facilities over the last year, in some cases resulting in entire housing areas being taken out of service which allowed facility heads to re-deploy existing staff to other locations in the prison.

The high number of staff vacancies is also impacting DPS's ability to accept new offenders who are being sentenced to serve active prison sentences through the state court system. As a result of taking housing areas out of service due to vacancy rates in some prisons, there is now a backlog of offenders in county jails awaiting transfer to the state prison system. The jail backlog remained low from June 2018 until November 2018, when numbers climbed to several hundred offenders a day awaiting transfer. DPS pays counties \$40 a day for each day an offender is awaiting transfer to the state prison system.

**Recruitment**

As previously reported, a recruitment team within the DPS Human Resources office was established in March 2018 to increase recruitment of correctional officers, and to build on previous recruitment initiatives. Four full-time positions focus exclusively on correctional officer recruitment, and other recruiters also promote correctional officer careers in their outreach. Since the unit's inception, recruiters participated in more than 370 events throughout the state, including 120 from Oct. 1-Dec. 31, 2018. Recruitment staff regularly partner with NCWorks staff from the Department of Commerce and the Department of Military and Veterans Affairs. The strategy of actively partnering with other educational and governmental organizations throughout North Carolina is a cornerstone of the recruitment effort. For example, North Carolina National Guard recruiters now provide information to approximately 1,200 individuals joining the National Guard. Likewise, DPS is actively partnering with NC community colleges on two fronts. The first is to provide information about correctional officer career opportunities to students enrolled in high school equivalency

programs. The second is the proposed development of specific course work designed to inform and prepare current students of career opportunities within the prison system. Recruitment events also occur at local prison facilities, high schools, community colleges, other colleges and universities, community events, civic organizations, and military installations. Recruiters are assigned to designated prisons and are partnering with facility staff to promote career fairs in the local community. The recruitment team updated promotional materials and display items to project a more modern and professional image at employment events.

The agency is also developing a marketing and recruitment campaign to promote career opportunities in corrections. The campaign, focusing on digital and social media, is expected in the first quarter of 2019.

### **Retention**

Retention is key to stabilizing the prisons workforce. Retention initiatives include:

- Establishment of a Facility Enhancement Fund, from revenues generated through Correction Enterprises, to provide facilities an annual allocation ranging from \$1,000 to \$3,000 to develop programs and activities to increase morale and enhance personal and professional development among correctional employees. The fund and associated policy took effect July 1, 2018. As of December 2018, 24 of 55 prisons used all or a portion of their allocated funds to host staff recognition events, training, and other staff activities. Some facilities are providing small commemorative items such as a North Carolina flag coaster, logo-engraved pens, and facility travel mugs or tumblers as tokens of appreciation.
- Implementation of an Employee Recognition Program to honor Prisons employees for exemplary service on the job and in the community. Many facilities have a long-standing practice of recognizing employees and the Department of Public Safety has a Badge of Excellence recognition program. The new Prisons policy complements those efforts by adding recognition at the regional level on a quarterly basis and annually on a statewide Prisons level. The 2018 statewide recognition event is scheduled for February 2019.
- Development of a Field Training Officer (FTO) program to mentor new correctional officers after they complete Basic Correctional Officer Training. See section 10 for a discussion of the FTO program.
- Development of an Integrative Behavioral Health Services program to address the mental health needs of employees who suffer work-related primary and secondary victimization or stress arising out of critical incidents or their ongoing dangerous work environment. Funded through a two-year grant from the Governor's Crime Commission, the program will employ behavioral health professionals deployed throughout the state in correctional and law enforcement settings. Total budget for the program is \$4.3 million, including federal and state funds. The program will be integrated with the current Employee Assistance Program, as well as existing DPS peer-to-peer outreach programs.

