



North Carolina Department of Public Safety

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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, Chief Deputy Secretary *RY*

RE: Prison Reform Report

DATE: May 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 the second quarter of 2019 begins, the Department of Public Safety (DPS) continues its efforts to improve the safety and security of prisons and improve the work environment for its staff. Many improvements have been made, and others are in various stages of implementation.

As noted in the two previous prison reform reports, the agency is approaching its ongoing work through a strategic plan framework, and five multi-disciplinary workgroups continue their work. 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 leveraging its internal resources, DPS maintains its approach to seek outside expertise. The National Institute of Corrections (NIC) continues to provide technical assistance, and other corrections leaders are actively engaged in helping enact meaningful reforms. Senior Executive Advisor Gary Mohr, the current president of the American Correctional Association, remains actively engaged with the agency. Among Mohr's contributions is 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. Mohr is also facilitating a multi-disciplinary corrections team in the development of key performance indicators to measure successes and opportunities for improvement. Mohr also championed changing the working titles of prison facility heads to wardens, which occurred in March 2019. Changing the working title promotes consistency across the state and brings North Carolina more in line with other state correctional systems.

DPS leadership also continues to receive input and counsel from its Prison Reform Advisory Board, which has met five times since its inception. Its most recent meeting was in February 2019 at Warren Correctional Institution, which afforded an opportunity for board members to speak directly with front-line staff regarding their work.

The Department appreciates and values the support of and collaboration with the General Assembly to fund and enact meaningful reform. To this end, DPS is actively working with the Senate Select Committee on Prison Safety by participating in meetings and providing information and testimony.

DPS leadership welcomes the opportunity to share its progress regarding prison reform from Jan.1 to March 31, 2019 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.

As noted previously, 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. Prisons implemented the system in January 2019.

DPS continues to follow the Office of State Human Resources (OSHR) Disciplinary Action Policy, most recently revised 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.

The Department reported in its previous two quarterly reports on policy changes related to disciplinary actions against offenders who violate prison rules. As reported previously, 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 March 31, 2019, this sanction has been applied to four offenders.

The Department continues to review existing policies to determine if additional modifications may enhance the safety and security of facilities. Table 1 lists security-related policies modified from January to March 2019. Fifty-nine policies have been reviewed, modified and re-issued since January 2018. This includes policy changes to the Prisons Policy and Procedure Manual, Security Manual and Health Services Manual.

Table 1 - Security Related Policies updated from January – March 2019

Policy Chapter	Policy Title	Date of Revision
Chapter A – Organization & Personal Conduct	Unit Management	1-16-19
Chapter F – Custody & Security	Control Center Operations	1-16-19
Chapter F – Custody & Security	Inmate Drug/Alcohol Testing	2-1-19
Chapter D – Public Communications	Visitation: Policy/Procedure	2-5-19
Chapter F – Custody & Security	Inmate Personal Property	2-21-19

Prisons is constantly exploring methods to improve safety, security, and overall operations. While agency leadership recognizes that there is much work to be done, it is noted that, according to the DPS Office of Safety, Occupational and Environmental Health, in 2018 the incidence rate for assault related injuries that caused restricted work activity or days away from work decreased 28 percent from 2017.

Improving facility security also includes ensuring 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 restricted 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. The Correction Enterprises director attends monthly camera installation progress meetings. In March 2019, the director of Prisons and Correction Enterprises visited the Correction Enterprises Sign Plant located at Franklin Correctional Center. The Correction Enterprises director attended the Feb. 5, 2019 Prison Reform Advisory Board meeting held at Warren Correctional Institution, which included an overview of the Correction Enterprises janitorial products plant. The Correction Enterprises director presented an overview of Correction Enterprises to new prison facility heads in March 2019.

The Correction Enterprises director attended the 2019 American Correctional Association conference in January 2019. This was an opportunity to attend 12 breakout sessions to network with prisons professionals from around the country regarding best practices to improve industry safety and collaboration. In February 2019, all plant managers attended undue familiarity training to refamiliarize themselves with appropriate boundaries with offenders.

Either the Correction Enterprises director or deputy director attend the monthly Prisons meetings with the region directors and management team. During this reporting period, Correction Enterprises general managers attended monthly meetings of Prisons' facility heads on a regional basis. Additionally, Correction Enterprises general managers meet with facility administrators on a regular basis. Plant managers for Correction Enterprises attend interdisciplinary meetings at prison facilities where plants are located. The Correction Enterprises safety consultant provides copies of semi-annual safety inspections of Enterprises plants to the respective prison facility heads.

