National Institute of Corrections

Security Operational Assessment

North Carolina Department of Public Safety
Raleigh, North Carolina
November 6 – 10, 2017

Pasquotank Correctional Institution and Correction Enterprise
&
Nash Correctional Institution and Correction Enterprise

Disclaimer

DISCLAIMER

RE: NIC Technical Assistance No. 18P1002

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The resource persons who provided the on-site technical assistance did so through a technical assistance agreement, at the request of the North Carolina Department of Public Safety, and through the coordination of the National Institute of Corrections. The direct on-site assistance and the subsequent report are intended to assist the agency in addressing issues outlined in the original request and in efforts to enhance the effectiveness of the agency.

The contents of this document reflect the views of Larry E. Reid, James Upchurch, Joan Palmateer, Steve Turley and Rob Jeffreys. The contents do not necessarily reflect the official views or policies of the National Institute of Corrections.

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Executive Summary

On October 12, 2017, the North Carolina Department of Public Safety (NCDPS) suffered an incredible loss. Two corrections employees were murdered, three were critically injured, and several more suffered injuries during an attempted escape from Pasquotank Correctional Institution in Elizabeth City, North Carolina. On October 20, 2017, North Carolina Department of Public Safety Secretary Erik A. Hooks, requested technical assistance from the National Institute of Corrections to conduct a security operational assessment of Correction Enterprises operations at Pasquotank Correctional Institution (PCI) and Nash Correctional Institution (NCI).

The security areas identified in this report were examined by a process of document reviews, staff interviews, observations of staff performance and security operations assessment based upon nationally accepted best security practices for prisons. It is important to note the overarching security areas in this report are related and each area has a dynamic impact on one another. This report details the specific observations and recommendations identified by the assessment team.

Department Policies

The North Carolina Department of Public Safety institution security policies are outdated and not succinctly written. The department's policies did not have supporting forms attached. Correction Enterprises (CE) policies contained security inaccuracies, and were incongruent with the department's policies. The overarching results created inconsistencies in the application of security practices in Pasquotank and Nash Correctional Institutions, as well as the Correction Enterprises security operations. Security policies are intended to provide standardized procedures for a variety of security systems that are complex, comprehensive and integrated. These systems when properly employed and monitored are designed to prevent violence, escapes, and to control contraband. Policy and procedures are significant, as they establish the desired performance standards for all staff to receive training and follow.

Staffing

The staffing vacancies reported by North Carolina Department of Public Safety Executive Staff was 25% at PCI, and those reported for NCI were 16 staff vacancies with 15 of the positions potentially filled. At PCI, the facility was trying to maintain a normal prison operation with a 25% deficient in staffing. PCI's use of overtime has produced staff burnout, complacency and taking of shortcuts.

Collaboration between NCDPS and CE

The working relationship between NCDPS and CE appears to be disconnected. The communications between the agencies are limited and the security procedures and operational practices in CE do not meet correctional security standards.

Staff Personal Safety Equipment

There is an absence of personal safety equipment available at both institutions and CE plants for correctional, CE employees and volunteers. Personal safety equipment and training is a critically important safety feature for everyone who work in a prison setting.

Staff Training

The initial and refresher staff trainings are vitally important for all employees who work in prisons. Although CE staff directly supervise inmates, they do not experience academy level training to learn the fundamentals of safety and security measures, policies, procedures and best practices. Additionally, we found correctional staff at PCI lacked sufficient training in current national emergency response techniques developed by FEMA's National Incident Management (NIMS), Incident Command System (ICS).

Inmate Work Assignment

Historically, inmates at all custody levels of security were authorized to work in the Correction Enterprises Plants. Pasquotank Correctional Institution is one of the department's close custody institutions, housing and managing the department's highest risk inmates identified by the classification system. Prior to the October 12, 2017 incident at PCI, close custody inmate workers were authorized to work for the Correction Enterprises Sewing Plant.

Security Auditing and Inspections

The primary purpose for conducting security audits is to identify weakness or deficiencies in security operations, so that corrective actions can be taken to strengthen them. Although North Carolina Department of Public Safety conducts security audits, inconsistencies were identified in how comprehensively the security audits are conducted, and the security audit results reviewed raised concerns about the quality of training the department's security auditors received.

Recommendations for Moving Forward

The specific and detailed recommendations contained in the Security Operations Assessment are designed to identify and support the steps necessary for North Carolina Department of Public Safety and Correction Enterprises to move forward. While the report revealed serious and multifaceted issues within the security operations for both Prisons and Correction Enterprises Operations, we are confident the issues noted can be resolved with the commitment already demonstrated by the leadership of the North Carolina Department of Public Safety and Correction Enterprises.

We would like to thank the North Carolina Department of Public Safety and Correction Enterprise for the opportunity to work with their dedicated staff following the horrific incident on October 12, 2017. We also appreciate the openness, candor, and enthusiasm by everyone we encountered. The openness we experienced was instrumental to the assessment team's work and to the overall outcomes of this report.

I. Purpose

The North Carolina Department of Public Safety (NCDPS) contacted the Prison Division of the National Institute of Corrections (NIC) to request technical assistance in conducting an independent security operational assessment, following a major incident that occurred at the Pasquotank Correctional Institution (PCI). On October 12, 2017, four inmates attempted to escape from the Correction Enterprises (CE) Sewing Shop located at PCI. The escape attempt resulted in the death of four (4) employees and several staff injuries. The NCDPS submitted a request to NIC for an independent detailed security operational assessment of Pasquotank Correctional Institution and Nash Correctional Institutions (NCI), as well as the Correction Enterprises Operations at each facility. This is the second incident, resulting in the loss of life of a correctional employee at a correctional institution in less than six (6) months at the NCDPS.

The security operational assessment is not an investigation of any specific incident(s) that had occurred. This assessment is intended to determine if there are existing deficiencies and/or gaps in the security operations, policies, procedures, and operational practices that , could potentially contribute to future safety and security risks for employees who work in prisons, inmates, and the public.

II. Objectives

In collaboration with the National Institute of Corrections, the following objectives were identified for review.

- Conduct a safety and security operational assessment of Correction Enterprises at both Pasquotank and Nash Correctional Institutions.
- Review and assess the effectiveness of North Carolina Department of Public Safety, Division of Prisons and Correction Enterprises policies, procedures, standards, practices and protocols related to operational safety and security. Evaluate the level of compliance at Pasquotank CI, Nash CI and Correction Enterprise with the department's written security policies, procedures and policies and desired practice.
- Assess the effectiveness and efficiency of North Carolina Department of Public Safety Prison Division's security policies, procedures as it relates to tool and key control, staff personal safety, staff training, searches, control and storage of non-lethal equipment; communications and alert systems, control center operations; controlled movement; hazard material management, inmate work assignments; key control management; physical plant; standard operating procedures; security inspections; tool and sensitive items control, emergency management plans and response. (Incident Command System)

- Review emergency communication/notification systems including availability of radios, personal body alarms, telephone off-hook alarm, public address system and door alarms.
- Review correctional officers staffing and training.
- Review Correction Enterprise Employee Training for those employees who have direct contact with inmates.
- Review the frequency and content of security inspections and security auditing.
- Review any security practice or function, including staff deployment practices during emergencies.
- Review the operational and working relationship with Division of Prisons and Correction Enterprise.
- Review staff and employee accountability processes.
- Observe staff and inmate interaction.
- Assess overall staff wellness and morale.
- The methodology for the assessment will be based upon nationally recognized security "Best Practices "identified by National Institute of Corrections and The Assessment Team's, Professional Opinions.

III. Project Approach

On November 6, 2017, the NIC Assessment Team met with members of North Carolina Department of Public Safety Executive Team, Correction Enterprise Executives, and Pasquotank Correctional Institution Administrative Management Team at Pasquotank Correctional Institution. Participants in the briefing included:

- Erick A. Hooks, Secretary, North Carolina Department of Public Safety
- Tim Moose, Deputy Secretary, Adult Corrections and Juvenile Justice
- Pamela Cashwell, Chief Deputy Secretary, Professional Standards and Policy and Planning
- Jane Ammons Gilchrist, General Counsel, North Carolina Department of Public Safety
- Kanawha Perry, Director, Office of Special Investigations
- Karen Brown, Director, Correction Enterprises
- Robert Leon, Deputy Director, Correction Enterprises
- Kenneth Lassiter, Director, Prisons
- Annie Harvey, Deputy Director, Prisons
- Felix C. Taylor, Administrator 1, Pasquotank Correctional Institution

- Colbert Respass, Assistant Superintendent Custody Operations, Pasquotank Correctional Institution
- Ronald Taylor, Prisons Chief, National Institute of Corrections
- Steven Turley, Consultant, National Institute of Corrections
- Rob Jeffreys, Consultant, National Institute of Corrections
- Joan Palmateer, Consultant, National Institute of Corrections
- James Upchurch, Consultant, National Institute of Corrections
- Larry E. Reid, Lead Consultant, National Institute of Corrections

The briefing included introductions, discussion on resources needed to support the assessment process, identification of areas to be assessed and finalizing of the assessment team's work schedule and logistical support. Upon completion of the briefing, the attendees participated in a comprehensive tour of the Correction Enterprises Sewing Shop at Pasquotank Correctional Institution.

On November 8, 2017, the NIC Team conducted a briefing with North Carolina Department of Public Safety Executives and Nash Correctional Institution Administrative Management Team in attendance were:

- Pam Cashwell, Chief Deputy Secretary
- Mike Daniska, NCDPS Policy and Planning
- Kenneth Lassiter, Director of Prisons
- Robert Leon, Deputy Director, Correction Enterprise
- Carlton Joiner, Deputy Director
- Shelia Mitchell, Regional Director
- Johnny Hawkins, Correctional Administrator I
- Bryan L. Pulley, Correctional Assistant Superintendent IV (Custody)
- Melvin Green, Administrative Officer III
- Jeff Perry, Facility Maintenance Manager I

Upon the completion of the briefing, the attendees participated in a comprehensive tour of the Nash Correctional Enterprises, Print and Optical Plants. At the conclusion of each institutional tour, the NIC Team was provided with the Correctional Institution's policies, procedures, staffing patterns, standard operating practices (SOP), audit reports, and other documents.

IV. Assessment Team Members

A. Larry E. Reid

Larry has an undergraduate degree in Psychology and a Master of Science Degree in Criminal Justice Management from Columbus University. Larry is an independent correctional consultant for Crime Justice Institute (CJI). Larry also provides consulting services for the Criminal Justice Institute, Association of State Correctional Administrators (ASCA), the National Institute of Corrections (NIC) and other organizations. Larry also provides expert witness, consultation and training for correctional jurisdictions and other criminal justice entities. As a consultant and trainer for the National Institute of Corrections, Larry has worked nationally and internationally with jurisdictions on facility operational plans; contemporary programs for high risk and segregated populations; staffing analysis; critical incident reviews; policy and procedure development; organizational management; and correctional security programs.

