



# North Carolina Department of Public Safety

*Prevent. Protect. Prepare.*

Roy Cooper, Governor

Erik A. Hooks, Secretary

November 1, 2018

## 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

*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

The Department of Public Safety's (DPS's) top priority for the Division of Adult Correction and Juvenile Justice is improving the safety and security of the state's prison system. As stated in previous public forums, the challenges North Carolina faces were not created overnight. It will take time and vigilance to enact meaningful reforms needed to ensure the safety of staff and offenders who are charged to the agency's custody and care.

Following the tragedies that claimed the lives of five Prisons employees in 2017, DPS leadership immediately took actions to improve safety, operations, hiring, training, recruitment and retention within Prisons. The actions included changing practices regarding assignment of offenders to jobs, modifying offender access to tools, developing an online incident management system to more effectively track assaults within institutions, and purchasing more than \$6.5 million in security equipment.

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. These groups continue their work, with initiatives in various stages of implementation. 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 maximizing its internal resources, 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, a nationally renowned expert in the corrections field joined DPS as Senior Executive Advisor to Secretary Hooks and Interim Chief Deputy Secretary Young. Gary Mohr came to DPS after serving as the director of the Ohio Department of Rehabilitation and Correction (ODRC) since 2011. He brings more than 43 years of corrections experience – with service as deputy director and superintendent of the Ohio Department of Youth Services; deputy director for administration at ODRC; deputy director of the agency's Office of Prisons; and warden at three separate correctional institutions. Additionally, from 1992-1994, Mohr served as director of the Ohio Governor's Office of Criminal Justice, where he led the investigation into the cause of the 1993 Lucasville prison riot. Many of his team's recommendations for preventive measures and improved conditions were adopted by prison systems across the nation.

DPS also continues to leverage its relationships with internal and external partners within the criminal justice community to seek best practices and to implement the department's safety initiatives. For instance, state troopers and probation officers are making vehicle rounds at prison facilities when in the area. In addition, local law enforcement is responding more frequently to requests for criminal investigations of activity occurring within institutions, and district attorneys' assistance is proving to be helpful as more cases are referred to them.

The Department similarly values its partnership with the General Assembly in carefully examining what prison reforms are needed and in identifying funds to support their implementation. DPS leadership appreciates the opportunity to share its progress regarding prison reform from Dec. 1, 2017 - Sept. 30, 2018 in this report, and on a quarterly basis in future 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 implemented the updated Office of State Human Resources (OSHR) Disciplinary Action Policy effective Oct. 1, 2017. The policy is intended to serve 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, this policy provides a reasonable, consistent, and effective approach to improve deficiencies. The policy also provides managers with 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 during the Dec. 1, 2017-Sept. 30, 2018 reporting period.

**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

**Use of Force** - The policy was updated to include the authorized use of a Conducted Electronic Weapon (CEW), commonly known as “Taser.” Use is authorized by trained officers in the performance of their official duties to control or deter violent, threatening or aggressive acting offenders or to defend officers or third parties from an imminent assault.

**Sentence Credits** – Offenders who are found guilty of an assault on staff resulting in physical injury are subject to forfeiture of good time, earned time, and merit time. Offenders would also be ineligible for future good time, earned time, or merit time.

**Disciplinary Procedures** – Disciplinary offense (B06), *Commit Sexual Act* was upgraded to a class A offense (A25), which encompasses more severe sanctions. The updated policy also increases the sanctions associated with an assault on staff resulting in serious injury, specifically:

- Forfeiture and ineligibility of future good, earned and merit time
- Suspension of visitation for a period of 12-24 months
- Pending the decision of the Director’s Classification Committee, placement in restrictive housing for a minimum of 12 months
- Immediate placement on the Interstate Compact Program list for consideration for out-of-state housing

**Visitation Policy/Procedure** – 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.

**Restrictive Housing Control Purposes** - Offenders who are found guilty of an assault on staff resulting in physical injury will be placed in a Rehabilitative Diversion Unit (RDU) after serving a minimum of 12 months in restrictive housing for control purposes.

**High Security Maximum Control** - Offenders who are found guilty of an assault on staff resulting in physical injury will be subject to a periodic review of their control status after 12 months.

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. To date, approximately 50 policies have been reviewed, modified and re-issued.