### **(10) Changes to the hiring and orientation processes and procedures for correctional officers.**

The hiring process for correctional officers is multi-faceted and contains many Criminal Justice Education and Training Standards (CJETS) requirements for certification. Hiring process responsibilities are shared between DPS Human Resources and Prisons facility, region, and central administration staff. The hiring process has been reviewed and modified

many times during the last decade, and DPS continues to review processes to determine what improvements can be made. The hiring process includes the following distinct components: application, background check, interview, Criminal Justice processing, pre-employment medical and psychological assessments, and hiring approval.

### **Single Application**

DPS continues to utilize one job posting for all correctional officer levels (CO I, CO II and COIII). The consolidation of the three levels of correctional officer position into a single posting was implemented in March 2018.

### **Expanded Background Check**

As noted previously, a qualified applicant undergoes a criminal background check to ensure employment and certification eligibility as required by agency policy and the CJETS Commission. Reference checks are conducted if previous employment is disclosed at any law enforcement and/or corrections agency. Military records and/or court records may be requested to determine eligibility. In August 2018, the reference check requirement was expanded to include any security agency experience and any previous employer from which an applicant was involuntarily terminated. The change was implemented to align agency procedures with Criminal Justice Standards requirements, and to improve the selection process.

### **Physical Abilities Test**

In February 2018, DPS moved the Correctional Officer Physical Abilities Test (COPAT) from a pre-employment setting to a post-employment requirement. With this change, new hires were given three opportunities to pass the test, with the first attempt coming at the end of Basic Correctional Officer Training (BCOT) and a requirement to pass by the tenth month of employment as a condition of continued employment. To further encourage recruitment, effective Jan. 1, 2019 DPS suspended the use of COPAT until an alternative tool to assess physical ability to complete essential job functions can be established.

### **Interviews**

DPS continues to refine the interview process for CO applicants. As reported previously, from January 2015 to June 2018, all CO interviews were conducted at a region office, with the interview panel consisting of representatives from multiple prisons. While regional interviews had benefits, they also removed facility heads from the direct selection of their employees. This resulted in prison supervisors welcoming new staff to their facility who they did not know and had not selected. Further, the regional interview concept meant that most new employees had not been in a prison until they reported to work, making the onboarding process more challenging.

As a result, in June 2018, Prisons management initiated a facility-based CO interview pilot at 10 facilities with the highest number of vacant positions. Goals of the pilot included establishing a relationship between the prison facility and applicant early in the hiring process, reducing vacancies, targeting hiring for prison facilities with critical needs, reinstating authority to the prison facility in hiring decisions, improving morale, and creating community interest in working at the prison location. Effective Jan. 1, 2019, Prisons expanded the facility-based CO interview pilot to all 55 facilities.

As noted in the previous report, the agency currently uses a third-party contractor to complete the pre-employment physical and psychological evaluations. During the initial 10-facility pilot, the agency partnered with the contractor in the Eastern and Central regions to conduct its pre-employment assessments on the same day the candidate completed employment forms at the Regional Employment Office, eliminating at least one trip for the selected applicant. With full implementation of facility-based CO interviews, the agency will continue this process in the Eastern and Central regions. The same-day processing model is not feasible in the South Central

and Western regions due to the geographic proximity of DPS regional HR offices and vendor locations.

#### **Timing of Basic Correctional Officer Training**

As previously reported, all new Prisons employees complete 40 hours of orientation during their first week of employment. Throughout 2018, new correctional officers attended BCOT during the second week of employment. This onboarding process was adopted in July 2017 to address the need to get new officers more fully trained before they assumed their duties. Prior to July 2017, new officers were scheduled for BCOT anytime within the first year of employment. Effective Jan. 1, 2019, Basic Correctional Officer Training expanded from a four-week, 160-hour program to six weeks and 240 hours.

#### **Correctional Officer Field Training Program**

Prisons continues to implement the Correctional Officer Field Training Program, which was initiated in April 2018 and pairs a new basic training graduate with a field training officer (FTO) for three weeks of facility-based "hands-on" experience before a new officer is assigned to work a post independently. The opportunity to apply the skills learned in training under the direction and guidance of a seasoned officer prepares front-line staff with the necessary skills, qualities, and confidence to effectively meet the challenges they face daily once assigned to an individual post.