Larry began his career in corrections with Colorado Department of Corrections, as a Correctional Officer in 1987. After holding a number of positions such as case manager, shift commander, security and programs manager, Larry was promoted to the position of warden in 2001. He served as warden for Colorado State Penitentiary Administrative Segregation 2002-2007 and Centennial Correctional Facility Close Custody 2003-2007. From 2007-2010, Larry worked at San Carlos Correctional Facility Mental Health Facility, LaVista Female Correctional Facility and the Trinidad Correctional Facility. From 2010 to 2014, Larry worked at the central office of the Colorado Department of Corrections, as the Assistant Director of Prisons prior to being appointed as the Deputy Director of Prisons. In his departmental executive leadership role, Larry was responsible for prison operations management oversight, effective and efficient use of resources, and supervision of wardens. Larry retired from the Colorado Department of Corrections as Deputy Director of Prison Operations in January 2014, after serving 27 years. In recognition for his dedicated work to improve Corrections, Larry received numerous awards and recognition for his contributions, including the Colorado Criminal Justice Association's prestigious Harry Tinsley Award.

B. Joan L. Palmateer

Joan L. Palmateer is an independent correctional consultant for National Institute of Corrections and other organizations, providing expert witness, consultation and training for correctional jurisdictions and other criminal justice entities. As a consultant and trainer for the National Institute of Corrections, Joan has worked with several Department of Corrections nationwide, offering technical assistance on security audits, high risk offenders, staffing analysis, emergency plan development, PREA Plan development and implementation and jail systems.

Joan's 28-year career with the Oregon Department of Corrections began in 1980, where she started her career as a Correctional Officer. She was promoted to Corporal, Sergeant, and then Lieutenant as a watch commander. Following this, her positions included the following: Security Manager from 1985-1990; Assistant Superintendent from 1990-1992; Security Manager from 1992-1996; Chief of Security from 1996-1998; the first female Warden in the Oregon State

Penitentiary's history of 150 years from 1998-2001; Superintendent from 2001-2004; Prison Administrator from 2004-2006; and Population Management Administrator from 2006-2008. Additionally, Joan worked Oregon Youth Authority, from 2008-2010 as Assistant Director of Facilities and Operations. She has received many awards and recognition for her leadership, management and innovative approaches throughout her career.

C. James R. Upchurch

James R. Upchurch began his corrections career in 1968, working evenings and weekends as a correctional officer at the Mississippi State Penitentiary while attending college. He attained a Master of Science Degree from Delta State University in Cleveland, Mississippi in 1975, and went on to complete additional course work in criminal justice and sociology. James has since completed numerous professional development courses in corrections and management.

James continued his corrections career in the Mississippi Department of Corrections promoting to Deputy Warden in 1979. In 1982, he accepted a position with the Arizona Department of Corrections as Warden of the Santa Cruz Unit of the Arizona State Prison Complex - Perryville. He served as the Unit Warden of all custody levels and types of institutions in Arizona until 1992 when he was promoted to Complex Warden at the 3,200 bed Arizona State Prison Complex - Florence. Included in the facilities managed by James are death row/administrative segregation, "super max", juvenile, female, reception and diagnostic, mental health/forensic, as well as maximum, medium, and minimum custody.

In 1996, James accepted the position of Bureau Chief of Security Operations for the Florida Department of Corrections. In this capacity, he managed the statewide security program for the third largest corrections agency in the country. He served in this capacity until January 2012 when he accepted the position of Deputy Assistant Secretary of Institutions. In addition to security operations, James had management and operational responsibility for classification, institutional support, facilities maintenance and construction, and population and release management.

In January 2013, James was promoted to the position Assistant Secretary for Institutions and Re-entry. In this role, he was responsible for the management and operation of three regions consisting of 48 major corrections institutions housing some 100,000 inmates with a staff of approximately 20,000. His responsibilities also included the Department's priority Re-entry Initiatives.

Over the past 20 years James has served as an expert witness in federal court proceedings both for the Florida Department of Corrections and other jurisdictions and as a consultant and instructor for NIC. James also provides consulting services in several operational areas of corrections including; staffing analysis and security standards establishment and compliance auditing. He has been involved in numerous assessments of critical incidents involving staff and inmate deaths, hostage situations, escapes and disturbances. He is a past member of the

National Law Enforcement and Corrections Technology Advisory Committee and the Technical Working Group for Corrections both affiliated with the National Institute of Justice of the United States Attorney General's Office. He is a long-time member of the American Correctional Association and other professional organizations and has presented at ACA conferences and published in Corrections Today and other professional publications.

D. Steve Turley

Steve Turley began his career with the Utah Department of Corrections in July 1990. Steve graduated from both the Utah Corrections Academy and Utah Law Enforcement Academy with honors. During his corrections career, he has held the rank of Sergeant, Lieutenant, Captain, Deputy Warden, Warden, and Division Director.

Steve was appointed Warden from April 2007 to July 2010 of Utah's largest correctional facility. A 4000 bed multi-classified facility housing all classifications of adult male inmates as well as Death Row and adult female inmates. In July 2010 to September 2013, Steve assumed an executive role as the Utah Department of Corrections Director of the Division of Institutional Operations. As an experienced executive and leader in the department, Steve has had a variety of assignments in support of the department's mission and correctional evolution. These assignments include the following: Interim Audit Director for the Utah Department of Corrections; Division Director of Administrative services with the responsibility for reviewing level three grievances, inmate disciplinary appeal, department vehicles; and the management oversight of Government Records Access and Management Act requests. Currently, Steve is directing and facilitating the construction of a new 3600 bed facility for the department.

Steve has been working with the National Institute of Corrections for six years, as a security auditor site leader. Steve is an experienced NIC Security Auditor/Trainer, and he facilitates and conducts onsite security audits nationally.

Steve is also active in supporting correctional professionals in Utah. He has served as the President for the Utah Public Employee Law Enforcement Division for four years, and the President of the Utah State Prison Employee Association for six years.

E. Rob Jeffreys

Rob Jeffreys brings over 20 years of corrections experience to the NIC Team. He is currently a Senior Executive Manager at the Ohio Department of Rehabilitation and Corrections (ODRC), who is responsible for the operations of eight adult prisons and the Adult Parole Authority (APA) across 20 counties. In this capacity, he oversees over 25,000 offenders, 3,600 staff and manages an annual budget of $320 million. Rob also serves as committee chairman for the ODRC Restrictive Housing initiative to improve management standards and policies for restrictive housing populations. Since 2011, Rob has been an NIC consultant and trainer, and has worked both nationally and internationally providing policy and program development, specialized training to assist agencies in meeting their targeted goals, as well as advancing the overarching missions of the agencies. In 2007, Rob accepted an assignment as a Correctional

Program Specialist at NIC under the Intergovernmental Personnel Act to gain expertise and bring innovative projects to enhance correctional practice throughout the country. During his 3-year tenure with NIC, Rob developed programs and assessments for over 30 state agencies in the areas of security operations, security audit training, staffing analysis, emergency preparedness, prison management, and technical assistance. Rob also has experience in the delivery of NIC's 40-hour *Managing Restrictive Housing Populations,* and the training program which has since evolved into *Managing Prison Restrictive Housing Populations*.

V. Brief Facility Description

A. Pasquotank Correctional Institution and Correction Enterprises

Pasquotank Correctional Institution (PCI) is an adult male close custody facility. PCI opened in 1996 and is located in Elizabeth City, North Carolina. PCI's current standard operational capacity is 840 inmates and the maximum capacity is 968 inmates. PCI is classified as a close custody facility, and houses the highest level of custody classification for inmates who are identified as high risk that require close security management and supervision. Although PCI is a close custody institution, they also house inmates who have recently been re-classified from close to medium custody, and those awaiting transfer to a medium custody institution. Institutional transfers can take up to three months to occur. While awaiting their new facility assignment, these medium custody inmates are allowed to remain in their institutional and correction enterprises jobs, until they are transferred.

Correction Enterprises (CE) Sewing Plant is located at PCI within the perimeter fence and employs up to 30 inmates. On October 12, 2017, there were 30 inmates assigned - 18 were medium custody and 12 were classified as close custody. There were three CE staff and 1 correctional officer assigned to the sewing plant operation.

B. Nash Correctional Institution and Correction Enterprise

Nash Correctional Institution (NCI) is an adult male facility that opened in 1938 and is located in Nashville, North Carolina. NCI's current operational housing capacity is 512 inmates and the maximum capacity is 654 inmates. During the NIC Team onsite visit, there were 642 inmates assigned. The facility has undergone a number of operational and mission changes throughout its existence. The majority of the facility's current structure was built in 1992, and at that time was classified as a medium custody institution.

Correction Enterprise (CE) has two Plants on the institutional grounds - the Optical Plant, employs up to 65 inmates with 11 CE full-time employees; and the Printing Plant employs up to 130 inmates with 20 full-time employees.

VI. Supplemental Sources Provided

The NIC assessment team reviewed the following NCDPS Policies, Standard Operational Procedures, operational manuals and other documents listed below.