**(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. At monthly Prisons meetings, either the Correction Enterprises director or deputy director attends to meet with the region director and management team. Furthermore, Correction Enterprises general managers are attending 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 weekly interdisciplinary meetings at the facilities where plants are located. 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 Dec. 1, 2017-Sept. 30, 2018, 1,616 students in 84 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 will seek provisional approval from the NC 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.)

Following the tragedies at Bertie and Pasquotank, two hours of situational awareness training was added to BCOT. In addition, a four-hour module of situational awareness training was conducted for approximately 250 Correction Enterprises staff and included as part of the Prisons in-service training requirement for the current fiscal year.

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.

OSDT, comprised of 91 career employees in five regional locations, is responsible for delivery and oversight of training mandated and required for certified staff by the CJETS Commission. Instructors have experience in public safety roles and maintain an average of 10-20 specialty instructor certifications. The N.C. Administrative Code Title 12, Chapter 9 specifies minimum requirements for certification as a criminal justice instructor and sets requirements to ensure proper documentation and certification of instructors.

In accordance with NCAC 9G & 9B and on behalf of the North Carolina Criminal Justice Standards Division, OSDT's Curriculum Section is responsible for designing, developing, administering, validating, and recording results of Adult Correction and Juvenile Justice employees taking exams. The exams generally consist of 100 multiple-choice questions, and a student must score a 70 or higher to pass the class.

In addition to OSDT, 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 Dec. 1, 2017-Sept. 30, 2018.

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

A new policy regarding offender job assignment was approved Oct. 2, 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.

In addition to addressing Correction Enterprises job assignments, the policy states that offender job assignments shall benefit the public to reduce the cost of incarceration while enabling offenders to acquire or retain skills and work habits needed to secure honest employment after their release. All offender job assignments must comply with applicable state and federal laws. Assignments address

the treatment and rehabilitative needs of offenders while maintaining the safety and security of staff and the facility. No assignment shall be made based on race, color, creed, religion, sexual orientation or national origin. Fair and equitable assignment opportunities shall be provided to all offenders, including those with a disability who, with or without a reasonable accommodation, can perform the essential functions of the assignment.

Offender job assignments are based on:

- Ensuring the safety and security of the Prison, staff and the 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.

The Offender Assignment Manual is under review by a multi-disciplinary workgroup to update procedures and forms.

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

Following the 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.

Among the actions to enhance security within Correction Enterprises plants are adding domed security mirrors, 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. 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 was created within Prisons in December 2017. Sixteen existing positions were transferred to the section and reallocated to 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 is scheduled to complete 20 unannounced audits by the end of 2018. In 2019, the security accountability section will audit all 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.

Pursuant to G.S. 132-1.7, results of security audits and inspections are not public records, and therefore, are not included in this report.

**(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**

One of the most promising initiatives is the planned 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. When implemented, the system will have two parts: radio frequency and asset tracking. The radio frequency portion includes handheld/mobile radios and trunking repeater systems in each facility. Asset tracking includes installation of servers 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.

Radio Communications staff 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 currently being tested and is scheduled to be complete at the end of October 2018. Preliminary design work and Federal Communications Commission (FCC) license modifications are underway at 20 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.

**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 850 cameras have been installed, including 356 between Dec. 1, 2017 and Sept. 30, 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 \$772,000 of the \$1.5 million allocation has been spent on camera projects.

DPS is actively working on multiple strategies to install the funded cameras. The limited number of Prisons Facility Maintenance staff have multiple priorities, including preparing facilities for different offender populations due to remissioning efforts at several facilities, addressing newly identified maintenance needs following Hurricane Florence, and ongoing maintenance of prisons and Juvenile Justice facilities. 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.

**(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.

**Whistles**

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.

**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. For the current reporting period, program staff were also issued batons and higher concentration OC pepper spray. Radios will be fully deployed to program staff by Oct. 31. 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 facilities. Custody staff in all facilities have a radio assigned to them. Since Dec. 1, 2017, DPS purchased more than 4,000 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

**Stab-resistant Vests**

Prisons is providing 13,000 stab resistant vests for its employees. To date, approximately 4,000 vests are in use by close custody staff. Six close custody units received full shipments and four received partial shipments. As distribution of vests moves to medium custody, facilities will order the vests from the central supply warehouse, which will maintain an inventory of various sized vests. Manufacture and deployment of vests are dependent on the vendor's ability to procure the raw materials needed to manufacture the vests. Based on feedback from staff currently wearing the vests, 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**

Prisons is initiating a Taser pilot program for supervisors at four close custody facilities - Maury, Scotland, Marion, and Pasquotank. Staff identified to carry Tasers must complete a specific training program. To date, a train-the-trainer course was conducted, and policy was developed. Training for supervisors is scheduled to begin in November 2018.