Currently there are 434 FTOs and more than 960 new correctional officers have completed the three-week training program.

#### **CONCLUSION**

DPS leadership appreciates the opportunity to report on progress to implement prison reform initiatives. Additional details regarding prison reform can be found at <https://www.ncdps.gov/prison-reform>.



**Appendix A**  
**Training Offered Oct. 1, 2018-Dec. 31, 2018**

**Courses Managed by Office of Staff Development and Training**

<b>Course Title</b>	<b>Course Description</b>	<b>Total Classroom Sessions Completed</b>	<b>Training Hours</b>	<b>Total Completions (*Note 1)</b>
OSDT - Basic Correctional Officer Training	This is the 160-hour (4 week) basic training program for Correctional Officers and Case Managers.	21	160	434
NCDPS - Fire Safety (Classroom Only) (In-Service)	This training is equivalent to the online training course for all certified and non-certified Prisons in-service training. The purpose of Fire Safety Training is to identify the actions that should be taken by the North Carolina Department of Public Safety – Division of Adult Correction and Juvenile Justice (NCDPS - DACJJ) personnel in the event of a fire or similar emergency situation. In addition, actions are identified which must be implemented and documented, where required, in order to maintain fire protection systems and assist in the prevention of fire on the NCDPS - DACJJ premises. The Fire Safety Training covers fire prevention, evacuation and emergency response.	19	1	61
OSDT - Concealed Carry Handgun - Annual In-Service	This class is designed to review the safety and legal considerations with the NCDPS - DACJJ staff that possess a NC Concealed Carry Handgun permit. This training will include a review of Concealed Carry Handgun laws; personal safety considerations; firearms safety rules and proper handling of the handgun to include a proficiency evaluation. Upon completion of this training, selected staff will be eligible to carry a departmental approved concealed carry handgun.	3	6	16



Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
OSDT - Staff & Offender Relations - Maintaining Professional Boundaries (Participants) (In-Service)	The purpose of this course is to provide the NCDPS – DACJJ staff with the skills and knowledge regarding maintaining professional boundaries in their relationships with offenders and juveniles.	166	2	2,261
OSDT - Unlawful Workplace Harassment (UWPH) - Initial Participant Course (In-Service)	The purpose of this course is to provide the NCDPS - DACJJ employees with a clear understanding of the NCDPS' zero tolerance for unlawful workplace harassment. This is the initial training course provided to all newly hired NCDPS employees with the exception of certified staff.	39	4	153
OSDT In-Service - Controls, Restraints and Defensive Techniques (CRDT) Phase I - Annual Refresher Training	This course is designed to provide NCDPS Adult Correction officers with refresher training in Controls, Restraints and Defensive Techniques (CRDT) which helps them handle violent offenders, withstand personal attacks and work effectively in emergency situations.	188	4	2,766
OSDT In-Service – Prisons / Community Corrections Block of Professional Ethics: On & Off Duty	The purpose of this course is to provide trainees with an understanding of ethics, ethical conduct and practice with making ethical decisions. This course can be used for new hire orientation and annual in-service training for all North Carolina Department of Public Safety – Division of Adult Correction and Juvenile Justice (NCDPS - DACJJ) Sections.	70	2	284
OSDT In-Service - Unlawful Workplace Harassment (UWPH) - Refresher Course for NCDPS - DACJJ Staff	This class provides the NCDPS - DACJJ employees with a clear understanding that the NCDPS has a zero tolerance for harassment of any kind and is committed to prevention and eliminating of all workplace harassment behavior and retaliation.	142	1	1,939