A. North Carolina Department of Public Safety Prison Division Policies

Chapter A

.0600 Policy and Procedure Development
.0700 Unit Management
.0900 Employee Training

Chapter B

.0200 Disciplinary Procedures

Chapter C

.0100 Classification Process
.0500 Promotion of Felons
.1218 Work Assignments

Chapter F

.0100 Operational Searches
.1200 Inspections
.1600 Management of Security Posts
.2400 Key and Lock Control
.2700 Tool Control
.3300 Prison Entrance/Exit Policy
.3600 Hazardous Chemical Control & Management
.3700 Fire Protection
.3900 Control Center Operations

B. Correctional Institution Standard Operating Procedures

.0400 Tool Control
.2400 Emergency Lockdown and Roster/ID Count Procedures

C. Additional Documents Reviewed

1. Bumgarner v. North Carolina Department of Corrections – Stipulated Consent Decree
2. Partnership Agreement between Adult Corrections/Prisons and Correction Enterprise dated: March 14, 2014
3. North Carolina Department of Public Safety Prisons, Policy Summary Sheet
4. North Carolina Department of Public Safety Prisons, Security/Region Audit Inspection Results dated: August 27, 2017
5. Correction Enterprise – Visitor Information for Facilities
6. Policy and Procedure Manual Pasquotank Sewing Plant dated: February 18, 2013
7. Policy and Procedure Manual Nash Optical Plant
8. Policy and Procedure Manual Nash Print Plant
9. North Carolina Department of Correction, Correction Enterprise Basic Training Level-2

10. North Carolina Department of Correction Division of Prisons Security Manual, Subject: Security Audits, dated: October 1, 2011
11. Nash Correctional Institution Prison Post Chart
12. Nash Correctional Institutional, Daily Shift Security Roster
13. Correction Enterprise Strategic Plan 2017-2020
14. Proposal for Inmate Job Assignment Risk Assessment
15. Emergency Preparedness Plan
16. North Carolina Department of Correction, Basic Training Level-2 Training
17. Pasquotank and Nash CI Division of Adult Corrections – Prison Post Charts
18. 2017 Security/Region Audit Inspection Results
19. Correction Mission, Core Values and Vision Statement

D. Immediate Changes Initiated by North Carolina Department of Public Safety

After the October 12, 2017 incident at Pasquotank Correctional Institution, NCDPS initiated actions to suspend the Correction Enterprises Sewing Plant operations pending a comprehensive security review of safety, security measures and staff practices; all aspects of inmate work assignment processes; Correction Enterprises and Correctional Officer staffing and job responsibilities. The review was also to include an evaluation of current emergency response procedures, personal safety equipment and staff training.

VII. Initial Impressions

The NIC assessment team would like to acknowledge the Correctional and Correction Enterprises staff at both Pasquotank and Nash Correctional Institutions for their transparency and their willingness to openly share information with us. We conducted interviews with members of Pasquotank and Nash management teams, correctional supervisors, correctional officers and correction enterprises staff during our onsite visit.

- At PCI, we interviewed CE employees and correctional staff from various disciplines. During the interviews, the staff conveyed their feelings of shock that something this horrendous happened at “their facility.” Some staff were remorseful, some were embarrassed, some admitted to being afraid, some were angry, while others were in various stages of acceptance and recovery. When asked “do you feel safe working here?” most of the interviewees stated emphatically that they did not, while there were others that stated, “yes.” When asked, “why did this happen?” the common response voiced by all staff was “Pasquotank has an overwhelming shortage of security staff.” Some staff expressed strong emotions and shed tears during the interviews, but said that it was good for them to discuss the incident. Additionally, we were informed by the staff at PCI that they were not authorized to get involved in CE business or operations,

and their job was to provide security and supervise the inmates. CE staff in both institutions informed us that they were told they couldn't support correctional officer's functions because that's not their job, and they are not trained to do so.

- All of the interviewees were appreciative of the Secretary's decision to "lock down" the facility, and suspend the sewing plant operations until further notice. The staff commented that it would have been very difficult to go back in the sewing plant area so soon after the incident. We also interviewed staff at Nash CI, and they too were remorseful and shocked that this happened. Nash CI staff voiced their concern for their fellow officers and reported "we never thought such a horrific incident like this could happen in our department."

A. Morale

- Staff appeared to be struggling to maintain their emotions, they were tearful and emotionally drained at Pasquotank CI which the NIC Team had anticipated, given the 4 brutal staff murders that occurred in less than a month prior. Even though staff were struggling to come to grips with what had occurred, they were carrying on and continuing to do their jobs like true correctional professionals.
- The fact that PCI was at 25% staff vacancy rate during our assessment had a significant, negative impact on the overall morale. Due to the staff substantial shortages, mandatory overtime was imposed to meet minimal critical staffing requirements.
- The team's assessment of the morale at Nash CI was fair. Though these incidents did not happen at NCI, the correctional and CE staffs were still emotionally impacted. We believe this is largely due to a total of five staff being murdered by inmates within the department, during the last seven months.
- Staff expressed concern and disappointment about the department's new Disciplinary Policy - particularly, the elimination and overall reduction of disciplinary detention sanctions for some behaviors that previously had the option of disciplinary detention. Staff reported feeling "betrayed" by the department and expressed frustration that they have lost the ability to effectively manage the inmate population.

B. Supervisory Presence

- During our time onsite at both locations, we did not observe correctional supervisors spending supervisory time with line staff or CE staff. The NIC team viewed this as an indicator that staff performance may possibly falter, if not addressed. Real or perceived, this should be a significant concern for the department. Without sustained reinforcement through leadership presence, the opportunity for greater levels of success may well be diminished. It is our opinion that the executive management, administrative management and supervisory teams can make a tremendous difference

in staff performance and their buy in for change by committing to Managing by Walking Around.

C. Culture

- The NIC Team noticed the relationship between North Carolina Department of Public Safety, Division of Prisons and Correction Enterprises is best described as strained. The team determined that the current rift is due to an absence of a collaborative partnership, as well as the agency's decision to not require CE employees to attend or receive basic security training. Because CE staff are untrained in the fundamentals of safety and security, it is the NIC team's assessment that these two issues are central to the somewhat tenuous working relationship between the Prisons Division and the CE staff we observed.
- The NIC Team strongly believes that this is an area that requires immediate attention and intervention.

VIII. Security Operations Assessment

The content of this section of the report reflects the NIC Team's observations and recommendations based upon widely accepted "correction best practices" and the team member's "professional opinions." The outcomes noted have been scrutinized for authenticity by the assessment team members. Our recommendations are representative of (1) what was observed, (2) information provided from staff interviews, and (3) documents requested during onsite visits to Pasquotank and Nash Correctional Institutions. We anticipate the information provided will be a useful tool for ultimately improving and enhancing the overall safety and security posture of North Carolina Department of Public Safety Prisons.

Department Policies, Standard Operational Procedures

Observation:

1. During our document reviews we found department policy, standard operating procedures (SOP) lacking succinctness in procedural requirements. We also were given department directives that had not been updated for a number of years and signed by executive staff members who are no longer in the department.

Recommendations:

- Conduct an immediate review of security related policies for updating and codifying security operational standards with the Director's signature. It is recommended to adopt the American Correctional Association (ACA) Standards, which requires annual

reviews of all department policies, SOP's, and procedural manuals (ACA Standard 4-4013). Ensure the security related policies and procedures are clearly articulated and succinct with respect to expectations and consistency of application. Eliminate the practice of issuing memos to direct security expectations and operations.

- Implement a policy process for when there is an immediate or emergency need for a policy change either temporarily or permanently. Consider utilizing an Executive Directive (ED) which is signed by the Secretary or his/her designee, for the purpose of providing specific procedures or information not delineated in current policy. The ED can have a designated duration for the ED to be in effect (e.g., not to exceed 30 days), which would allow time for the changes to be placed in department policy if they are to be made permanent. Once the designated duration of the ED expires, the ED would no longer be valid.

Enterprise Inmate Internal Movement

The following is a comprehensive review of the operational flow of inmate movement in coordination with searches, the accountability of staff and the operational practices of the Emergency plans. Documents and information examined for this review include the North Carolina Department of Public Safety (NCDPS) Division Policies, Pasquotank Correctional Institution (PCI) and Nash Correctional Institution (NCI) Standard Operating Procedures (SOP), PCI and NCI Post Orders, Division of Prison Security Manual, Facility Emergency Plans, Correction Enterprise MOU, NCDPS Security Audit Instrument, Video Footage of 10/12/17 Incident and the National Institute of Corrections Security Audit Program Manual.

In a review of the security policies and procedures at the Pasquotank Correctional Institution (PCI) and Nash Correctional Institution (NCI), there were various security policies and procedures not being enforced or in place. At PCI, the day-to-day practices often substituted the policy or post orders due to staff shortages, resulting in staff performing duties outside of their job description and training. In most instances, staff did what they felt they had to do to get the job done.

PCI Internal Movement

Observations:

1. The NIC Team reviewed the Pasquotank Correctional Institution SOP Control Movement policy. The department policy (.1700) gives clear direction for control movement of a set number of (32) inmates for mass movement. All mass movement schedules are in policy with start times and end times for meals, recreation, recreation yards, school, and program services

2. The Support and Program Services for inmates are located on the second floor of the prison. The program services include vocational programs, school, medical services, mental health, chaplaincy, and other program services, as well as the sewing plant. The Support Control Center coordinates the movement of inmates accessing the second floor from 8:00 am to 11:00 am and 1:00 pm to 4:00 pm. The Support Control Officer monitors inmate access and movement in various vocational programs such as Digital Design, Sewing Machine Repair and Food Services Technology. There are approximately 50 inmates involved in the vocational programs. Inmate movement is controlled in the vocational program area by the Education/Vocational Officer at designated program service times. These areas do not have camera coverage inside the classrooms, but there is camera coverage in the hallway that leads to the vocational rooms.

3. The Correctional Officer monitors the inmates in the Correction Enterprises Sewing Plant and inmates working in the stockroom per post orders). The start time is 7:30 am, one-half hour before all scheduled program movement on the second floor. The policy does not reflect the start time for the sewing plant inmate movement schedules or the post orders for the Education/Vocational Officer), Support Officer), and Correctional Officer.

4. In our review of the Division of Adult Correction - Prisons Post Chart, dated 06/11/15, there are two officer positions designated for the Sewing Plant on first shift. Both positions have a pull post level 1, and the second position has been vacant for an extended period of time due to staff shortages.

5. Staff report that one Correctional Officer is often expected to complete the assignment of two corrections officer in the sewing plant. Therefore, all post order duties were being conducted by one officer to include the strip-searching of 30 sewing plant inmates assigned to the sewing plant.

6. As a result of the Education/Vocational Officer (Rover) post being vacant, the sewing plant correctional officer duties increased to include supervising and maintaining control of inmates in the vocational programs areas. The rover vacancy allowed inmates in the Sewing Machine and Food Service Technology classrooms to move in and out of the rooms unrestricted as seen in video footage dated 10/12/17. The shortage of corrections officer monitoring these areas exacerbated the ability to control movement and monitor the sewing shop and educational/vocational areas effectively.

7. The recurring correctional officer shortages and vacant posts presented a significant challenge for the correctional officer assigned to the area. Despite these shortcomings, the Sewing Plant continued to operate at full inmate worker capacity, and the vocational classrooms continued to provide skilled trade programming to inmates.

8. The Sewing Plant Trash disposal detail occurs on Wednesdays and Thursdays. It has been common practice for a Correction Enterprise Sewing Plant staff member to assume the responsibilities of this detail with the assistance of sewing plant inmates. The sewing plant staff member and inmates accessed the elevator together to load trash and descend to the loading dock to the trash compactor. There is no camera coverage in the elevator vestibule or elevator.

9. The sewing plant staff are performing security functions of escorting and supervising close custody inmates without proper training to do so.

