



*State of North Carolina  
Department of Public Safety  
Prisons*

Chapter: A  
Section: .0900  
Title: **Employee Training**  
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## **POLICY & PROCEDURES**

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### **.0901 GENERAL**

It is the policy of Prisons to provide opportunity for training for its employees. Training is designed to help employees develop their knowledge, skills and abilities so they might become more proficient in the performance of the duties of their current jobs and prepare for advancement within Prisons.

### **.0902 REFERENCES**

North Carolina Administrative Code Title 12 09 G; North Carolina Office of State Personnel Policy Manual; North Carolina Department of Public Safety Personnel Policy Manual, North Carolina Department of Public Safety Office of Staff Development and Training Policy Manual; Office of Staff Development and Training Field Training Coordinator Manual, North Carolina Department of Public Safety Fiscal Policy Manual, American Correctional Association Manual of Standards – Central Office; American Correctional Association Manual of Standards – Adult Correctional Institutions, Fourth Edition.

### **.0903 RESPONSIBILITIES**

Providing adequate training of Prison employees can best be accomplished through the combined efforts of employees, supervisors, Division Management, the Office of Staff Development and Training and other sections of the Department of Public Safety. The following responsibilities should be recognized regarding employee training:

- (a) Employees – Prisons' employees at all levels retain an obligation for their own development and education and it is expected that employees will advance their careers through appropriate self-education and self-improvement.
- (b) Managers and Supervisors – Managers and supervisors have the initial responsibility for ensuring that employees are properly trained to perform assigned job functions. In fulfilling this responsibility, managers and supervisors should identify the individual training needs of their employees and work with the employees to plan and implement needed training. Such plans may make use of on-the-job training, individual and group instruction by supervisors, formal training activities and rotational assignments to provide greater depth and a wider base of experience.
- (c) Prisons – Prisons has a responsibility to ensure that employees are trained to perform assigned job functions. It is responsible for assuring that training programs geared to

specific division needs are planned, budgeted and provided and that its employees participate in these programs. Prisons works closely with the Office of Staff Development and Training, other sections of the Department of Public Safety and the Office of State Human Resources and utilizes to the fullest degree possible State universities, community colleges and the Department of Public Instruction in securing professional, management and vocational training to meet the training needs of its employees.

#### **.0904 COORDINATION AND SUPERVISION OF TRAINING**

- (a) The overall coordination and supervision of training for the employees of Prisons shall be the responsibility of the Prisons Operations Manager for Training.
- (b) The Prisons Operations Manager for Training shall be assisted in the coordination of the training by Central Office Section Managers, Regional Staff and the institution Correctional Training Specialists, staff of the North Carolina Department of Public Safety's Office of Staff Development and Training, staff of the North Carolina Justice Academy and staff of the various member institution of the North Carolina Community College System.
- (c) At a minimum, the Prisons Operations Manager for Training and Institution Training Specialists shall have completed the North Carolina Criminal Justice Education and Training Standards Commission's General Instructor Training course or have equivalent education and training experience.
  - (1) **TRAINING PLAN** - A comprehensive staff development and training plan will be developed, evaluated and updated annually based on current job-related training needs. The training plan is to be developed by the In-Service Training Committee which is led by the Prisons Operations Manager for Training. Members of this committee will consist of Regional Staff, Institution Correctional Training Specialists, representatives of each major section of the Prisons Central Office, and staff of the North Carolina Department of Public Safety's Office of Staff Development and Training. Consideration should be given to position requirements, professional development needs, current correctional issues, and new techniques and technology. The Division Training Committee shall meet at least annually and written records of these meetings shall be forwarded to the Director of Prisons with a recommendation for appropriate action or remedy.
  - (2) Each facility should develop an internal advisory training committee composed of the facility training coordinator and a representative from each of the facility's operational areas. The facility advisory training committee should meet quarterly to review the progress and discuss problems with the current training plan. A written report of this meeting will be forwarded to the Facility Head, whom will share any recommendations or concerns with the Region Office and the Prisons Operations Manager for Training.