**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 installing two methods of managed



access systems: stationary systems and mobile. Scotland and Maury correctional institutions will have stationary managed access systems which are expected to be functional in early 2019. Mobile managed access systems will be installed at 30 facilities, beginning in November 2018 and continuing over the next 12 months. In addition, Prisons deployed Cell Sense phone detection equipment at every facility prior to the reporting period for this initial quarterly update.

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 16.3 percent in September 2018. The vacancy rate has remained between 16 percent and 17 percent in 2018.

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 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.

**Recruitment**

In March 2018 a recruitment team within the DPS Human Resources office was established to increase recruitment of correctional officers. Four full-time positions focus exclusively on correctional officer recruitment. Since the unit's inception, recruiters participated in more than 250 events throughout the state. Recruitment staff regularly partner with NCWorks staff from the Department of Commerce and the Department of Military and Veterans Affairs. Recruitment events also occur at local prison facilities, high schools, community colleges, other colleges and universities, community events, civic organizations, and military installations. An April 2018 DPS career fair held at the State Fairgrounds attracted more than 300 attendees. 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.

In addition to full-time recruiters, the agency developed a video promoting corrections as a profession. The video, featuring correctional officers from various facilities around the state, aired on more than 45 radio and 12 television stations. The video is posted on the DPS Facebook page and continues to be used during recruitment activities such as job fairs. The agency recently developed a full-time position in its Communications section to focus on social media, which is reaching an important pool of potential applicants in the community.

While much energy and attention is rightfully focused on increasing recruitment of correctional officers, the agency notes that other disciplines, including medical, behavioral health, trades, maintenance also struggle to fill critical vacancies. Historically, corrections and the public sector generally struggle to recruit and retain staff in times of economic prosperity. The state's low unemployment rate, the location of some prisons in rural areas, and the continued publicity regarding the tragedies at Bertie and Pasquotank, create challenges to fill positions. (This is likely to continue.) However, DPS remains dedicated to exploring various strategies to improve both recruitment and retention of quality staff.

## **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.
- Implementation of a Prison Employee Recognition Program to honor employees for exemplary service on the job and in the community. Many facilities had 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.
- 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.

## **(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, including several changes since Dec. 1, 2017. 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**

In March 2018, the Department implemented one job posting that covered all Correctional Officer levels (CO I, CO II, CO III). Prior to that time, applicants could submit applications for each level, which required duplicative review and screening of the application to determine whether an applicant met minimum qualifications. Conversely, the single application promotes greater efficiency because the application is screened only once.

### **Expanded Background Check**

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.

### **Timing of Physical Abilities Test**

Another change intended to increase the number of qualified applicants occurred in February 2018 when the Correctional Officer Physical Abilities Test (COPAT) was moved from a pre-employment setting to a post-employment requirement. New hires are given three opportunities to pass the test, with the first attempt coming at the end of Basic Correctional Officer Training

(BCOT). New hires must successfully pass the COPAT by the tenth month of employment as a condition of continued employment.

### **Interviews**

DPS also continues to refine the interview process for CO applicants. 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. Benefits of regional interviews were the elimination of competition for applicants among facilities, better management of vacant positions, consistency in the interview process, and greater coordination between Prisons management and the Regional Employment Offices, which operate under DPS Human Resources. However, in implementing regional interviews, facility heads were no longer involved in the 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 even more challenging.

In June 2018, Prisons management initiated a facility-based CO interview pilot at 10 facilities with the highest number of vacant positions. The interview pilot facilities are Swannanoa, Alexander, Southern, Warren, Polk, Caledonia, Hyde, Bertie, Pasquotank and Eastern Correctional Institutions. The Southern and Eastern facilities were included in the pilot because they are adding positions due to remissioning their offender population from female minimum and medium custody to male close custody. Goals of the pilot include 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.