Recommendations:

- Conduct a review of the post-allocation and pull post levels for inmate vocational program area and the sewing plant. Update the PCI Prison Post Chart dated 06/11/2015 to reflect the current staffing needs for this area. Ensure the staffing allocation is appropriate for the physical plant design and for the management of high risk inmates classified as close custody.

- Develop a controlled movement monitoring policy that is coordinated with close custody inmate movement and programming and staff accountability.

- Update SOP Control Movement (.1700), Post Orders Support Officer (Support Control Officer) (.3400), Education/Vocational Officer (Rover) and Correction Plant Officer (.3500), to include start and end times for Correction Enterprise, vocational and educational daily inmate movement.

- During the required strip searches of sewing plant inmates, provide additional staff, to include supervisory staff as resources to ensure the integrity of the strip search and as a safety measures for correctional staff conducting the searches.

- Install cameras in the elevator vestibule and elevators for monitoring, staff safety and accountability.

- Develop, in posts orders, procedures for the sewing plant and vocational/educational to notify Master Control for approval to conduct trash removal, to include the procedures for accessing the elevator and back dock area. Ensure the entire process is included in the Camera Monitoring policy.

- Ensure all policies and procedures do not permit inmate regardless of custody classification, in the vestibule or on the elevator with staff members that do not have camera coverage or visibility by other staff members.

- Update outdated SOP and Post Orders to include: PCI Control Movement dated 03/10/15, Education/Vocational Officer (Rover), dated 09/16/14, Correction Plant Officer dated 09/16/14, Support Officer (Support Control Officer) dated 03/10/15.

- Conduct a camera and monitoring review of the sewing plant, vocational, elevator and dock areas to ensure there is adequate coverage, for monitoring inmate and all staff movement during the times those areas are occupied.

NCI Internal Movement

Observations:

1. The NIC Team reviewed Nash Correctional Institution SOP Internal Movement policy. The policy does not identify the daily inmate movement schedules for meals, recreation, education programs, vocational programs, Correction Enterprise, or inmate foodservice worker start times. The Correction Enterprise Plant has two printing production shifts. The schedule for the Print Plant is 7:00 am until 3:30 pm for the first shift, and 3:00 pm until 11:30 pm for the second shift. There is an overlap of the first and second shifts from 3:00 pm until 3:30 pm to transition ongoing, large production jobs with the printing and bindery machines.

2. During the 3:00 pm until 3:30 pm layover period, there are approximately 119 inmates from the first and second shifts present, (19) Correction Enterprises staff members, and five correctional officers. All first shift inmates line up alongside the wall by the corrections officer's office to process through the metal detector for release. The inmates remove their shoes and belt buckle to clear the metal detector, but do not remove their hats or coats. After the inmates clear the metal detector, they proceed out the side door of the plant, down the sidewalk alongside the building and across the compound boulevard to a covered shelter pavilion to be pat searched by available corrections officers. Inmate names are called from the Print Plant first shift roster, and the inmate proceeds to the next available officer to be pat searched. The pat searches are conducted expediently due to the number of inmates and the availability of officers. No Correction Enterprises employees are involved in conducting pat searches as they have not been trained to do so. The five assigned correctional officers are involved with

the first shift inmate release process - at the metal detector, reading inmate roster names, monitoring the exit door, and engaging in the pat searches. Therefore, no custody officer is available to oversee the second shift inmate work crew at the Print Plant.

3. The work schedule for the Optical Plant is 7:30 am until 4:00 pm. At 4:00 pm, the inmates are released from the Optical Plant and led across the compound boulevard to the covered shelter pavilion to be pat searched by the same available correctional officers from the Print Plant inmate searches. Inmate names are called from the Optical Plant first shift roster and the inmate proceeds to the next available officer to be pat searched as well. At the conclusion of the Print Plant and Optical Plant first shifts, there are approximately 150 work crew inmates being pat searched.

4. The security camera monitoring system is available on desktop computers located in the Print and Optical Plant supervisor's offices. The camera system provides optimum viewing capacity of the inmate work areas in both Plants, but are not being monitored on a consistent basis due to the supervisors not being in their offices routinely and when they are, they are not routinely monitoring the cameras.

Recommendations:

- Update SOP Internal Movement policy and all related post orders responsible for monitoring inmate movement that outlines daily schedules for meals, recreation, education programs, vocational programs, Correction Enterprises, and inmate foodservice worker start times. In coordination with prison administrators, Correction Enterprises Managers should work together in order to optimize both Correction Enterprises production requirements and the requirements for safety and security.

- Ensure/facilitate supervisory presence to reinforce the thoroughness necessary for quality pat and frisk searches.

- Ensure the cameras can be viewed in the Master Control, Gatehouse Control, and security operations areas.
- Provide visual camera monitoring of the Print Plant inmate work area on second shift during the 3:00 pm until 3:30 pm layover period. As stated, there are approximately 119 inmates from the first and second shifts in this area requiring additional supervision and/or monitoring.

Inmate and Facility Searches

PCI Searches

Observations:

1. Due to the facility being on lockdown status, the team was not able to observe area searches or routine pat and strip searches.

2. NCDPS Operational Searches policy states that a complete search of the entire facility shall be conducted not less than once every six-month period. There is no record of the last time the Correction Enterprise Sewing Plant was searched. An NCDPS incident Report, dated 01/18/17, states that the Prison Emergency Response Team (PERT) entered the facility to conduct a facility search for shanks, cell phones, and nuisance contraband. We were unable to verify that a search had occurred on this date, therefore we concluded that the Correction Enterprise Sewing Plant was not searched on this date.

3. The partnership agreement in a memorandum of understanding between NCDPS and Correction Enterprises states that Correction Enterprises will fully cooperate with all security searches and shakedowns with reasonable notification.

4. The Correction Plant Officer Post Order states that all inmates leaving the Correction Enterprises Plant area will be thoroughly searched before leaving at the end of their workday. This process included going through the metal detector and strip-searched on a daily basis. Also, any inmates leaving the Correction Enterprises Plant during the workday for any reason will be strip-searched.

5. As stated previously, all post order duties were being conducted by one officer to include the strip-searching of 30 Correction Enterprise inmates assigned to the sewing plant. The room utilized to perform the inmates' strip searches did not have the adequate space or privacy to provide a safe and secure process for both the officer and the inmates being searched.

Recommendations:

- NCDPS Operational Searches policy states that a complete search of the entire facility shall be conducted not less than once during every six (6) month period. It is recommended that all areas of the institution be included in routine, but irregular searches. The purpose of these searches is to find contraband such as weapons, tools,

and escape equipment in areas where inmates live, work and cohabitate. This type of search can be included in the facility's Prison Emergency Response Team annual training.

- When searching areas such as Correction Enterprise, it is advisable -when possible- to have a Correction Enterprise representative present. This collaboration simplifies the process of gaining access to locked areas, and assists in determining the legality of questionable items.

- Provide the additional correctional staff resources to assist with the strip search process, where 30 inmates leave the Correction Sewing plant at the end of the workday.

- When conducting strip searches, place the inmates in an area where there is no casual viewing of the strip search, either by other employees or other inmates and ensure some degree of privacy. The designated strip search rooms need to be in compliance with Prison Rape Elimination Act (PREA) standards.

- Update outdated Operational Searches policy dated 07/10/13, to include specific language for area searches.

NCI Searches

Observations:

1. NCI Operational Searches Standard Operational Procedure (SOP) states that a complete search of the entire facility shall be conducted not less than once during every six-month period. There is no record of the last time the Correction Enterprise Print Plant and Optical Plant were searched.

2. The partnership memorandum of understanding between NCDPS and Correction Enterprise explains that staff will fully cooperate with all security searches and shakedowns with reasonable notification. The team was unable to verify by written documentation if searches of the printing and optical plants were occurring as required by NCI Operational Searches Standard Operations Procedure.

3. As previously stated in the NCI Internal Movement section of this report, all 150 Print and Optical Plant inmates are pat and frisk searched, upon leaving their work areas. A sergeant and available correctional officers conducted the pat searches under the pat down pavilion. The process is designed to be expedient due to the number of inmates being searched.

Recommendations:

- Provide the additional corrections officer resources to assist the pat and frisk search process for Correction Enterprise inmates leaving the Print Plant and Optical Plant at the end of the workday. Include supervisory staff to assist, train, and monitor pat searches.

- Randomly, conduct strip searches of inmates daily.

- Develop a process for Standard Operating Procedure and Post Order reviews ensuring basic security performances and practices are included.

- Include Back to Basic Training modules in roll calls and refresher training.

- Update Operational Searches policy dated 08/12/16 (.0500).

Main Entry

PCI Front Entrance

Observations:

1. The NIC Team toured PCI on Monday, November 6, 2017. The workflow and configuration of the gatehouse is congested, due to the lack of available space for processing people entering and exiting the gatehouse. Front entrance procedures were not being followed according to SOP Entrance/Exit and Gatehouse Post Order. The Entrance/Exit (SOP) and the Gatehouse Post Order requires all persons entering the gatehouse to be accurately identified by picture identification, logged in on the appropriate documentation, and provided a numbered visitor identification badge in exchange for their identification card. In addition, all personnel entering the gatehouse are required by policy to successfully pass through a walkthrough metal detector. During the NIC team's observation of the gatehouse procedures, the staff activity did not follow the policies. We were informed that entrance procedures were lessened due to the amount of staff entering and exiting the facility.

2. A cell phone and contraband detection device is located in the main entry lobby area of the administration building for additional security clearance after processing through the gatehouse of all persons entering the administration building. The utilization of the cell phone and contraband detection devise equipment was implemented without an agency or facility policy providing standardized instruction to staff on how to effectively utilize the device.

3. The gatehouse has a control center that contains an armory gun cabinet within a secure enclosure. The gun cabinet stores department issued weapons, ammunition, roving boxes and other security equipment. On the Tuesday, November 7, 2017 during the second shift change, it was observed that the gun cabinet doors were left and wide open and unsecured.

4. The gatehouse post orders state that all weapons shall be secured and stored when not in use. Lack of security control presents a potential risk at shift change and daily movement through the gatehouse.

Recommendations:

- Enforce the procedures outlined in the SOP Entrance/Exit policy, ensuring that all persons are identified by utilizing valid picture identification card for accountability.

- Ensure that anyone authorized to enter who is not in possession of a valid NCDPS identification card will exchange their pictured identification card for a temporary "Visitor" identification badge for accountability.

- Enforce gatehouse post orders that state all visitors entering will log in to the Institution, and will be given a numbered visitors identification card. The gatehouse officer will be responsible for logging visitors in and out of the institution for accountability.