## (3) TRAINING

(A) Orientation - all new employees of the Division of Prisons shall receive formalized orientation prior to receiving a job assignment. This training will be a combination of instructor led training as well as training through the Learning Management System (LMS). The sophistication level and amount of training should be based on the employee's need to know and their job assignment. At a minimum this training should include information on:

- DPS New Employee Orientation to include responsibilities and rights of employees
- Purpose, goals, policies & procedures of Prisons and each individual facility
- A general overview of the field of corrections
- Universal precautions and hazardous materials communication
- Occupational Exposure to Infectious Disease
- Lock-out, tag-out
- Fire safety
- Self injurious behavior prevention
- Staff-offender relations – professional boundaries (Non-certified)
- Unlawful workplace harassment (Non-certified)
- Prison Rape Elimination Act orientation
- Security and Contraband control regulations and practices
- Hostage situations
- Emergency procedures
- Tool and key control
- Ethics and Professional Conduct
- Orientation to Individualized Job Responsibilities\*
- Gift Ban
- Security Awareness (as applicable to position)
- E-mail Tutorial (as applicable to position)

In addition to this class, all new employees in job classes certified as State Correctional Officers by the North Carolina Criminal Justice Education and Training Standards Commission shall receive the initial pepper spray (OC) training.

Upon promotion to a position that has access to E-Mail; the employee shall complete E-Mail Tutorial training.

(B) Correctional Officer Basic Training– each newly hired State Correctional Officer (see Attachment A) is required by the North Carolina Criminal Justice Education and Training Standards Commission to complete the

160 hour Correctional Officer Basic Training course within twelve (12) months of employment. This course of instruction is developed by the Office of Staff Development and Training and approved by the North Carolina Criminal Justice Education and Training Standards Commission. At a minimum, this training covers the following areas:

- Security procedures
- Supervision of offenders; offender rules and regulations
- Suicide intervention/prevention
- Use of force
- Safety procedures
- Key control
- Interpersonal relations
- Communication skills
- Cultural awareness
- Control, Restraints, Defensive Techniques Fire safety
- CPR/First Aid
- Straight/Expandable baton
- Report writing
- Security Risk Groups
- Contraband control
- Tool control
- Emergency plans/procedures
- Firearms training and qualification
- Staff-offender relations-professional boundaries
- Unlawful workplace harassment

Institutions should refer to the Office of Staff Development and Training's Field Training Coordinators' Manual for procedures relating to the Correctional Officer Basic Training.

As per Criminal Justice Standards, the Basic Correctional Officer training must be successfully completed within 12 months from the date of hire. Successful completion of Basic Correctional Officer training includes the passing of all BCO courses with a passing score of 70 or higher. An employee's failure at any level on any course is consider an "attempt". An employee will have a total of three (3) attempts to successfully complete Basic Correctional Officer training. Failure to successfully complete Basic Correctional Officer training on the third attempt will result in termination of employment.

An employee who fails to demonstrate competency in any of the psychomotor skills courses (firearms qualification scores, proficiency

testing for CRDT and CPR) during the Correctional Officer Basic Training shall return to the assigned facility for remedial training or may receive remedial training by OSDT. An employee who fails to demonstrate competency in any of the psychomotor skills courses (firearms qualification scores, proficiency testing for CRDT and CPR) during the Correctional Officer Basic Training shall return to the assigned facility for remedial training. The employee who fails to demonstrate competency in any of the psychomotor skills will not be permitted to sit for the Correctional Officer Basic Training Examination. After the employee has demonstrated competency during remediation, he/she shall be scheduled to attend that portion of the Correctional Officer Basic Training. If the employee demonstrates competency in the psychomotor skills at this time, he/she shall be permitted to sit for the Correctional Officer Basic Training Examination. If at this time the employee fails to demonstrate competency in the required psychomotor skills, he/she shall be scheduled to complete the Correctional Officer Basic Training in its entirety. If the employee fails to demonstrate competency during the second session of the Correctional Officer Basic Training, his/her employment shall be terminated.