Since the pilot began, more than 200 correctional officers were hired at the 10 facilities. Since the agency uses a third-party contractor to complete the pre-employment physical and psychological evaluations, the agency is partnering with the contractor in the Eastern and Central regions to conduct its pre-employment assessments on the same day the candidate completes employment forms at the Regional Employment Office, eliminating at least one trip for the selected applicant. Prisons plans to expand the pilot to an additional 22 prisons effective Nov. 1, 2018, with full implementation at all prisons scheduled for Jan. 1, 2019.

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

All new Prisons employees complete 40 hours of orientation during their first week of employment. Beginning in July 2017, new correctional officers attend BCOT during the second week of employment. Previously, new officers were scheduled for BCOT anytime within the first year of employment. This meant that the new officer likely was working various assignments in the facility without the knowledge and benefits gained during this four-week, 160-hour program, which culminates with a written exam and graduation ceremony.

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

In April 2018, Prisons implemented the Correctional Officer Field Training Program, which 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.

Field training officers (FTO) must meet specific selective criteria that includes no active disciplinary matters, minimum performance standards, and continuous employment for at least 18 months. Staff interested in becoming an FTO must complete a modified employment application, receive a recommendation from his/her supervisor, and successfully complete the interview

process. Further, the selected candidate must then successfully complete 24 hours of FTO training. Since the program's inception, more than 450 FTOs were selected and trained, and more than 750 new correctional officers 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 initiatives can be found at <https://www.ncdps.gov/prison-reform>.

## Appendix A

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

Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (Note 1)
OSDT - Basic Correctional Officer Training	This is the 160-hour (4 week) basic training program for Correctional Officers and Case Managers.	84	160	1,616
OSDT - General Instructor Training	This is the 80-hour training program for new instructors that certifies them under Criminal Justice Standards NC Administrative Code requirements to instruct certified training.	1	80	12
OSDT - Firearms Instructor Training	This is the 80-hour training program for certified General Instructors that certifies them to teach in-service and basic firearms training courses.	2	80	26
OSDT - CRDT Instructor Training	This is the 82-hour training program for certified General Instructors that certifies them to teach in-service and basic CRDT (Controls, Restraints and Defensive Techniques) training courses for Adult Corrections personnel.	3	82	35
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.	83	1	2,449
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.	8	6	7,525

<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 - 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 inmates, offenders and juveniles.	714	2	7,924
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.	176	4	412
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.	425	4	6,075
OSDT In-Service - Controls, Restraints and Defensive Techniques (CRDT) Phase VI - Advanced Techniques	This course presents to officers an advanced level of approved CRDT Techniques that consists of CRDT Phase VI. These techniques will enhance the knowledge of officers in dealing with an aggressive or non-compliant inmate / offender.	318	2	4,549
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.	462	2	4,850
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.	556	1	7,612

<b>Court Title</b>	<b>Course Description</b>	<b>Total Classroom Sessions Completed</b>	<b>Training Hours</b>	<b>Total Completions (Note 1)</b>
In-Service- Occupational Exposure to Infectious Diseases (BBP)	The purpose of this course is to assist the NCDPS – DACJJ 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.	538	2	3,685
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.	422	2	5,411
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.	348	4	4,992
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 budding fire.	358	1	1,561
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.	771	2	7,898
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.	342	2	4,919

<b>Course Title</b>	<b>Course Description</b>	<b>Total Classroom Sessions Completed</b>	<b>Training Hours</b>	<b>Total Completions (Note 1)</b>
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.	341	3	5,203
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 Suicide Prevention Program and the causes and procedures for dealing with offenders with self-injurious behavior tendencies.	825	2	7,639
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.	438	1	6,033
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.	510	1	6,433
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.	456	3	6,025
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.	449	2	5,727
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.	n/a	1	807



<b>Course Title</b>	<b>Course Description</b>	<b>Total Classroom Sessions Completed</b>	<b>Training Hours</b>	<b>Total Completions (Note 1)</b>
PREA - Sexual Abuse and Sexual Harassment (SAH) 201	This course provides refresher training to the NCDPS - DACJJ employees on current agency sexual abuse and sexual harassment (SAH) policies and procedures.	32	1	923
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.	577	1	3,159
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.	77	4	1,092
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.	4	40	54
OSDT - Peak Performance Leadership Course	The purpose of this course is to provide mid-level management training to selected supervisory staff. "Peak Performance" is a NCDPS-DACJJ training program designed to provide supervisors with a solid foundation for achieving proficiency in dealing with people. Peak Performance is an adult learning course requiring workgroup dynamics, participant interaction and individualized reading / writing assignments. Classroom involvement is instructor dedicated to open discussion and forums focusing on instructors and participant's knowledge, experience and expertise.	6	40	133
OSDT - Correctional Leadership Development Program	The Correctional Leadership Development Program (CLDP) is OSDT's flagship leadership development program for NCDPS-DACJJ executive level staff, such as Judicial District Managers and Superintendents. It is a year-long program culminating in a capstone project.	1	160	24
<b>Total</b>				114,809

