



State of North Carolina

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Department of Justice
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March 8, 2012

Senator Thom Goolsby
Representative James L. Boles, Jr.
Representative Shirley B. Randleman
Co-Chairs, Joint Legislative Oversight Committee
on Justice and Public Safety

Senator Harry Brown
Senator Thom Goolsby
Representative Leo Daughtry
Representative Shirley B. Randleman
Co-Chairs, Appropriations Subcommittees
on Justice and Public Safety

Mark Trogon
Acting Director, Fiscal Research Division

North Carolina General Assembly
Raleigh, North Carolina 27601-1096

RE: Report on Law Enforcement Accreditation Services by the North
Carolina Department of Justice

Dear Members:

In accordance with Section 19.4 of the Current Operations and Capital Improvements Appropriations Act of 2011, please find the attached study from the North Carolina Department of Justice on Law Enforcement Accreditation Services.

Thank you for the opportunity to provide this information. We would be happy to respond to any questions you may have regarding this report.

Very truly yours,

A handwritten signature in black ink, appearing to read "Kristi Hyman", followed by a long horizontal line extending to the right.

Kristi Hyman
Chief of Staff

KH/ml

cc: Kristine Leggett
Fiscal Research Division

REPORT ON LAW ENFORCEMENT ACCREDITATION SERVICES

NORTH CAROLINA STATE BUREAU OF INVESTIGATION

February 24, 2012

CALEA Accreditation Overview

The **Commission on Accreditation for Law Enforcement Agencies** (CALEA) was formed in 1979 to establish and administer an accreditation process through which law enforcement agencies could voluntarily demonstrate that they meet professionally-recognized criteria for excellence in management and service-delivery. The following four organizations were the driving force behind its formation:

- a) The International Association of Chiefs of police (IACP)
- b) The National Sheriff's Association (NSA),
- c) Police Executive Research Forum (PERF), and
- d) The National Organization of Black Law Enforcement Executives (NOBLE)

The Commission is composed of law enforcement professionals and representatives of the public and private sectors. The day to day operations of the Commission are conducted by staff and law enforcement practitioners that serve as contractors to assess participating agencies.

Agencies that seek accreditation are required to comply only with those criteria, known as standards that are specifically applicable to them. The standards **direct the agencies as to what they should be doing but leave it up to the individual agency as to how meet the standards.** Applicability is based on two factors: an agency's size and the functions it performs. CALEA has separated the standards into nine critical law enforcement areas that include role, responsibilities, and relationships; organization, management, and administration; personnel structure; personnel process; operations; operation support; traffic operations; detainee and court-related activities; and auxiliary and technical services. These standards are subject to ongoing review and revision.

The Accreditation Process

CALEA accreditation is a five-step process that includes enrollment, self-assessment, on-site assessment, commission review and maintenance. The Self-Assessment process includes a critical review of all agency policies and procedures and the establishment/collection of directives and documentation that demonstrates compliance with the over 450 accreditation standards. Once the agency is satisfied with the self assessment efforts, the on-site assessment is scheduled with CALEA. During this On-Site Assessment, two (2) CALEA-certified assessors

visit the agency, conduct file reviews, agency office tours, interviews and ride-along with employees, discussion with those customers and public access for interested parties to provide input on the agencies performance. Following the on-site assessment, a report is generated by the assessment team and forwarded to the Commission for review. The report is the basis for a review and recommendation, by the Commission, as to whether the agency should be accredited.

Agencies maintain accreditation through reassessment every five years. This process is more focused on assuring that the agency is maintaining its level of commitment to the process and compliance with existing and/or new standards that may have come into effect. The reaccreditation process includes self- assessment, on-site assessment and Commission review and decision.

The North Carolina State Bureau of Investigation was initially accredited by the CALEA on March 25, 1995. It successfully achieved reaccreditation in 2000, 2003, 2006 and 2009. In 2009, the SBI was recognized as a CALEA Flagship Agency. This recognition acknowledges the achievement and expertise of the agency based on past awards, the current assessment, and overall professional standing in the public safety community and includes being showcased and formally recognized at the CALEA conference. In November 2011, the SBI went through its fifth CALEA on-site assessment and anticipates receiving full re-accreditation in March 2012.

Benefits Gained from Accreditation

The SBI's participation in the CALEA accreditation process has and continues to be tremendously beneficial in challenging the agency to develop and utilize the best possible practices as it serves the citizens of the state of North Carolina. Maintaining accreditation promotes a greater degree of accountability across all aspects of the agency.

Some of the more tangible benefits of the CALEA accreditation process are:

- Broad reaching evaluation by outside law enforcement practitioners utilizing internationally recognized standards that are established by an objective accrediting body.
- The constant review of SBI Policy and Procedures in order to maintain and implement comprehensive and precise directives for employees, both sworn and non-sworn, to adhere to in order to provide consistent exemplary services to the citizens of North Carolina.
- Development of workload assessments that guide the agency's leadership on how to best distribute personnel resources across the state.
- Documented development and review of agency goals and objectives on an annual basis so as to provide the SBI's leadership with a mechanism to identify new technologies, services, equipment and resources to meet the needs of the law enforcement community.