An employee who fails to attain a passing score on the Correctional Officer Basic Training Examination shall return to the assigned facility for remedial training in the subject matter of the basic training course. While the employee is working at the facility prior to successful completion of Correctional Officer Basic Training, he/she is to have no direct contact with the inmate population. After the remediation, the employee shall be scheduled to sit for the Correctional Officer Basic Training Examination for the second time. If the employee fails to attain a passing score on this examination, he/she shall be schedule to complete the Correctional Officer Basic Training in its entirety. If the employee fails to attain a passing score on the Correctional Officer Basic Training at the conclusion of this session of the Correctional Officer Basic Training, his/her employment shall be terminated.

(C) Annual In-Service Training for Certified Correctional Officers

After the first year of employment, Certified State Correctional Officers shall receive in-service training **each year**. This training shall include but not be limited to information on the following:

- Firearms (including law & policy, safety, and qualification)
- Security/safety/fire/medical emergency procedures

- Supervision of offenders including training on sexual abuse and assault
  - Control, Restraints, Defensive Techniques (4-4090)
  - Fire safety
  - Occupational Exposure to Infectious Disease
  - Self-injurious behavior prevention
  - OC (pepper spray refresher) (4-4092)
  - CPR (bi-annual)
  - Expandable/Straight baton
  - Safe search practices
  - Staff Offender Relations – Undue Familiarity
  - Unlawful Workplace Harassment
  - Ethics and Professional Conduct
  - Security Awareness Training
- (i) Firearms training and re-qualification – Employees who have not qualified with the firearms within the past 12 months shall not be issued a firearm except for the purpose of training and re-qualification. Every employee in a certified position within Prisons is required to successfully re-qualify annually with the Division’s designated weapons (handgun and shotgun). Designated employees shall also re-qualify annually with the rifle.
- (ii) A certified employee may attempt up to three (3) re-qualification courses of fire on any given day for each weapon (maximum of 150 rounds for handgun, 21 rounds for shotgun, 30 rounds for rifle (designated staff only). Three (3) re-qualification attempts in one day constitute a session.
- (iii) Employees will be provided three (3) opportunities to successfully complete firearms training following the first training event.

**First failure to complete Annual In-Service Firearms training**

- Employee is directed to return to his/her facility
- Employee’s supervisor, manager, or facility head inquires with the employee as to what the facility can do to assist him/her in being successful with the functionality portion of the Firearms training
- Facility management should take reasonable steps to assist the employee
- Employee’s supervisor must document this conversation and any assistance provided as a coaching session in the NCVIP system
- Employee’s supervisor should explain to the employee the complete disciplinary process for failure to successfully complete the Firearms training

- Employee will be scheduled for next available Firearms class

**Second failure to complete Annual In-Service Firearms training**

- Employee is directed to return to his/her facility
- Employee's supervisor, manager, or facility head inquires with the employee as to what the facility can do to assist him/her in being successful with the functionality portion of the Firearms training
- Facility management should take reasonable steps to assist the employee
- A written warning will be issued to the employee for unsatisfactory job performance – written warning will document the steps taken to assist the employee in successful completion of the training
- Employee will be scheduled for next available Firearms class

**Third failure to complete Annual In-Service Firearms training**

- Employee is directed to return to his/her facility
- Employee's supervisor, manager, or facility head inquires with the employee as to what the facility can do to assist him/her in being successful with the functionality portion of the Firearms training
- Facility management should take reasonable steps to assist the employee
- A second written warning will be issued to the employee for unsatisfactory job performance - written warning will document the steps taken to assist the employee in successful completion of the training
- Employee will be scheduled for next available Firearms class

**Fourth failure to complete Annual In-Service Firearms training**

- Employee is directed to return to his/her facility
- The facility will begin the steps to initiate a dismissal for unsatisfactory job performance given that the employee has failed to maintain or obtain an essential credential.