**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 inmates during the assessment process, relaying their findings no matter regardless of how sensitive the topic and responding appropriately to inmate behavior.	31	4	588
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.	12	21	140
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.	n/a	ISO100 – 2 ISO200 – 2 ISO700 – 3.5 ISO800 - 3	471
<b>Total</b>				1,199

**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.	4	8	44
Coaching for Leaders: Creating an Engaged Workforce	The results of coaching benefit organizations because they improve the speed of decision-making, free up management time for higher-level activities, and increase job satisfaction among team members. Leaders need to develop coaching qualities, skills and competencies that include core elements. This course will help develop skills and competencies needed to successfully coach staff to create an engaged workforce. Course Objectives: learn how a performance management culture can drive both employee and organizational success, understand the nature of coaching, know the difference between coaching and other forms of engagement, use effective techniques to maximize your employees' / team's performance and use skill practice to reinforce coaching techniques.	5	4	53
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.	17	4	211

<b>Course Title</b>	<b>Course Description</b>	<b>Total Classroom Sessions Completed</b>	<b>Training Hours</b>	<b>Total Completions (Note 1)</b>
LAAL-S: Supervisory Foundations (NCDPS)	This is the initial leadership training course for those individuals who currently have formal supervisory responsibility for frontline employees. Lead workers and those who have more informal leadership roles should attend LAAL courses for individual contributors. Course Objectives: describe the scope and responsibilities of a frontline supervisor, identify supervisory competencies and success factors, demonstrate the three steps to ethical decision making, set and maintain standards of accountability for your team, define your customer network and customer satisfaction metrics, describe how effective supervisors lead change and use a structured two-way discussion model to ensure communications are clear, efficient, results-focused and respectful.	7	16	106
LAAL-S: Managing Work for Supervisors (NCDPS)	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.	3	16	38
Mediation for Respondents	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.	7	8	42

<b>Course Title</b>	<b>Course Description</b>	<b>Total Classroom Sessions Completed</b>	<b>Training Hours</b>	<b>Total Completions (Note 1)</b>
NCVIP New Supervisor Performance Management Training	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.	53	8	822
Timesheet Training for Supervisors	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.	10	8	159

<b>Course Title</b>	<b>Course Description</b>	<b>Total Classroom Sessions Completed</b>	<b>Training Hours</b>	<b>Total Completions (Note 1)</b>
DPS Equal Employment Opportunity Diversity Fundamentals	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.	18	8	277
DPS HR - Unlawful Workplace Harassment - Sexual Harassment	This course will help employees identify unlawful harassment, stop it when it occurs, and prevent it in the work unit. Course Objectives: define unlawful workplace harassment, identify offensive behaviors that can be considered harassment, identify actions to take to prevent and stop harassing behavior, understand bystander responses, understand how to apply bystander approaches to intervene, identify and discuss proper reporting and filing procedures and develop a written unit / departmental message.	7	8	82

Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (Note 1)
Specialized Leadership Training - Transitioning to a Leadership Role	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.	9	8	159
NCDPS Correctional Officer Field Training - FTO	This class is open to Prisons employees only. The FTO (Field Training Officer) program provides a process to motivate, guide and support new correctional officers by providing individual professional development. This is done by pairing the new correctional officer with an FTO for 120 hours (three-week period). By completing this 24-hour FTO instruction, conducted by HR and Adult Correction Prisons staff, the learner will be able to serve as a trainer, advisor, guide and role model to new correctional officers. Course Objectives: define role of an FTO, provide tools for developing integrity and making ethical decisions, identify techniques to use for cultivating initiative and building enthusiasm, define leadership, learn qualities of an effective leader, assess personal leadership skills, identify elements of effective communication and provide tools to aid with effective communication, identify the benefits of a diverse workforce and present methods and techniques that FTO's use to instruct new officers to perform job related task.	31	24	599
<b>Total</b>				2,592

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