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 six-week, 220-hour Basic Correctional Officer Training (BCOT) program, which is taught by Office of Staff Development and Training (OSDT) certified instructors. 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) and began teaching the new six-week curriculum in January 2019. From Jan. 1, 2019-March 31, 2019, OSDT began 18 classes with a capacity to train 450 students. At the end of March 2019, 10 of those classes had completed with a total of 167 students successfully completing basic training. 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.

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. During this reporting period, 124 employees participated in unit management training classes.

In February 2019, Prisons hosted a two-day Leadership Development Workshop and Facility Management Meeting led by Senior Executive Advisor Gary Mohr. The topic of the workshop was “North Carolina Leadership: Designing Our Future.” Approximately 200 prison managers attended the training.

Prisons developed and implemented a training titled “Prisons - New Managers Orientation.” This training is designed to connect new facility heads with support section contacts such as administrative services, offender classification and population management, human resources and the general counsel’s office. It is a 30-hour training conducted over four days. In March 2019, 11 wardens promoted within the preceding nine months attended the 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 Jan. 1, 2019 to March 31, 2019.

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

As noted in previous reports, a new policy regarding offender job assignment was approved in October 2018 and formalizes actions taken by the Secretary 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 are under review by Prisons management and approval is anticipated by April 30, 2019.

In addition, the offender custody classification instrument is being revalidated and the National Institute of Corrections is providing technical assistance for the revalidation process. As of April 12, 2019, case factor scoring levels are final for both initial and reclassification actions. IT staff, and policy and training work groups are finalizing efforts for implementation in late summer 2019.

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

Following the 2017 incidents at Bertie and Pasquotank, 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 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. During this reporting period, 16 unannounced security audits were conducted. 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 45 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 previous reports, 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.

DPS initially identified three facilities to pilot the personal alarm pinpoint "man-down" technology, and now has demonstration capability at one of those locations. Acknowledging ongoing challenges with inconsistent infrastructure at various facilities and the need to coordinate this effort with ongoing IT projects, the agency is shifting its focus to deployment of an emergency button radio frequency feature at more than 20 facilities that have existing infrastructure to support this 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. In addition, the agency continues to explore the best possible integrated technical solutions for system-wide implementation of this and ongoing IT projects.

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 1,320 cameras have been installed, including 200 between Jan. 1, 2019 and March 31, 2019. 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 \$972,000 of the \$1.5 million allocation has been spent on camera projects and \$1,220,000 of the \$5 million allocation has been spent on camera projects.

Construction began on camera projects at five sites in the first quarter of 2019 with two of those projects, Eastern CI and Southern CI, being completed. An additional five projects are scheduled to begin in the second quarter 2019. These 10 new projects will result in the installation of 1,193 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. During this reporting period, the agency has experienced some limited success in the recruitment of temporary employees to support this project. 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. The Central Engineering project management group is currently soliciting bids from private vendors for these sites. Once received, the bids 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 instituted and deployed 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. Final distribution of items was completed in February 2019. 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, medium, and minimum custody facilities, with the exception of Lumberton Correctional Institution, N.C. Correctional Institution for Women, and Neuse Correctional Institution. Procurement of vests is pending at the three facilities, as well as for replacement vests at other locations. Based on feedback from staff, Prisons management is researching other styles/manufacturers such as an outer carrier vest and 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 staff approved and trained to carry Tasers are equipped with this additional security tool at all 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 March 31, 2019, 14 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 complete.

Firewalls were 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; maintenance will be conducted as needed. 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 18.22 percent in March 2019. The vacancy rate remained between 16 percent and 17 percent for much of 2018 and averaged 16.88 percent for all 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. These numbers have rebounded in the first three months of 2019 with a 22 percent increase in the number of applications received as compared to the last three months of 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 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. The monthly jail backlog average was between 340 and 460 during this reporting period. 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. For the first time since the recruitment unit was created, the unit is fully staffed with eight full-time recruiters deployed across the state. Since the unit's inception, recruiters participated in more than 585 events throughout the state, including 215 from Jan. 1-March 31, 2019. 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 to provide information about correctional officer career opportunities to students enrolled in high school equivalency and other academic programs. To this end, two members of the recruitment team spoke at the Community College Career Credit Leadership Conference in March 2019 to give an overview of DPS's application and hiring process. By better educating community college staff, it's anticipated they may, in turn, better advise their students on the career opportunities available with DPS, especially in the field of corrections. Relationships with all 58 community colleges have been strengthened this quarter through ongoing communication between field recruitment staff and college administrators. This has led to a marked increase in on-campus recruitment opportunities and distribution of informational material regarding correctional officer job opportunities. 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, began with a "targeted" email campaign to nearly 129,000 job seekers in specific locations around the state with the highest correctional officer vacancy rates. The email displayed an advertisement and provided information on how to become a correctional officer along with a link to apply. As a result of this effort, more than 1,270 email recipients visited the job posting website. A number of short recruitment videos have also been created during this reporting period. These videos will become the basis of continuing recruitment efforts which will focus on television, internet and social media outlets.