- Require visitors to wear the visitor badge at all times while inside the Institution. Displayed identification cards are a means of visual identification.

- Ensure firearms in the gun cabinet in the gatehouse are securely stored and in compliance with the Agency's Security Manual Storage of Firearms.

- Position the cell phone contraband device in the Gatehouse in order to complete all security processing of individuals prior to them entering the Administrative building.

- Develop a 'Working' Alone Policy' to account for all non-custody staff, employees and volunteers working after normal business hours. The purpose of this policy is to enhance the safety of all personnel that work after normal business hours supporting staff accountability and safety.

- Update outdated policies and post orders to include: Entrance/Exit (.1700), dated 09/19/14. Gatehouse dated 09/22/14, NCDPS Security Manual, dated 02/01/16 and Security Manual Control of Firearms dated 04/18/12.

NCI Front Entrance

Observations:

1. The team toured NCI on Thursday, November 8th, 2017. We observed the gatehouse officers processing people through the shakedown and walk-through metal detector procedures according to gatehouse post orders. They correctly performed the accountability procedures, ensuring anyone authorized to enter that did not have a valid NCDPS identification card was issued a temporary "visitor" identification badge.

2. The gatehouse lobby officer ensured all personnel logged in and out of the institution. The assessment team's authorized cell phones and laptops were accounted for on the cell phone log, as outlined by the Gatehouse Lobby Officer Post Order.

3. The cell phone and contraband detection device was deployed inside the Gatehouse lobby exiting the facility. Staff and visitors were instructed to turn in a circle next to the device for detection of cell phones and metal contraband. There is currently no language in SOP Entrance/Exit post orders for the Gatehouse Officer Post orders, or the Gatehouse Lobby Officer Post orders, for deployment of the cell phone and contraband detection device.

4. The NCI Gatehouse Control Center windows are made of Lexan glass. Scratches and glare from the light reflections obstruct the sightline for the corrections officer stationed in the control center. This wear and tear is impeding the view of the gatehouse officer during inmate movement on the yard and vehicle traffic in and out of the sallyport. Additionally, the officer cannot see people outside the front entrance door awaiting access into the Gatehouse when it is dark outside.

Recommendations:

- Replace gatehouse control center windows with a high-security scratch resistant and non-glare glass.

- Provide the gatehouse with security cameras for monitoring pedestrian and vehicle movement.

- Update NCI SOP and post orders language on operational procedures for the cell phone and contraband detection device. The update should include the manufacture's operating specifications.

- Develop a camera monitoring policy that is coordinated with Correction Enterprises Print and Optical Plants inmate work schedules. This includes designated viewers of identified cameras to monitor inmate areas and support staff accountability.

- Develop a 'Working' Alone Policy' to account for all non-custody and custody staff working on the prison grounds after normal business hours. The purpose of this policy is to enhance the safety of all personnel that works with or provides program services to the inmate population and ensures adequate employee safety and accountability throughout the facility.

- Update the following policies including: SOP and Post Orders Entrance/Exit (.2100), dated 10/16/17, Gatehouse Officer (.0100), dated 03/15/16, and Gatehouse Lobby Officer (.3000) dated 08/15/16.

Emergency Preparedness

PCI/NCI Emergency Preparedness

Observations:

The following comments represents a combination of assessors' observations at both the Pasquotank Correctional Institution and Nash Correctional Institution. Each facility provided written strategies that direct staff in the resolution of specific emergencies. The most significant conclusion regarding emergency preparedness the lack of system checks, drills, for training of all staff on the practicality of responding to and utilizing the emergency plans. We were informed that the common practice and control center radio notification in the event of an emergency is, "all available staff respond."

1. The PCI and NCI fulfills the Division Policy and Security Manual requirements to develop emergency response plans for each area. The Regional Operations Manager team audits the emergency plans annually. The audit provides an Emergency Response Preparedness section that expects each emergency plan requiring it be updated annually and ensure that it is appropriately documented per policy. During the team's review, the majority of PCI plans were not reviewed annually, nor were they updated with current signatures. For example, the Tornado/Severe Weather Emergency Plan was last dated 04/01/11, with the previous administrator's signature.

2. The Emergency Response Preparedness audit standard requires the facility to develop procedures to conduct regular drills and provide training opportunities for staff on each emergency response plan. PCI staff disclosed that there are no routine response drills system checks conducted for emergency plans.

3. At Nash Correctional Institution the primary and secondary emergency responders are designated on the daily shift security staff assignment roster by assigning either a "1" or "2" to identify who are the first and second emergency responders. Unfortunately, the designated staff are not informed of their responder assignment, nor, had they ever received training on emergency response protocols.

Recommendations:

- Develop security system checks that are designed to test the adequacy of emergency plans, to train and test custody and non-custody staff knowledge, practice, response, and equipment in various emergency situations.

- Develop thorough system checks and training that reinforce security practices that are based on written security policies, procedures, and emergency plans.

- Develop facility-specific emergency response training scenarios that will educate and train all staff on their responsibilities during an emergency.

- Provide emergency reaction training for inmates.

- Conduct training on all shifts to ensure all staff participate in the required training with the staffing compliments that are typically on those shifts.

- Require designated supervisory staff to become certified in FEMA's National Incident Management Systems (NIMS) Incident Command System (ICS), as it represents the best practices for emergency management response. The Incident Command System model is a standardized approach to address all types of emergencies regardless of its size. It is used by law enforcement and emergency responders throughout the nation, and the online FEMA Certified Training is available at no cost.

Key and Lock Control

Nash Correctional Institution

Key, lock, and door control in a correctional institution plays a significant role in staff safety and security. During the assessment, there was an observed difference in how keys and doors are controlled between the Correction Enterprises Print and Optical Plants at Nash Correctional

Institution. However, this should not be the case. Key and door control is just as important in the Correction Enterprises plants, as it is inside the correctional institution.

During NCI assessment, several concerning issues were identified regarding the key, lock and door control practices. Many staff were interviewed, department and facility policy and post orders were read, and logs were reviewed.

Observations:

1. The NIC team located four different instructional documents where key control procedures were found: Department policy, Facility Standard Operating Procedures (last reviewed 8/21/12), Correction Enterprises Print and Optical Plants key & lock control, and Appendix E of the Correction Enterprise Key & Lock Control Policy.

2. There are discrepancies within these two documents. One such discrepancy is: Appendix E of the Correction Enterprise document reads: "The yard officers will carry emergency keys on their key rings". When following up on this policy it was found that the yard officers do not carry emergency keys on their key rings, nor have they ever unless an emergency is occurring. If there is one area within the institution where there should be no confusion, it should be in key and lock control.

3. There are key boxes located in a several different areas in the print shop, as well as a wooden key box with blank keys and other key control sensitive items. The sensitive items included: key cleaning tools, pins for inside of locks, broken keys, tags for key rings, and grippers to secure the key rings.

4. The key & lock shop in the Print Plant is located in a room off the administration area in the front of the print plant. When we entered the room where the key box and other key equipment was located, inmates were in the immediate area. This lock shop area does not meet the security construction guidelines set forth in the NIC Security Audit Program Manual[1].

Recommendations:

- Streamline these polices into one or two policies/SOPs in order to eliminate confusion due to multiple documents currently in circulation for key and lock control.

[1] U.S. Department of Justice, National Institute of Corrections: The Security Audit Program Manual, 2013.

- Correctional Enterprises should not have its own set of polices, but rather follow department policies and Standard Operating Procedures (SOPs) of the institution where Correction Enterprises is located.

- All keys and equipment for the Print and Optical Plants should be controlled from NCI's lock shop. It should be consistent with the NIC audit instrument used for guidelines when performing security audits.

- All storage of keys, locks, and equipment for the Correction Print and Optical Plants, should be consistent with the NIC security audit instrument used for guidelines when performing security audits. Section 07.06.02 reads: The lock shop is of high-security construction: poured or reinforced concrete blocks with rebar, solid ceiling (not suspended or "false"), without wall openings (window, air conditioner, vents) and at minimum, a 14-steel door. Correctional Enterprises should construct high security key and lock shops that meets the NIC security guidelines.

- During an interview with a non-custody staff member, the staff member stated, "Correction Enterprises Print Shop is responsible for their own keys and the control of those keys." The staff member went on to say, "the Nash Institutional locksmith does not get involved with them (Correctional Enterprise) and key control."

- During an interview with a non-custody member, the NIC team asked if the employee had received NCDPS training on the management and control of keys and the response was no. The staff member stated, "Key control training consisted of going over the Correctional Enterprises policy on key control, which was delivered by a Print Shop Supervisor."

Observations:

1. From 3:30 PM until closing, the only key to enter the building is located on the emergency key ring of the institution located in the gatehouse. If an emergency occurred, it would require extra time to gain access to the Correction Enterprise Print Plant by having to get the emergency key ring from the gatehouse.

Recommendation:

- Add keys to the Print Plant and Optical Plant the operations officer's key ring. This would give the officers a much quicker response time in the event of an emergency.

Observation:

1. The duties for key and lock control was added to the operational captain's responsibility.

Recommendation:

- Assign an officer to key & lock control and this person's sole responsibility for NCI. By doing this, the institution would be able to get the key and lock control process in line with where it should be. Key and locksmith certification for staff assignment in this critical area of security is necessary for quality control and efficacy of the system, this would be well worth the investment at each institution.

Observation:

1. NCDPS department key and lock control policy does not address employee personal keys.

2. Department Key Control Policy reads: "Issued keys in the possession of a staff member should be kept in a pocket or other secure place and out of the view of inmates unless they are actually being used."

3. The NIC team observed staff are carrying institutional keys on their person and in the plain sight of inmates. The NIC team was also told some staff are carrying their personal keys on the same clip as the institutional rings, all of which were in the sight of inmates.

4. NCI's SOP .0300 (L) reads: "All employees assigned to Nash Correctional Institution are responsible for their personal keys brought into the institution. At no time will personal keys be left in an unsecured location, accessible to inmates. Employees will promptly report to the OIC anytime personal keys are lost with the confines of the Institution. Staff is encouraged to keep personal and works keys separate whenever possible." Personal keys could have very well played a significant role in the incident on October 12, 2017 at the Pasquotank Correctional Institution

Recommendation:

- Add a procedure to the NCDPS Key and Lock Control policy that addresses the management and control of employee personal keys.

- Staff should re-familiarize themselves with the NCDPS Key and Lock Control Policy and follow it by carrying the issued institutional keys out of the view of inmates.

- No personal keys should be allowed in the institution. All personal keys are exchanged for a key chit at the gatehouse for security and accountability.

