



North Carolina Department of Public Safety

Alcohol Law Enforcement

Beverly Eaves Perdue, Governor
Reuben F. Young, Secretary

C. John Ledford, Director

February 23, 2012

MEMORANDUM

TO: Joint Legislative Corrections, Crime Control, and Juvenile Justice
Oversight Committee
Chairs of the House and Senate Appropriations Subcommittees on
Justice and Public Safety
Fiscal Research Division

FROM: Secretary Reuben F. Young

SUBJECT: Legislative Request for Information

Pursuant to the report requested by the 2011 session of the North Carolina General Assembly, please find the attached summary of the North Carolina Alcohol Law Enforcement Division's accreditation program.

RFY/CJL/mbh

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TO: C. John Ledford
Director

FROM: MaryBryan Wolak
Accreditation Manager

SUBJECT: Report on Law Enforcement Accreditation Services

Per your request, please see the following summary based on the North Carolina General Assembly's request for accreditation information.

Executive Summary

The North Carolina Alcohol Law Enforcement Division has been accredited by the Commission on Accreditation for Law Enforcement Agencies (CALEA) since 2005, receiving subsequent awards in 2008 and most recently in July 2011 when the Division received Advanced Accreditation with Excellence.

Accreditation benefits the Division by validating the agency's administrative functions and protects both officers and the citizens of North Carolina through ensuring that training and enforcement operations utilize the best law enforcement practices. Adherence to accreditation standards of professionalism ensures that consistency and integrity run as parallel threads through every aspect of the Division's operations. Additional benefits of the accreditation process are outlined on pages 5 and 6 of this report.

Accreditation requires an annual investment of \$46,030 for an Accreditation Manager as well as \$5,535 for fees and other training expenses as detailed on page 3 of this report.

Personnel Associated with Accreditation

The North Carolina Alcohol Law Enforcement Division employs one (1) Administrative Officer II to serve as the Accreditation Manager for the Division. This non-sworn employee's annual salary is currently \$46,030. This position was filled in 2003 to establish the Division's accreditation program; the Division's initial

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assessment was in 2005 with subsequent re-accreditation visits by CALEA in 2008 and 2011. The North Carolina Alcohol Law Enforcement Division was the first agency of its kind to be accredited; the Division now serves as a mentor to similar agencies participating in the accreditation process.

The Accreditation Manager is responsible for demonstrating compliance with the 464 standards of professionalism verified through the CALEA accreditation process. While gathering documentation of compliance with the standards is a continual process, the Division participates in a multiple-day on-site assessment by a team of certified CALEA assessors every third year of the accreditation cycle. During this assessment, the Accreditation Manager coordinates such things as file reviews, interviews, district office visits, ride-alongs, public call-in sessions, and meetings with vested parties outside the agency. Following the assessment, the Accreditation Manager represents the ALE Division at the Commission hearing that is used to determine the agency's accreditation award status.

The Division's Accreditation Manager is a CALEA-certified assessor who travels on behalf of the Commission to assess law enforcement agencies in other states. She also trains employees of the ALE Division on the accreditation process and assists other agencies across North Carolina in their accreditation efforts.

In addition to duties associated with accreditation, the Administrative Officer II position has various other responsibilities. This position is responsible for writing and/or revising Division policies based on best law enforcement practices, disseminating newly revised policies to field personnel, and ensuring that these updated policies are continually available for use.

ALE's Accreditation Manager conducts annual analyses of the Division's high liability issues including but not limited to uses of force, internal affairs investigations, extraordinary vehicle operations, grievances, and the personnel early warning system to ensure that the members and leadership of the Division are utilizing the best and most effective law enforcement and management practices to serve the citizens of North Carolina.

The Accreditation Manager for the ALE Division serves in a support capacity for the Professional Standards and Development Section as well as the Office of Special Investigations and the Office of the Director, performing such functions as maintaining the database of internal affairs investigations, generating correspondence, transcribing interviews, creating training schedules, compiling data, and performing other research projects.

In addition, the Division's Accreditation Manager facilitates the Division's promotional process including but not limited to creating test questions, generating in-basket scenarios, scheduling interviews, training assessors, calculating scores, and compiling the promotional eligibility list.

The ALE Division's Accreditation Manager also serves as a physical assessment screener for new applicants, a certified leadership trainer for the Department of

Public Safety, a member of the Department's Equal Employment Opportunity Committee, and a Notary Public.

Other Costs Associated with Accreditation

Apart from the Administrative Officer II's salary, there are a few associated costs with the accreditation process. The following is a breakdown and summary of expenses of the Division's current accreditation cycle (July 2008- July 2011).

The breakdown of expenses over the past three years includes:

CALEA Annual Fees:	\$12,090.00
CALEA Software Updates:	\$390.00
CALEA Conference- 2011:	\$3,000.00
NCLEAN Dues- 2009, 2010, 2011:	\$250.00
NCLEAN Conference- 2010:	\$465.20
Supplies*:	\$350.00
Mock Assessment- 2010:	\$60.91
Total:	\$16,606.11

Average annual expense: \$5,535.37

CALEA's administrative fees comprise the largest expenses associated with the accreditation process. In an effort to minimize the financial burden in any given year, the ALE Division has established an annual equal payment plan; these annual installments are slightly greater than four thousand dollars.

CALEA's software of accreditation standards and reports, CACE-L, is a required component of the accreditation process. This software is updated periodically; for a nominal fee, the Division is provided with updates as well as customer service and IT assistance.