(iv) All attempts to re-qualify should be completed within four (4) months of the initial re-qualification failure.

(D) Annual In-Service Training for Managerial, Administrative, Support, and Professional Specialist Employees

In addition to the formalized orientation all managerial, administrative, support and professional specialist employees shall receive additional training during the first year of employment and in-service training each year thereafter, in areas relevant to their position. This training should include but not be limited to:

- Fire safety
- Unlawful Workplace Harassment
- Contraband Control
- Staff Offender Relations – Undue Familiarity
- Ethics and Professional Conduct
- Emergency procedures
- Occupational Exposure to Infectious Disease
- Self-injurious behavior prevention
- Security Awareness (as applicable)

In addition to training conducted by Prisons, training that is related to the job responsibilities may be received from other sources such as the Office of State Human Resources, the member institutions of the Division of Community Colleges, the North Carolina Board of Nursing, the local Area Health Education Centers and professional associations/organizations.

- (E) Annual In-Service Training for Clerical/Support Employees Who Have Minimal Offender Contact - Employees whose job responsibilities require only minimal offender contact shall receive training during the first year of employment over and above the formalized orientation and in-service training each year thereafter. This training should include but not be limited to:

- Fire safety
- Contraband control
- Emergency procedures
- Unlawful Workplace Harassment
- Staff Offender Relations – Undue Familiarity
- Ethics and Professional Conduct
- Blood borne Pathogens
- Security Awareness (as applicable)

In addition to training conducted by the Department, training related to the job responsibilities may be received from other sources such as the North Carolina Justice Academy, the Office of State Human Resources, the member institutions of the Division of Community Colleges, professional associations/organizations.



- (F) Part-time and contractual employees shall receive formal orientation appropriate to their assignments and will receive additional training as needed. This training should include but not be limited to:
- Fire safety
  - Contraband control
  - Emergency procedures
  - Staff –offender relations – professional boundaries
  - Prison Rape Elimination Act Orientation
  - Security Awareness (as applicable)
- (G) Evaluation of Training - The Quality Assurance Manager of the Office of Staff Development and Training is responsible for the evaluation of all orientation, basic, and in-service training conducted by divisions of the North Carolina Department of Public Safety and is responsible for the preparation of written reports annually to be submitted to the Director of Prisons.
- (H) Instructors - Employees who instruct in accredited training classes shall have completed, at a minimum, the (80) hour General Instructor Training course as approved by the North Carolina Criminal Justice Education and Training Standards Commission.

In addition, employees who instruct in the Correctional Firearms; Control, Restraints, Defensive Techniques; Straight/Expandable Baton, OC Spray; Chemical Munitions; Unlawful Workplace Harassment; Occupation Exposure to Infectious Diseases; Staff-Offender Relations, CPR shall have completed specialized instructor training prior to instructing in these courses.

- (I) Training Conducted by Agencies External to the Department of Public Safety

Employees are encouraged to utilize the resources of agencies external to the Department of Public Safety to attend approved professional meetings, seminars, training, and similar work-related activities. Agencies such as the National Institute of Corrections, the American Correctional Association, the U. S. Department of Justice, the North Carolina Office of State Human Resources, the North Carolina Justice Academy, the North Carolina Board of Nursing, the Area Health Education Centers, the member institutions of the North Carolina Division of Community Colleges and various other professional organizations and associations offer training that is appropriate for Prisons employees.