Observation:

1. The Correction Enterprises key control officer maintains a NCI security key which can unlock padlocks on secure gates outside of the Correction Enterprises Print Plant.

Recommendation:

- Stop the practice of non-security staff located in the Correction Enterprises carrying security keys, which can open padlocks or secured gates/doors throughout the institution. These keys should only be carried by custody staff.

- Assign the Nash Correctional Institution's key & lock control staff member, the responsibility for the key and lock control of the Correction Print and Optical Plants. This would accomplish having a correctional officer responsible for key and lock control instead of having three different staff members having overlapping responsibility, which is the current practice.

Observation:

1. During staff interviews with Correctional Enterprise employees, staff stated that they had not read policy that governs key and lock control in the Correction Print Plant.

Recommendation:

- Include NCDPS key and lock control training for Correctional Enterprises employees' orientation and their annual refresher training,

- Correction Enterprises designate one staff member as key and lock control person for the Nash Plants. That person, in collaboration with the Pasquotank key control officer, will have support responsibility for the daily key control management and issuance of keys, and control inventorying of locks and its condition for Correction Enterprise staff and plant.

Observations:

1. In the Correction Enterprises Print and Optical plants, staff are assigned key fobs. When the fob is scanned on the scanner located outside and inside each door, the door alarm is silenced so the door can be opened without the alarm going off.

2. To silence a door alarm, it is a two-step process. When staff scan the fob on the respective door scanner, the door can be opened and no alarm sounds. The officer then pushes the green button on the outside of the door to complete the process. If both steps are not completed, the door alarm will sound for 20 seconds.

3. The key fob was introduced because the very loud door alarms can become annoying if they go off many times throughout the day. However, by introducing the fob into the security practices, it not only bypasses the key process, but also silences door alarms. These alarms were put in place to alert staff that a door has been opened which leads to the outside and, therefore, alert staff to an unauthorized breach of a security door.

4. If a key fob got into the hands of an inmate, the fob could be scanned on a scanner by the door, and the inmate could exit the facility without setting the door alarm off.

Recommendation:

- Discontinue the use of the fob for security reasons stated in the observations section above.

- Add keys to the Print and Optical Plants to the operations officer's key ring. This would give the officers a much quicker response time in the event of an emergency.

- Stop the practice of non-security staff located in the Correction Enterprises carrying security keys which can open padlocks or secured gates/doors throughout the institution. These keys should only be carried by custody staff.

Observations:

1. The NIC team was told that in the recent past, a correctional staff was assigned to the Enterprises Print Plant and were on post with no handcuffs, keys or radio. In further questioning, the NIC team feels like this was an isolated incident, but it should never have happened.

Recommendation:

- The NIC team recommends all staff are issued the necessary safety and security equipment, keys and a radio when working at a security post.

Observation:

1. NCI's SOP .0302 states: "Security drills should be conducted periodically in the area of key control." Policy recommends a security drill of using emergency keys to gain access to the facility as well as leaving the facility by using keys only. These drills are not being conducted.

Recommendation:

- Develop and conduct quarterly security drills with the use of emergency keys. In an emergency, staff will react the way they have been trained, which could result in saving of lives. Staff can never become too familiar with keys and their operation during high stress situations.

Observations:

Policy and Procedure/Standard Operating Procedure/Post Orders:

1. Several different key control policies have been generated: Department policy .2400, Facility Standard Operating Procedures (SOP's) .0300 (last reviewed 8/21/12), Correction Enterprise Print and Optical Plants key & lock control, and Appendix E - key & lock control policy (Correction Enterprise document). Having numerous policies & procedures on the same subject creates confusion for staff, due to so many different documents having to be read and followed. Some of these documents contain conflicting information, as noted above in the key and lock control section of this document.

Observation:

1. Correctional staff are unsure if they are to follow Correction Enterprises policies or not. This played a role in the Pasquotank incident on October 12, 2017. The Correction Enterprises policy states, "Keys for stockroom, elevator doors, and entrance doors are maintained by correctional officers assigned to the Correction Sewing Plant." The master control staff were issuing the Correction Sewing Plant manager the elevator key,

which was a key piece in the incident. The master control room staff were unaware of the Correction Enterprises Sewing Plant policy.

2. The post order for the Correction officer was last updated 8/15/2016. When the correctional officer working in the Correction Enterprises Print Plant was asked to show the NIC team a copy of his post orders, he could not locate them.

3. The NIC team asked the gate house officer if she could show them her Post Order. She knew exactly where the document was, and even showed where she has signed off that she read them that day on her shift. She stated, "This is what we are supposed to do each shift, read our post orders."

4. The Maintenance Operations (SOP) was last updated 12/06/2010.

Recommendations:

- Policy and Procedure/Standard Operating Procedure/Post Orders are reviewed and brought up to date with current practices. Only use the department policies and the Nash Correctional Intuitions SOP's/Post Orders. This would eliminate many polices currently in circulation, create less confusion on the part of staff and would ensure all policies are current.

- Ensure all (SOPs) are kept on the unit/work area where staff have easy access to them to refer to and read each shift.

- Update all SOPs/Post Orders annually to ensure staff are aware of any up to date processes as well as setting the expectation they are to be followed. Notify staff when changes are made to the SOPs.

Physical Plant

Observation:

1. The NIC team observed stakes of wooden pallets in the collating room stored within the Correction Enterprises Print Plant. These pallets could be used as escape material to aid inmates trying to scale over the perimeter fence.

Recommendation:

- Cease keeping pallets stored with the Correctional Enterprises Print Plant, tearing them down as soon as possible after being used.

Observation:

1. There are nine doors leading to the outside of the Correction Enterprises Print Plant. When each individual door is opened, an alarm sounds (20 seconds) to notify staff that a door has been breached. This alarm sounds unless an officer has scanned his/her fob to silence the alarm. Currently, the doors being opened do not always activate the proper alarm. When any of the nine doors are opened, an alarm sounds in the middle of the plant, but not always at the door that is opened. The following list shows what is currently occurring when a door is opened, and what notification is made other than the alarm in the middle of the plant:

   Door 1—Alarms go off at Door 1 & 9
   Door 2—Alarm is not functioning nor is the light by the door
   Door 3—Working properly
   Door 4—Alarm sounds at door 5
   Door 5—Working properly
   Door 6—Alarm sounds at door 9
   Door 7—Alarms sound at doors 9 & 1
   Door 8—Alarms sound at doors 9 & 1
   Door 9—Alarms sound at door 9 & 1

2. It was reported to the NIC team, all door alarms and lights by the doors were functioning properly, prior to the roofing project currently taking place on the print shop.

3. When the door alarm notification in the Print and Optical Plant was installed and implemented, it was designed to notify audibly when a door was breached and it would send an alarm signal to a computer located in the gatehouse control center. The gatehouse officer would then notify the officers in the print plant as to which door was open.

4. The computer has not been working properly since August or September 2017 and/or the staff needed additional training in how to operate and clear the notification from the computer screen. Because of this issue, notifying the Correction Enterprises Print & Optical Plant officers as to which door has been breach was discontinued. This has made it extremely difficult for the security staff working in the Correction Enterprises Print and Optical Plants to locate which door was breached.

Recommendation:

- Check all door alarms and ensure proper functioning. Complete all necessary repairs to ensure they are working properly.

Observation:

1. There are many paper weights being used and stored unsecured in the print plant, and each of them weigh about 40 pounds. These paper weights could very easily be used as weapons to harm staff or other inmates. These weights are loose and can be carried throughout the plant as inmate's desire.

Recommendation:

- Tether paper-weights for safety and security.

Observation:

1. The Correction Enterprises Print Plant is a building of about 70,000 square feet. Within this building, not all areas are being used all the time. Two such areas are the collating room and the shipping area near the back dock in the warehouse. Both areas have doors leading to the outside of the building.
2. There are 30 cameras located in the Correction Print Plant. Because of the printing equipment and items needed to be stored in the warehouse, there are several blind spots which cannot be seen on the camera monitor. One such area is the north wall in the warehouse of the Correction print plant.

3. Currently very few areas have the capability of having access to monitor cameras in the Correction Print and Optical Plants. The master control room is not one of those areas.

4. The Correction Print Plant is a building of about 70,000 square feet. Within this building, not all areas are being used all the time. Two such areas are the collating room and the shipping area near the back dock in the warehouse. Both areas have doors leading to the outside of the building. NCI's SOP .0302 states: "Security drills should be conducted periodically in the area of key control." Policy recommends a security drill of using emergency keys to gain access to the facility as well as leaving the facility by using keys only. These drills are not being conducted

Recommendation:

- The NIC team recommends not keeping pallets stored in the print shop, and tear them down as soon as possible after being used.

- The door open notification lights on the outside and inside should be activated to alert the officers inside and responding officers the print and optical plants, as to which door is opened.

- Conduct a daily check of all door alarms at the beginning and end of each shift for proper functioning.

- Upon completion of the roof repairs, conduct a complete test of the door alarm system to insure they are working properly. This should include the alarm notification at master control officer, whose primary function is camera monitoring and responding to emergency alarms.

- Relocate the door alarm computer from the Nash gatehouse to the Nash master control. The door alarm computer identifies, notifies and stores information as to which door alarm was activated.

- Remove the print and optical plants camera monitors from the gate house and assign that function of monitoring the print and optical plants to the Nash master control room for closer monitoring.

- Ensure proper training is afforded to all staff who operate the computer for this function of the security practices at NCI.

- Review all the locations of the camera and adjust or add cameras to eliminate blind spots, so all activity by the inmates can be seen and recorded.

- Take the necessary steps to give access to the master control room, so all cameras in the Correction Enterprises Plants can be watched on a monitor.

- Keep the overhead door closed and locked to the collating room, so inmates do not have access to this area when not being used.

- Keep the overhead door to the back-shipping area and the single door which leads to this area closed and locked, so inmates do not have access to this area when not in use.

Maintenance Request/Work Order Program-Nash CI

Observation:

1. Standard Operating Procedures were being followed at the Nash facility in the area of Maintenance Management System (MMS). Work orders were directed to the MMS. Requests were assigned a tracking number and distributed to appropriate maintenance personnel. Priorities for work requests are as follows:
    - Priority 1 (Emergencies)-Loss of security fence zone, life safety equipment, etc.
    - Priority 2 (Urgent)-Switch board down, loss of power to a control panel, etc.
    - Priority 3 (Routine)-All other items that are not priority 1 or 2.
    - Priority 4 (Projects)-Will be done based on availability and resources.

Recommendation:

- No recommendation for this area, as this system seemed to be working just as it should. The NIC assessment team commends the maintenance staff at the Nash Institution.