Court Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
In-Service- Occupational Exposure to Infectious Diseases (BBP)	The purpose of this course is to assist the NCDPS – DACIJ employees and offender workers in eliminating or minimizing occupational exposure to blood borne pathogens and tuberculosis through education and training in compliance with Occupational Safety and Health Administration (OSHA) Rule 29 part 1910.1030, NC Tuberculosis Control Program (10ANCAC 41A.0205) and recommendations from the Center for Disease Control and Prevention (CDC). Every instructor tasked with teaching this course has successfully completed the eight (8) hour Occupational Exposure to Infectious Diseases (BBP) Instructor Training Program taught and coordinated by the NCDPS Safety, Occupational and Environmental Health Office located at 2020 Yonkers Road, Raleigh, NC 27604, 919-716-3590.	99	2	233
Prisons- OC Pepper Spray (SOP Refresher) (In-Service)	The purpose of this course is to provide Prisons personnel with a review of Pepper Spray (Oleoresin Capsicum), its chemical make-up, its correct application, legal considerations of application, first aid procedures for OC exposure and decontamination procedures.	134	2	1,645
Prisons In-Service - Expandable / Rigid Baton: Refresher	The purpose of this course is to provide the employee with a review of all skills learned during the Expandable / Rigid Baton: initial training or Correctional Officer basic training. This course will also review the escalation of trauma chart as well as the Prisons Use of Force Policy. This lesson plan will also cover the basic drawing techniques for use with the Monadnock Expandable / Rigid Baton for facilities which still use equipment.	125	4	1,708
Prisons In-Service - Fire Safety (822 Part III)	This training is designed to refresh each employee on the basics of using fire extinguishers to put out a fire.	61	1	211
Prisons In-Service - Prison Emergencies: Prevention and Response (822 Part II)	The purpose of this course is to prepare correctional staff to deal with prison emergencies in a safe, effective and lawful manner.	187	2	1,879
Prisons In-Service - Safe Search Practices (816-B)	The purpose of this course is to provide correctional employees with a comprehensive understanding of safe searching techniques as well as providing them with the necessary skills to conduct searches on offenders and searches within a facility.	112	2	1,544



Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
Prisons In-Service - Security Risk Groups within Adult Correction	The purpose of this course is to present Division of Adult Correction personnel who have a responsibility of supervising offenders assigned to the Prisons or Community Corrections a general working knowledge of Security Risk Groups presence, origins, characteristics and identifiers used by these groups in their working environment.	107	3	1,624
Prisons In-Service - Suicide Prevention / Self-Injurious Behavior	The purpose of this course is to familiarize the participant (usually a non-Mental Health staff member) with the changes in the policy, the risk factors usually present in cases of self-injury and the actions required of them in cases where the risk factors indicate preventative measures are necessary, to provide Prisons staff with a clear understanding of the Suicide Prevention Program and the causes and procedures for dealing with offenders with self-injurious behavior tendencies.	193	2	2,020
Prisons In-Service Firearms - 501 Part I - Law & Policy Concerning Use Of Deadly Force	The purpose of this course is to provide the Prisons officer with a review of applicable law, department and section policy concerning the use of deadly force.	126	1	1678
Prisons In-Service Firearms - 501 Part II - Firearms Safety	The purpose of this course is to provide the Prisons officer with a review of Firearms Safety Procedures and the knowledge, skills and ability to handle firearms in a safe manner when on duty.	143	1	1,862
Prisons In-Service Firearms - 501 Part III - Handgun Proficiency / Requalification Training	The purpose of this course is to review and recertify the Prisons officers annually with the standard issue handgun.	130	3	1,668
Prisons In-Service Firearms - 501 Part V - Shotgun Proficiency Training	The purpose of this course is to review and recertify the Prisons officers annually with the standard issue shotgun.	131	2	1,621
Prisons - Reasonable Accommodations for Inmates with Disabilities (ADA)	This course presents to the personnel of Prisons, the Reasonable Accommodations for Inmates with Disabilities Policy and Procedures.	47	1	140



Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
PREA - Sexual Abuse and Sexual Harassment 101	The purpose of this course is to provide the NCDPS - DACJJ employees with an understanding of their role in preventing and responding to sexual abuse and harassment. This training will provide the NCDPS staff with a clear understanding of North Carolina General Statute 14.27.7, the Prison Rape Elimination Act and the NCDPS policies relating to offender / juvenile and staff sexual abuse and harassment.	105	1	301
OSDT - Situational Awareness	This course provides correctional staff with the knowledge and skills that will assist them in improving job performance as it relates to officer safety by increasing situational awareness during the course of their daily duties.	135	4	1,975
OSDT - First Steps to Supervision Leadership Course	The purpose of this course is to provide first line supervisory training to selected supervisory staff. "First Steps" is a 40-hour NCDPS - DACJJ training program for first-line supervisors, focusing on the transition from staff member to supervisor and developing the skills necessary to become a successful manager. The blocks of instruction are designed to assist supervisors in building the foundation that allows you to become a confident and effective supervisor.	5	40	110
<b>Total</b>				<b>28,133</b>



**Courses Managed by Prisons**  
**(All courses are for Prisons employees only)**

<b>Course Title</b>	<b>Course Description</b>	<b>Total Classroom Sessions Completed</b>	<b>Training Hours</b>	<b>Total Completions (*Note 1)</b>
Motivational Interviewing	Motivational Interviewing provides a soft skill technique necessary for prisons program staff to have in their tool kit as they continue to implement evidence-based practices. Staff are tasked with obtaining information from offenders during the assessment process, relaying their findings no matter regardless of how sensitive the topic and responding appropriately to offender behavior.	1	4	21
Teambuilding Attitude Conflict Transformation (TACT)	TACT improves relations among staff, cooperation between departments and allow for a clear focus on departmental goals. The impact of TACT will increase to a critical mass when the culture of a prison will be transformed. Two essential skills are attitude skills and interpersonal skills, which engender a sense of hope and belief that change is possible. Attitude skills and self-awareness, empathy and personal responsibility, while interpersonal communication skills are listening, problem solving and conflict transformation.	7	21	111
National Incident Management Incident Systems (NIMS)	Program defines the national NIMS training program. It specifies National Integration Center and stakeholder responsibilities and activities for developing, maintaining and sustaining NIMS training. The NIMS Training Program outlines responsibilities and activities that are consistent with the National Training Program, as mandated by the Post-Katrina Emergency Management Reform Act of 2006. This program integrates with FEMA training offered through the Emergency Management Institute (EMI) and United States Fire Administration (USFA). This is an online training program.	2	ISO100 – 2 ISO200 – 2 ISO700 – 3.5 ISO800 - 3	9
<b>Total</b>				<b>141</b>



**Courses Managed by Human Resources  
(Courses are open to all Department of Public Safety employees, except where noted otherwise)**

<b>Course Title</b>	<b>Course Description</b>	<b>Total Classroom Sessions Completed</b>	<b>Training Hours</b>	<b>Total Completions (*Note 1)</b>
Progressive Disciplinary Process: A Guide for Supervisors and Managers	This training is to assist staff with understanding the progressive disciplinary process for dealing with employees when job-related performance and/or behavior does not meet expectations and communicated performance standards. Course Objectives: develop and enhance the knowledge and skill level of participants in the disciplinary process, demonstrate an understanding of the sequence and procedures necessary to complete a disciplinary action, understand the grievance process and participate in class activities which will assist participants in administering discipline.	1	8	6
Employment Interviewing	This course is to provide the NCDPS employees designated to participate in employment interviews with appropriate laws and federal acts regarding the hiring process, legal interviews and skills needed to make the interview effective. Course Objectives: identify the key landmarks that are the basis of applicant rights, define structured interview, develop interview questions and benchmarks, use the interview guidelines DPS-Internal Policies & Procedures to conduct an interview and document interview results using DPS forms required during the interview process.	8	4	106



Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
LAAL-S: Managing Work for Supervisors (NCDPS)	<p>This is a basic course for individuals who currently have formal supervisory responsibility for frontline employees. Course Objectives: assess leadership performance relative to seven leading at all levels competencies, describe the three-step ethical decision-making process, set and maintain standards for accountability, use proven productivity tools and techniques to work smarter and serve customers better, use a change management model to respond positively to new information and changing conditions and use effective communication and coaching techniques to manage performance.</p>	1	16	7
Mediation for Respondents	<p>The purpose of this training is to educate respondents representing the Department in the mediation process and to familiarize them of their role pertaining to the mediation process. Executive Staff and Division Directors designate employees to serve as respondents in agency mediations. This training is required for all staff designated prior to serving as a respondent during the appeals process. These individuals represent the agency and have been granted authority to reach an agreement on behalf of the Department to resolve an appeal. Course Objectives: understand the NCDPS Mediation Policy and Procedure, define the purpose of mediation, define the role of the Mediation Intake Coordinator, define the role of the respondent in the mediation process, identify the tools used to administer the mediation program and review, discuss and promote the mediation process and procedures.</p>	2	8	18



Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
NCVIP New Supervisor Performance Management Training	<p>This course is mandatory for supervisors / managers and will provide an overview of the Performance Management / NCVIP. Detailed information will be given to allow managers to effectively manage and conduct performance evaluations. Course Objectives: cover the three Performance Management stages – Work Plan, Interim, and Annual Performance Evaluation (APE); cover how supervisors / managers should effectively communicate with staff by using discussion tools provided in the training, ensure employees have a clear understanding of their performance expectations and core values and the importance of documentation and feedback and ensure employees have a clear understanding of how their performance expectations and core values contributes to the agency goals / mission.</p>	7	8	127
Timesheet Training for Supervisors	<p>The purpose of this training is to provide the knowledge and resources needed for supervisors to accurately document the attendance and absence of employees ensuring that all compensation and leave benefits are correctly administered. Course Objectives: familiarize staff with the basic steps of the time administration Process, identify the policy and laws governing attendance, absence and overtime compensation, define the methods used to document attendance and absence, identify procedures to document attendance ensuring proper credit for premium hours is applied and understand leave functions and the procedures to document absences properly.</p>	5	8	80



Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
DPS Equal Employment Opportunity Diversity Fundamentals	<p>This course, as mandated by G.S. 126.16.1, is required for all state government employees who were hired, promoted or appointed to the position of supervisor or manager on or after July 1, 1991. Managers and supervisors hired, promoted or appointed prior to July 1, 1991 are strongly encouraged to attend the Institute. This course is designed with the latest information needed to help managers and supervisors understand federal and state equal employment opportunity/affirmative action laws in the context of daily work situations. The course is offered in a blended format, 3.5 hours of online training which includes a final assessment and one full day of instructor-led classroom training. Course Objectives: upon completion of this training, participants should be able to explain equal employment opportunity, affirmative action, protected classes and other concepts and principles related to EEO, understand standards courts and investigators use to determine if and when illegal discrimination has occurred in the workplace, describe federal and state laws related to EEO and the scope and responsibilities of supervisors / managers for enforcement of these laws, engage in legally defensible hiring practices, recognize, prevent and correct unlawful workplace harassment, understand employees', supervisor's and manager's rights and responsibilities with regards to upholding EEO policies and practices; create / maintain an inclusive and productive environment where all employees feel valued and respected and identify best practices for working in a diverse work environment.</p>	8	8	119



Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
Specialized Leadership Training - Transitioning to a Leadership Role	<p>The training course is designed to help managers identify leadership competencies and understand how to apply the competencies in the work setting. This course identifies six challenges and strategies for new managers and identifies components of the OSCAR (Outcome, Situation, Choices/Consequences, Actions, Review) model and how to apply the model on-the-job when diagnosing critical situations with subordinate staff. The course introduces the business value of ethics, integrity and trust, application of ethical practices to challenges and decision making and how to develop behaviors to build trust at the organizational and professional levels. The course is composed of a set of on-line modules designed to enhance awareness about diversity awareness and emotional intelligence and an 8-hour instructor led class. Through discussion, examples, case studies, etc. the course will familiarize you with the obligations placed upon managers of this organization and equip managers with the knowledge and techniques to lead staff and make ethical decisions more confidently.</p>	3	8	44
<b>Total</b>				507

**\*Note 1 – Includes Classroom and Online Completions**