Prior to seeking approval for participation in seminars, workshops, etc. conducted or sponsored by agencies external to state governmental agencies, employees are responsible for exhausting the resources of Prisons, the Office of Staff Development and Training, other sections of the Department of Public Safety, the Office of State Human Resources, the Department of Public Instruction, the North Carolina Justice Academy, member institutions of the Department of Community Colleges and the state university system. Prior approval must be obtained before employees attend any training seminars, workshops or conferences conducted by agencies external to the Department of Public Safety.

Employees in job classifications that require licensure or certification are responsible to ensure that such licensure or certification is kept current. Employees attending workshops, seminars, etc. for the sole purpose of obtaining Continuing Education Units (CEU's) to maintain licensure or certification are responsible for the expenses of such workshops, seminars, etc. Prisons may grant training leave to attend these activities. Employees attending workshops, seminars, etc. which award CEU's and the content of which is directly related to maintaining or improving knowledge, skills and/or abilities of the current job may be reimbursed for expenses incurred for the training.

Prisons will reimburse expenses consistent with current fiscal policy for employees to attend workshops, seminars, etc. which are conducted by organizations external to state agencies to correct documented performance deficiencies (rating of Does not Meet Expectations on the most recent work performance appraisal) when it is determined that (1) the deficiency can be corrected by training and (2) there are no essentially similar training programs offered by state agencies, including member institution of the community college system.

Prisons may reimburse expenses consistent with current fiscal policy for employees to attend job-related workshops, seminars, etc. designed to maintain or improve the knowledge, skill and ability of the current job that are conducted by organizations external to state agencies when deemed appropriate by the supervisor(s); however, there is no stated or implied obligation to do so.

The procedures for requesting approval for training conducted by agencies external to the Department of Public Safety are in Attachment B.

- (J) Prisons encourage membership and participation in criminal justice and allied professional associations and activities.

Providing an opportunity for the exchange of information and networking with other professionals in the correctional arena can best be accomplished by participation in job-related professional associations and organizations.

The following responsibilities should be recognized regarding employee membership and participation in professional associations and organizations:

- (i) Employees – Prisons employees are responsible for any and all expenses associated with membership in any professional association or organization.

Employees may be approved to participate in leadership roles of professional organizations associated with the Department. Total participation in all organizations for all purposes (boards, committees, training conferences, etc.) is limited to a cumulative maximum of 10% (208 hours) of the employees work time, unless vacation or other appropriate leave is used. Leave request will be considered/approved by the employees' Section Manager/Facility Head in advance of the event. Employees must understand that their leave cannot be approved if their absence impedes the progress of the work unit.

Any request for participation in activities associated with professional organizations in excess of the 10% limit must be referred to the Director of Prisons or designee for review and final decision.

Employees must not commit to serve on boards or committees or to hold office in professional associations or organizations that will require the expenditure of state funds without the express written approval of the Director of Prisons or his/her designee.

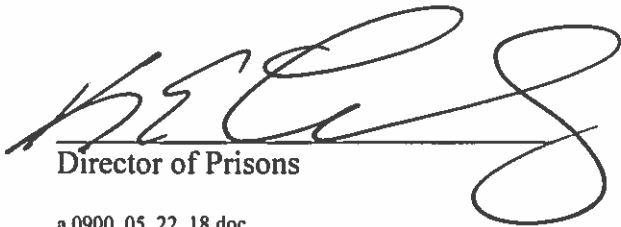
Employee participation in committee meetings, planning meetings, work groups, etc. for a professional association or organization is not training and should not be documented as such in the employee time records.

- (ii) Managers and Supervisors – Managers and supervisors should encourage and support employee membership and participation in job-related professional associations and organizations.
- (iii) Prisons – Prisons encourage and supports employee membership and participation in job-related professional associations and organizations. Prisons have no obligation to provide financial support to any professional association or organization or to any member thereof.

Prisons may approve reimbursement of expenses consistent with current fiscal policy for employee members to attend conferences, seminars or workshops sponsored by job-related professional

associations and organizations at the regional, state or national level; however, there is no stated or implied obligation to do so.