Previous Security Audits

Observation:

1. A Department Internal Security Audit was performed at the Nash Correctional Institution recently. The auditors determined the facility met the expectations set forth by both the Region and the Division.

2. During this security audit, there were a total of 23 different operational areas within the institution that were reviewed. Out of the 23 areas, there was only one deficiency noted, specific to the kitchen and dining hall area of the institution. The deficiency was "the spray nozzle below H20 level, shorten to prevent back flow." In the key and lock control section (12) of the security audit document, there are 25 standards set forth by the department. During this audit, all 25 standards in the key and lock control section were noted as "Meets Expectation."

3. The NIC team was informed that the department audit team consisted of two auditors. They arrived at 9:30 AM on the day of the audit. The security audit was completed by 12:00 PM. During the audit, the key control captain was asked only two questions before the audit team member thanked him for his time.

4. The way the department security audit was conducted at the Nash Correctional Institution brings into question the validity and efficacy of the current department audit process. NCI received a security audit score of 100%.

5. It was discovered that between the Pasquotank and the Nash department security audits, two different security auditing documents were used to conduct the audits.

Recommendations:

- Require a more comprehensive security audit by internal auditors form other prison institutions.
- Update security auditing policy and initial training for department auditors, along with on-going annual training. This would begin a process of re-building for the department internal audit program, and ensure consistency between what is being measured and the way in which audit finding are reported.
- Review all security audits and outcomes from the past two years throughout the department, taking the time to address concerns from the information gathered and overhaul the current process to make it a more efficient audit instrument. This will help the institution increase their security practices. We also recommend standardizing all documents utilized in the department security audit process for consistency.

Pasquotank Correctional Institution

Pasquotank Correctional Institution administration should be commended for the caring attitude they were taking with their staff individually and in small groups. The assessors could sense the appreciation and support that administrators have for their staff, as they were observed interacting with them.

During the visit by the NIC team, it was discovered that a firearm was discharged by a perimeter staff member, while the inmates were climbing the perimeter fence in an attempt to escape on October 12, 2017. The gun was not placed into evidence, and there was not a shooting review board conducted. These processes are typically completed to ensure policy adherence, and to clear the officer involved in the shooting of any wrongdoing.

Key, lock, and door control in a correctional institution plays a significant role in staff safety and security. During the NIC visit, there was an observed difference in how keys and doors are controlled between the Correction Enterprises Sewing Plant and the Pasquotank Correctional Institution. However, this should not be the case. Key and door control is just as important in the sewing plant as it is inside the correctional institution.

During the time NIC team were on site at the Pasquotank Correctional Institution (PCI), several issues were noted regarding key, lock and door control. During our visit, many staff were interviewed, department and institutional policies along with standard operating procedures were read, and logs were reviewed. This was done to obtain as much information as possible.

Observations:

On the initial tour of PCI, the NIC team was informed that the door located within the sewing plant leading into the programming hallway near the elevator was always kept locked. During the visit, we found the following:

1. This door was used by staff during each work day. Sometimes after being unlocked, it was not always locked directly afterwards.

2. This is the door used by staff and inmates when taking out the garbage on Mondays and Thursdays from the Sewing Plant.

3. On October 12, 2017, when the Sewing Plant Manager opened the door to the hallway, the door was left unlocked as the manager proceeded toward the elevator. By doing this, it enabled the inmates to go back and forth from the hallway to the sewing plant and back into the hallway. The unlocked door helped the inmates facilitate the attack on staff and carry out their attempted escape.

4. During staff interviews, the NIC team learned that other staff consistently locked the hallway door behind them. By doing this, inmates could not go back and forth from the Sewing Plant to the hallway and from the hallway back into the Sewing Plant.

Recommendation:

- This hallway door should always remain locked when not in use. Correction Enterprises employees are not trained in security functions; therefore, correctional staff should perform all security functions to include the escorting of inmates. When it is necessary to unlock the door, the door should be immediately locked after use.

Observations:

When observing the usage of the door leading to the back dock from the elevator room on the ground floor level, we discovered the following information:

1. When the inmates arrived on the ground floor in the elevator, the door to the outside and back dock of the institution was key controlled and could only have been opened by staff who control the key to the door. On the day of the incident, the secured door leading to the outside back dock was unlocked and opened by the officer working on the back dock. The door remained unlocked to allow the inmates to move the trash onto the dock. This gave the inmates access to the back dock, as well as access to the outside of the building and to the outside ground areas of the institution.

2. Based on the information received by the NIC team, on the day of the incident, the request to open the back dock door was made by the inmates moving the trash and not by the Sewing Plant Manager.

3. The door is not controlled by a control room officer, and as stated above, is key operated only. There are no cameras located in this area of the institution.

Recommendation:

- The door to the back dock and outside of the institution should be controlled remotely by a control room officer, and only opened by a physical key in an emergency situation.

- Staff should always be able to see who is asking for the door to be opened, and verify that it is a staff member requesting for the door to be opened and not an inmate.

- Install cameras in this area for control room staff who would have the ability to monitor this area on a constant basis to control ingress and egress.

- Limit the number of inmates who have access to the outside of the building in this area, as well as the number of inmates that can go outside. Since PCI is a close custody institution, there should be limited access to certain areas of the institution (i.e., the back dock).

- The trash procedures should be reviewed and modified. Staff could take the garbage to the back dock area, and the inmates working in this area could empty the garbage. There is no need for inmates to take the garbage down to the back dock, when there are already inmates working in this area.

- Keys needed to open the door in an emergency should be located in a central location such as the master control room, not on each individual officer's belt.

Observation:

1. It was reported to the NIC team that the manager would take her personal keys inside the institution, stand on the back dock, and activate her fob to her personal car to ensure the car was locked. By doing this, she alerted the inmates as to which car was hers. It was reported the manager usually parked in the same place or area each day.

Recommendation:

1. Ensure all personal keys are left in a separate location, prior to passing master control so that no personal keys are taken inside the Institution. Personal keys can be exchanged for work keys for another level of staff accountability and control of personal keys.

Observation:

1. The NIC team discovered the storage room was secured with a padlock. An inmate assigned to work as the storage room clerk was issued the padlock key daily to open the storage room at the beginning of the shift, as well as secure the door during the time he is out of the storage room and, at the end of the shift.

2. Only one key could be located which locked and unlocked this particular padlock.

3. The key padlock key would be issued to the storage room inmate worker from another inmate who works in the tool room. When the inmate who works in the storage room was issued the key, he was the guardian of that key.

4. When the inmate(s) left the storage room (bathroom breaks, etc.) the inmate could lock the door using the padlock, and no one else could enter or leave the room. This system allows only inmates to have full access to a padlock and key, and allowed the inmate(s) the ability to determine who entered the storage room and who didn't.

Observations:

1. On October 12, 2017, the manager was issued two sets of keys from the master control room officer, ring numbers 126 and 85. These keys operated the door locks in the sewing plant area, as well as the elevator.

2. There was some confusion as to whether the master control room officers are expected to follow Correction Enterprises policy. The master control room officers issued the elevator key to the Sewing Plant Manager, and this was in violation of the Correction Enterprises policy.

3. When interviewing the master control room officer, it was determined this was being done without the officer realizing the manager should not be issued the elevator key, as per the Correction Enterprise Sewing Plant Policy.

4. When the Sewing Plant Manager is off work, the elevator keys are handed out to the Correction Enterprises Sewing Plant supervisor from the master control room officer.

Recommendations:

- Ensure that only security staff maintain keys to all locks and elevators located outside of the Correction Enterprises Sewing Plant.
- Eliminate security related procedures in Correction Enterprises policies that are in conflict with the department's policy.
- The back dock door is the last door before having access to the outside, and should be operated by a control room officer and not by an officer on the dock or from the inside of the building.
- Direct that Correction Enterprise employees to, strictly adhere to the department policy for key and lock control.

Observation:

1. Pasquotank's Standard Operating Procedure (.0600 5 b) reads: "Daily: The Second Shift Officer-in-charge will be responsible for a physical count of each key on a daily log. The results will be documented on the daily activity log." This has not been occurring on a regular basis.

Recommendations:

- Conduct a physical count daily on the second shift by the officer – in – charge as required by Pasquotank's Standard Operating Procedure (SOPs), and document the results on the daily activity log. This log should be reviewed regularly by a supervisor to ensure compliance.
- Ensure an audit of the issued institutional keys are completed. Following the audit, a thorough review of who is issued which keys should take place.

- Review Standard Operating Procedure during the key audit to ensure the proper keys are distributed to the correct staff, based upon their work or post assignment needs and immediately correct any discrepancies.

Observations:

1. The NIC team asked the master control room officers for a complete key audit document and one could not be produced.

2. The NIC team asked the master control room officers to explain what keys were on the keys rings (i.e., what doors do they open). The officers did not know, nor could the officers produce a document that explains what keys go to what areas. Several hours later, the information was produced by hand on a separate sheet of paper.

Recommendation:

- A completed key audit document must be kept in master control. Also, a document should be kept as to what key rings go to what areas and what the different keys on each key ring lock or unlock.

Observations:

1. General Institution Procedure 0.600 reads: "At no time are keys to be left hanging in a lock or left exposed. Un-issued keys will be maintained in a key cabinet or on a keyboard to which access is restricted. Issued keys in the possession of a correctional officer or other staff person should be kept in a pocket or other secure place and out of the view of inmates unless they are actually being used."

2. Staff were seen throughout the institution with keys clipped to their person and in plain sight of the inmates.

Recommendation:

- Staff should adhere to policy and keep institutional keys (on their person) in their pocket or another secure place out of the view of inmates as policy states.

Observation:

1. The key control sergeant has not been trained on how to rekey locks within the institution. As a result, the locks which need to be repined/re-keyed are taken off property to a locksmith unassociated with the institution to have the work completed.

Even though the key and lock control sergeant remain with the locksmith the entire time while the lock is being rekeyed, it is not a completely safe and secure practice.

Recommendation:

- Provide training for the institutional locksmith and back-up locksmith on how to re-pin/rekey the locks at the institution

Policy, Procedure, Standard Operating Procedure and Post Orders

Department Policy and the Standard Operating Procedure (SOP) at the Pasquotank Institution has procedural conflicting language.

Observation:

1. The PCI SOP (.0600 C. 3 b) differentiates between critical and non-critical keys being taken home and what should occur if that happens. Critical keys are to be returned promptly and if non-critical keys are taken home it is up to the O.I.C. if they are to be brought back promptly. Department policy (.2404 c) specifically states if a key is taken home, the key shall be returned promptly.

Recommendation:

- Eliminate any conflicting verbiage which exists between department policy and Pasquotank Standard Operating Procedures.