- Requires that the SBI develop policies and procedures to supplement existing state requirements regarding applicant selection and the promotional processes so as to make valid and defensible selections.
- Standardized staff inspections of all agency districts/sections/ units on a three year rotational basis.
- Line inspections of personnel and facilities so as to ensure equipment accountability and operational readiness.
- Formalized processes for Professional Standards investigations and their documentation so as to ensure the investigations are conducted thoroughly and consistently across the agency and that disciplinary action are consistent across the state.
- Multi-level evidence inspection processes that involve both supervisors and outside evaluators who focus on the integrity of the collection, maintenance, and disposition of all seized property.
- Requires an ongoing assessment of training needs and ensures that all employees are provided the best training and educational opportunities available.

Personnel Associated with Accreditation

The agency's Accreditation Unit is housed in the Career Services and Law Enforcement Programs Section. This primary responsibility of the Career Services and Law Enforcement Programs Section include all aspects of personnel administration regarding recruiting, hiring and promotion of all sworn and non-sworn personnel. Specific functions include the management of the Employee Hiring and Selection Process, oversight of the SBI Background Investigation program, and the Special Agent Medical Program. The structured management of these programs is designed to ensure compliance with state and federal laws and policies and procedures set by the Office of State Personnel, DOJ and SBI as well as the hiring requirements for sworn personnel as defined by the North Carolina Criminal Justice Education and Training Standards Commission.

The Section responsibilities include policy and procedure development based on best law enforcement practices, disseminating newly revised policies to all personnel and ensuring that these updated policies are continually available to all employees. It is responsible for agency research and planning, evaluation and publishing of agency goals and objectives and publication of the annual report. It also facilitates annual analyses of the agency's high liability issues including but not limited to uses of force, internal affairs investigations, emergency vehicle operations, grievances, and personnel early warning system. This on-going analysis ensures that Bureau leadership is utilizing the best and most effective law enforcement and management practices to effectively serve the citizens of North Carolina.

The Assistant Special Agent in Charge (ASAC) in Career Services and Law Enforcement Programs Section serves as the program coordinator for the background investigation program.

The overall duties and responsibilities of this position require an experienced sworn agent at the level of at least Assistant Special Agent in Charge. This position must be able to understand and use the authority, jurisdiction, and resources of the SBI to administer the Agency's Special Agent Recruitment Selection and Background Investigation Program. This position may also receive investigative assignments involving complex, intensive and sensitive cases, provide guidance, advice and direction to SBI Special Agents. The position also assists the Professional Standards Division with staff inspections as needed.

The ASAC in the section serves as the agency's accreditation manager. Duties and responsibilities include gathering documentation of compliance with the standards, attending accreditation training, coordinating the multi-day on-site assessment process and serving as a critical component of the agency's team that appears before the CALEA Commission hearing which grants reaccreditation.

On an average annual basis, this single FTE dedicates approximately 40 percent of their time to accreditation activities. While the percentage of time is greater during the months immediately prior to the on-site assessment, the average provided is based on workload over the three year cycle associated with the accreditation process.

Costs Associated with Accreditation

The following is a breakdown of expenses associated with CALEA as averaged out to an annual cost based on the three year accreditation cycle from December 2008 to December 2011.

ASAC Salary (40% 1 FTE)	\$30,400.00
CALEA Process Fees:	\$5, 130.00
CALEA Software Updates:	\$125.00
CALEA Training Conference	\$4,000.00
NCLEAN Dues:	\$50.00
NCLEAN Training Conference:	\$500.00
Total Average Annual Costs:	\$ 40,205.00

CALEA's requires specialized software to manage the accreditation. Maintenance and support for this application is \$125.00 per year.

Attendance to CALEA conferences is essential to maintain awareness in the process. CALEA conferences are offered three times during a calendar year however the agency typically allows for attendance to one conference annually. It is required that the agency send representation to at least one conference every three year cycle as the Conference is also the location of the Commission hearings for reaccreditation.

The agency is an active participant in the North Carolina Law Enforcement Accreditation Network (NCLEAN) which was formed in 1989 to provide a network for North Carolina law enforcement agencies who are accredited or in the process of becoming accredited to encourage open communication, mutual cooperation and the support and the sharing of resources

throughout the state. This is a highly effective means of sharing best practices within the state and addressing issues that arise for North Carolina agencies during the accreditation process.

Conclusion

The State Bureau of Investigation was the first North Carolina state level law enforcement agency to become accredited by CALEA. The SBI voluntarily chose to undergo the intensive scrutiny and peer review required by CALEA in order to validate that it is committed to being among the finest law enforcement agencies in the nation. Participation in this process was not a mandate but a choice for the SBI to demonstrate its professionalism and commitment to meeting CALEA's motto of "Excellence through Commitment".

The CALEA accreditation process has provided the SBI a system for continuous implementation of best practices as the agency evolves to meet the changing public safety needs of North Carolina. The process provides tools that foster accountability that are applied consistently throughout the agency in a way that internal monitoring will not accomplish. In turn, employees can be certain that they will be treated fairly and equitably and the citizens served can be assured that the SBI is using the most effective and efficient law enforcement practices that focus on serving and protecting the public.