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 March 2019, 35 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. In February 2019, 12 staff received 2018 Employee of the Year awards in various categories during a statewide recognition event.
- 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. Recruitment is underway for the program director, with delivery of services targeted to begin in October 2019.

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

As noted in previous reports, the hiring process for correctional officers has been reviewed and modified many times during the last decade. This process is multi-faceted and contains many Criminal Justice Education and Training Standards (CJETS) requirements for certification as well as shared responsibilities between DPS Human Resources and Prisons facility, region, and central administration staff. The hiring process continues to be reviewed and modified. Recent changes include:

- **Single Application** – Consolidation of the three levels of correctional officer (CO) positions into a single posting was implemented in March 2018.
- **Expanded Background Check** – In August 2018, the agency expanded its criminal background check and employment references to include any security agency experience regardless of circumstances of separation 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** - Effective Jan. 1, 2019, DPS suspended the use of the Correctional Officer Physical Abilities Test (COPAT) until an alternative tool to assess physical ability to complete essential job functions can be established.
- **Interviews** - 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. In June 2018, Prisons management initiated a facility-based CO interview pilot at 10 facilities with the highest number of vacant positions. The 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, reinstituting authority to the prison facility in hiring decisions, improving morale, and creating community interest in working at the prison location. Effective Jan. 1, 2019, facility-based CO interviews were expanded to all 55 facilities. This change has been favorably received by prison staff. Current employees interact and conduct tours with prospective employees, while facility supervisors and managers conduct face-to-face interviews with the applicants. Current staff have remarked favorably on seeing applicants interviewed at the facility while applicants have the benefit of being inside a prison before they actually begin work.

The agency's contract with a third-party vendor to complete the pre-employment physical and psychological evaluations is scheduled to end on April 30, 2019. As Prisons moved to facility-based CO interviews, this vendor and the agency partnered in the Eastern and Central regions to conduct its pre-employment assessments on the same day the candidate completed employment forms at a Regional Employment Office, eliminating at least one trip for the selected applicant. However, this same-day processing model was not feasible in the South Central and Western regions due to the geographic proximity of DPS regional HR offices and vendor locations. Therefore, effective May 1, 2019, the agency will be implementing a hiring model that standardizes the hiring process statewide.

- **Timing of Basic Correctional Officer Training (BCOT)** – All new Prisons employees complete 40 hours of orientation during their first week of employment. Then new certified staff immediately begin BCOT during their second week of employment. Effective Jan. 1, 2019, Basic Correctional Officer Training expanded from a four-week, 160-hour program to six weeks and 220 hours. This onboarding process continues to ensure new officers are more fully trained before they assume their facility duties.

- **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. This gives the new correctional officer an opportunity to apply the skills learned in training while under the direction and guidance of a seasoned officer and better prepares new staff with the necessary skills, qualities, and confidence to effectively meet the challenges they face daily once given a specific assignment inside the facility. As of March 31, 2019, there are 397 FTOs and approximately 1,134 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 Jan. 1, 2019-March 31, 2019
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 220.5-hour (6 week) basic training program for Correctional Officers and Case Managers.	10	220.5	167
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.	17	1	69
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.	246	2	2,663
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.	50	4	192
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.	123	4	1,561

Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
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.	115	2	488
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.	201	1	2,748
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.	129	2	358
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.	136	2	1,632
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.	119	4	1,496
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.	99	1	384
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.	233	2	2,155

Court Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
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.	123	2	1,681
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.	124	3	1,659
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.	254	2	2,384
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.	141	1	1,736
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.	153	1	1,790
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.	149	3	1,817
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.	151	2	1,732
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.	83	1	257

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.	136	1	548
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.	139	4	1,903
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.	1	40	14
OSDT - Peak Performance	The purpose of this course to provide mid-level management training to selected supervisory staff. "Peak Performance" is a 40-hour Department of Public Safety 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.	4	40	86
Total				29,520

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

Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
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	16
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.	3	ISO100 – 2 ISO200 – 2 ISO700 – 3.5 ISO800 - 3	27
Total				43

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

Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
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	69
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.	3	4	36
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	87
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.	1	16	9

Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
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.	2	16	17
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.	7	8	58
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.	5	8	42

Course Title	Course Description	Total Classroom Sessions Completed	Training Hours	Total Completions (*Note 1)
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.	8	8	95
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.	13	8	232
	Total			629

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