- (K) Employees are encouraged to take advantage of available library and reference services to complement the training and staff development program. Agencies such as the National Institute of Corrections, the American Correctional Association, the U. S. Department of Justice, the North Carolina Office of State Human Resources, the North Carolina Justice Academy, the North Carolina Board of Nursing, the Area Health Education Centers, the member institutions of the North Carolina Division of Community Colleges, the State University System, and various other professional organizations and associations offer library and reference material that is appropriate for Adult Facilities employees.



Director of Prisons

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Date

ATTACHMENT A  
CERTIFIED STATE CORRECTIONAL OFFICER JOB CLASSIFICATIONS

Correctional Officer Trainee (Probationary Certification)

Correctional Officer I, II, III

Correctional Sergeant I, II, III

Correctional Lieutenant I, II, III

Correctional Captain I, II, III

Correctional Assistant Unit Manager I, II

Correctional Unit Manager I, II

Correctional Case Manager

Correctional Programs Supervisor

Correctional Food Service Officer I, II, III

Correctional Food Service Manager I, II, III

Correctional Assistant Superintendent

Assistant Correctional Superintendent for Programs I, II

Assistant Correctional Superintendent for Custody and Operations I, II, III, IV, V

Correctional Superintendent I, II, III, IV

Correctional Administrator I

Deputy Prison Warden I, II

Prison Warden I, II

Associate Prison Warden

ATTACHMENT B  
PROCEDURES FOR REQUESTING TRAINING EXTERNAL TO THE DEPARTMENT

Seminars, workshops and/or professional associations or conferences conducted by agencies external to the Department of Public Safety for which there is no expense involved or for which the employee pays the associated costs without expectation of reimbursement, use of a state-owned vehicle may be authorized.

1. Submission of Employee Training Request

Externally Based Training (Not based on an OSDT approved lesson plan) (In-State and/or Out of State Training)

Training Authorization Form CNTR 001a is to be used to request approval for participation in training, workshops or conferences. The CNTR 001a must be submitted without regard to the source of payment or expenses or the source of instruction and accompanied by the CNTR001 Travel Authorization form. The forms are available from the OSDT website: <http://internal.doc.state.nc.us/osdt/forms.htm>

The employee completes the CNTR 001a and CNTR 001 and submits forms to Supervisor who reviews and forwards to facility manager or designee if required for approval. The Location Manager/Training Coordinator reviews the CNTR 001a and approves/disapproves, provides the authorization signature and scans the form, email to [OSDT@ncdps.gov](mailto:OSDT@ncdps.gov) or fax to 919-367-7180 Attention: External Training Request.

The CNTR 001a and CNTR 001 must be approved by Section/Location Head prior to being submitted to OSDT. Out of state request require Division Head approval and out of country request require approval by Secretary of Public Safety. Upon completion of approved training and in order to receive course credit, the employee must login to LMS, click on *My Transcript, Add External Training* and complete the required fields, click the *Submit* button and click on *Mark Complete* within 60 days. These forms may be found on the OSDT webpage.

2. Division Sponsored/Supported Training

If employees attending a Prisons sponsored/supported training event are to receive training credits, the sponsor of the event will have to submit a formal training proposal in advance of the event to establish a training course code and training credit in LMS. This must be accomplished by following the "Training Proposal Format" of OSDT. This format is available on OSDT website: <http://internal.doc.state.nc.us/osdt/training/TrainingProposalFormat.pdf>

3. Reimbursement of expenses:

Approved expenses will be reimbursed consistent with Fiscal Travel Policy. Form CNTR 003 is to be used for reimbursement request.

4. Documentation of training through LMS

To receive training credit, within 60 days upon completion of training, the employee must login to the LMS, click on My Transcript, Add External Training, complete/submit the form, click on Mark Complete, Submit. This notification of completion is sent by the system to OSDT for verification and applied to the employee's transcript as training completed.