Attendance at national CALEA conferences is strongly encouraged annually and is required at least once every three years when the agency is scheduled for a revisit of the award status. CALEA conferences are offered three times during a calendar year and the ALE Division strives to attend the conference that is most beneficial in terms of training topics and most economical in terms of location. Due to budget constraints, the Accreditation Manager funded her own attendance to the 2009 conference and no ALE representatives attended a conference in 2010. In July 2011, two representatives from the ALE Division attended a conference to participate in the Commission's hearing to discuss the ALE Division's April 2011 on-site visit and to receive the Division's accreditation award.

Membership in the North Carolina Law Enforcement Accreditation Network (NCLEAN) is essential to an accreditation manager's training and skill development. Through bimonthly meetings, this group provides continual training and is a constant resource for best law enforcement practices, policies, and procedures

within the state of North Carolina. Participation in this network allows accreditation managers to stay apprised of the latest accreditation developments between national CALEA conferences. In order to accommodate fund-restricted agencies, group membership fees were reduced from \$100 to \$50 in 2010. In addition to regular meetings, NCLEAN annually hosts a three-day conference that provides essential training and an opportunity to interact with CALEA staff on an individualized basis. Due to budget constraints, the Division's Accreditation Manager self-funded her participation in the 2009 conference. For the 2011 calendar year, no member of the Division attended the state conference since participation in the national conference was mandated for the agency.

Supplies needed for accreditation typically include items such as file folders, hanging files, labels, and other office materials. The ALE Division recycles these items as much as possible and has not purchased accreditation office supplies since 2008. Costs associated with the mock assessment in November 2010 were incurred to provide meals to assessors reviewing the Division's accreditation files. The Division utilized local resources, eliminating the need for overnight stay expenses for these individuals.

The ALE Division is diligent in choosing to use recycled materials and local resources to minimize expenses associated with accreditation. The Division sends only necessary personnel to national training conferences when required, opting instead to maximize our more economical state accreditation network resources; this selective process enables the Division to maintain accreditation with minimal financial burden on the Division or the citizens of the State.

Summary of the Accreditation Process

Accreditation is a five-step process that includes enrollment, self-assessment, on-site assessment, commission review, and maintenance. The enrollment process includes an agency questionnaire that provides CALEA with a general overview of the agency. The ALE Division completed this enrollment step in August 2003. From the date of enrollment, the agency has 36 months to complete self-assessment. This assessment includes a critical review of agency policies and procedures and the gathering of directives and documentation that demonstrates compliance with the 464 accreditation standards of professionalism. Once the agency is satisfied with the gathered documentation, a team of assessors from the NCLEAN accreditation network review the files in a 'mock assessment', offering feedback, corrections, and suggestions. Once the agency makes any necessary changes, a four (4) day on-site assessment is scheduled. During this on-site assessment, two (2) CALEA-certified assessors visit the agency and conduct file reviews, agency tours, district office visits, interviews and ride-alongs with employees, discussions with those served by the agency, and a public call-in session where members of the general public can provide feedback or information to the assessment team. Following this visit, a report is generated by the assessment team and forwarded to the Commission. The agency is then scheduled to attend a national conference to participate in a hearing during which time a three (3) member panel of CALEA Commissioners questions the agency and forwards a recommendation for accreditation to the full 23-member

Commission. The full Commission then votes on the accreditation award status for the agency. The North Carolina Alcohol Law Enforcement Division was initially accredited in 2005, reaccredited in 2008 and received Advanced Accreditation with Excellence in 2011.

Summary of the Benefits Gained from Accreditation

Participation in the CALEA accreditation process has been instrumental in the advancement of the professionalism and continued operational success of the North Carolina Alcohol Law Enforcement Division. The CALEA accreditation process has benefited the Division in the following ways:

- A continual assessment of the ALE Policy & Procedure Manual results in periodic revisions that produce comprehensive and precise methods for Special Agents of the Division to follow in order to provide consistent exemplary law enforcement services to the citizens of North Carolina.
- The adherence to accreditation standards on applicant selection and promotional processes provides a proven method of justification that the ALE processes are valid and are appropriate measures with which to hire and promote personnel.
- Following a CALEA-required evaluation of training needs, the ALE Division reinstated Defensive Driving course into the Basic School, resulting in a 29% decrease in at-fault vehicle accidents for the 2005 calendar year.
- Through the required documentation and tracking of Professional Standards investigations, the ALE Division is able to verify that internal investigations are thorough and uniform, and that disciplinary actions are consistent across the state.
- The CALEA accreditation process prompted the Division to institute a staff inspection process to confirm consistent processes throughout the Division's nine districts. A staff inspection process audit in 2010 resulted in a restructuring of the process to ensure the most relevant areas are given priority attention.
- The added line inspection process enabled the Division to ensure Special Agents are supplied with the necessary equipment needed to effectively carry out their respective duties. This inspection ensures that all agency equipment is accounted for and that any stored equipment is maintained in a state of operational readiness.
- The CALEA accreditation process requires an evidence inspection process that certifies the integrity of the collection, maintenance, and disposition of all seized property.

- The thorough documentation required for proof of compliance with standards related to the Division's hiring process protects the Division and the Department of Public Safety from liability litigation from non-hired applicants.
- Required workload assessments guide the Division's leadership on how to best distribute manpower resources across the state.

Participation in the accreditation process provides a system through which the ALE Division can continue to implement the best law enforcement practices as they evolve to meet the changing public safety needs of North Carolina. Accreditation enables an objective set of checks and balances to be applied diligently and purposefully to the administrative and operational actions of the agency in a way that internal policing will not accomplish. In all personnel matters, employees of the ALE Division can be certain they will be treated fairly and equitably. In their enforcement activities, sworn personnel can be sure they are using effective and efficient law enforcement practices that focus on serving the public without sacrificing officer safety. Accreditation's benefits are not necessarily measured by tangible rewards as much as they are measured in efficient use of resources, increase in standardization and professionalism, and improvement of law enforcement services delivered to the citizens of North Carolina.