Observation:

1. Several different key control policies have been generated.

2. The department creates one, the facility creates one, and Correction Enterprise creates another. This creates some confusion on staff's part due to so many different policies or (SOP's) having to be read and followed.

Recommendation:

- The NIC team recommends stream lining the policy/Standard Operating Procedure process by having only one or two: meaning one from the department and one for the facility. This area will be discussed further in the report.

Post Orders

Observation:

1. Post Orders/Standard Operating Procedure reviewed (Chapter II Custody and Operation and Correction Officer) were last updated 10/14/14 and 09/16/14 respectively. It was found that staff do not read these post orders very often. Post orders play a vital role in the operations of an institution. When new processes are implemented, and the post orders show the change in process, the process is more likely to be followed.

Recommendation:

- Update post orders on an annual basis. By keeping the Post Orders updated, it sends a strong message to staff that administration is aware of the duties and responsibility they have.
- Require staff to read the post orders daily. By doing this, staff are aware of what their job is on each post through detailed instructions in the post orders. Any time a post order is updated, we recommend letting the staff member know at roll call briefings what is included in the update.

Physical Plant

The physical plant plays an important part in the operation of the institution. The line of sight for staff, the cleanliness of the facility (health and safety), the operations and maintenance upkeep of the facility, etc.

Observations:

1. Full storage racks created a blind spot on the camera monitor where the flammable cabinet is located in the Sewing Plant storage room. This prevented staff from being able to see or the camera to record important aspects of the incident that occurred on October 12, 2017.

2. There are six cameras located in the Correction Enterprises Sewing Plant. The available camera monitors in the area were not being monitored by staff at the time of the incident.

Recommendation:

- Conduct a review of all camera locations to include a review of monitors, and eliminate all blind spots, corners, etc. that exist in the institution.

- Require control room staff to monitor all areas of the Correction Enterprises on camera monitors, when staff and/or inmates are in the area.

Observations:

1. The inmate dedicated search room located in the Correction Enterprises Sewing Plant area is not suited well for the searching of inmates. There is not a dirty/clean area located in the room to enable the staff to separate inmates who have not been searched from those who have been searched.

2. There is not a barrier from inside the room so everyone passing by the area can see a strip search occurring which is in violation of the Prison Rape Elimination Act (PREA) standards.

3. The NIC team was told at the beginning of the assessment that all inmates pass through a metal detector and are pat searched when entering the Correction Enterprises Sewing Plant area. When leaving the sewing area, all inmates are stripped searched and pass through a metal detector.

4. The NIC team discovered inmates were very seldom stripped searched (only about 20% of the time). PCI Post Order .3500 VII Inmate Movement it reads: “A” All inmates leaving the Correction area will be thoroughly searched before leaving at the end of their workday. This will include going through the metal detector and strip searches will be conducted on a daily basis of all inmates leaving the Correction area. “B” Inmate’s leaving the Correction area during the workday for any reason will be strip searched.”

Recommendations:

- Change the location or modify the search room to meet all requirements of a search area, to include identifying a clean and dirty area within the room, and installing barriers to keep the view of the strip search out of plain view of others.

- Require staff to follow PCI post order and strip search all inmates leaving all Correction Enterprises areas. This is a simple way to increase security within the walls of the Institution.

Training

Staff cannot be trained enough in the operations within the institution. The way staff train is the way they will respond in emergency situations. Training is a valuable part of everyday life inside a correctional institution.

Observations:

After reviewing the incident on October 12, 2017, the NIC team noted the following:

1. The sewing plant supervisor did not have access to a radio.

2. Due to the fire started by inmates in the storage room, the Sewing Plant was filling up with smoke, and the sewing plant supervisor did not know what to do. After some time, he ran out of the sewing plant area to try and find an officer to notify them of what was happening. After running down one programming corridor, he entered the programming and medical corridor and notified a Lieutenant with the information he had at the time.

3. During interviews, this staff member told the NIC team he was panicked, because he had not been trained in emergency procedures within the prison.

Recommendation:

- All staff both correctional and non-correctional staff who are around or work with inmates should be trained in the emergency procedures of the institution, be issued a radio and personal safety equipment, and trained on how to use them.

Maintenance Request/Work Order Program-Pasquotank CI

Observations:

1. The Maintenance Manager System (MMS) is the work order system used at the Pasquotank Institution which notifies maintenance of areas needing attention for repairs.

2. A sergeant has computer access to either notify his/her superiors of a vehicle work order or an institution work order but not both. Only a lieutenant and above has full access to the MMS. Correctional officers are not granted access to the MMS.

3. When interviewing master control room staff on two separate occasions, the NIC team received conflicting information. One of the master control room monitors was not operational (nothing was showing on the screen).

4. The master control room staff were asked about this concern and the response was “not sure why it’s not working, it has been that way for a while.” When asked if a work order had been called in the response was, “not sure.” This was of great concern to the NIC team because having a monitor not functioning properly is a very serious safety and security issue.

5. During another time, the NIC team was in the master control room and different staff were working, the concern of the monitor was discussed again. The NIC team was informed by the master control room staff that the monitor not working was disconnected, and was no longer in use and had not been used for “quite some time.” The concern here is that when the NIC team first noticed the monitor was not turned on, the staff response was, “not sure why it’s not working” and staff were unsure if a work order had even been called in.

Recommendation:

- Streamline the MMS process, so any staff member can submit a needed work order. Post orders should require all staff to check all equipment they have responsibility to operate, and ensure it is functioning properly during oncoming shift post relief. Improve communication from administration to staff on the status of all equipment by notifying staff at roll calls, and by computer messaging for those who do not attend roll calls. Not all staff working in the master control room were aware of the status of the monitor not working.

Observations:

1. When interviewing the maintenance supervisor, he mentioned some flaws in the current way that work orders are being recorded and called in.

2. Often staff just make a phone call to the maintenance shop to report a needed work order. Work order messages are sometimes left on the answering machine. This creates a time delay in receiving the message when staff are not at work (; i.e., sick, vacation etc.)

3. When maintenance staff are in a housing area attending to a work order and an inmate asks them to fix a toilet or reports some other problem, they address those issues.

Recommendations:

- Ensure all work orders are collected only by the MMS and no other way. By doing this the Institution and department can fully track the number of work orders being generated. This will also help administration to identify problems areas within the institution and better gauge the workload of the maintenance staff.
- When it becomes necessary for maintenance staff to address a work order on the mezzanine level in a housing unit, require that they only take the necessary tools needed into the unit section. The tool box should not be left unattended around inmates, but kept outside of the section in a locked area.

Previous Security Audits/Inspections

Security audits are tools which can be used by the Institution to judge whether or not they are keeping good security practices in place. When security audits are not performed correctly it could leave staff feeling a false sense of security after an audit is completed, if they received a high score when it was not achieved.

Observations:

1. The NIC team reviewed the documents from the last department security audit performed on February 15, 2017. The Pasquotank Institution received a "meets expectation" in every category, which means the institution received a score of 100%.

2. In reviewing Section 12 of the audit report (Key and Lock Control) and in asking the questions from this section of the audit to the institution's key and lock control sergeant, the audit team found two areas where the institution was not in compliance. This took the NIC team about ten minutes to ask the 25 questions in Section 12.

3. It was evident the auditors who performed the Department Security Audit in February did not conduct a thorough audit, at least in the Key and Lock Control section of the audit.

4. It was alluded to during interviews, that there is a "you scratch my back and I'll scratch yours" approach when it comes to the inter-department security audits.

Recommendations:

- Executives should notify the department of the importance of security auditing, and the benefits to their fellow workers and the work environment when the security audit is comprehensive.

Tool Control Document Review Pasquotank and Nash

Policy, Standard Operating Procedures, Post Orders, and Logs/Forms on Tool Control: Policy and Procedures (SOPs) on tool control are a systemic concern at facilities in NCDPS. There are numerous layers of roadmaps for staff to follow creating confusion and lack of consistent practices within agency.

Observations:

1. NCDPS Policy .2700 Tool Control (b) (1) classifies tools, and states "Class A tools are tools that can be used by an inmate either in escape or causing death or serious injury to staff and other inmates. These tools include but are limited to the following: ladders, jacks, hacksaw blades, pipe wrenches, knives, meat cutting equipment, wire cutters, files, cutting torch and tips, pipe cutters and bolt cutters, axes/emery wheels and drill bits, portable grinders or similar machines, and other tools, such as scissors, should be examined considering the security classification of the facility. Judgement should be applied to ensure that no tool is overlooked in this category. If in doubt, place the tool in this category."

2. NCDPS Policy Tool Control requires each Institution to develop a Standard Operational Procedure (SOP) for tools.

3. Policy does not require Correction Enterprises to develop their own SOP; however, the memorandum of understanding (MOU) between NCDPS and Correction Enterprise does require Correction Enterprises Standard Operational Procedure on tools.

4. Nash Tool SOP.2400 and Pasquotank Tool SOP .0400 both have different language for Class A tools and allows for the Facility Management Teams to determine what other tools may be considered Class A's.

5. The Correction Enterprise Tool Control SOP is different than the Facility SOP.

6. Correction Enterprises has a Tool SOP written for each different plant and varies depending on facility. Example: Sewing Plant tool SOP lists their Class A tools and (scissors are not listed as Class A tools); however, Nash Print shop does not list Class A

tools in Correction SOP at all.

7. Incongruent language between Tool Control Facility SOP's .0400 and .2400 and the Correction Tool Control SOP's is one reason for staff inconsistent security practices in storage room, and in the lack of accountability for tools in Sewing Plant at Pasquotank and Print Plant at Nash.

8. Nash Institution Tool Control Procedure states: A "Tool Storage rooms will be secured by staff and remain locked at all times. Storage areas will be inaccessible to inmates without direct supervision." The Correction Enterprises Tool Control SOP was silent on this language, so it was not accomplished by staff in practice. Three inmates assigned to work in Correction Enterprises Print Shop have access to both Class A and Class B tools, without any direct supervision.

9. Pasquotank Correctional Institution SOP .2400, and Nash .0400 Tool Control states inmates must be directly supervised by staff when using Class A tools. The Correction Sewing Room Tool Control SOP was silent in this area, which contributed to staff failure to perform as required by the Facility SOP. One inmate was assigned to work in Sewing Plant tool room issuing tools to other inmates. This was the case the day before the incident, as recorded on the inmate check in/out log. There were seven tools checked out to inmates: needle nose plier with side cutter, socket set, three large six-inch blade scissors, two screw drivers, one ball peen hammer, one claw hammer, one pouch with four scissors, and one wood saw.

10. NCDPS Tool Control Policy states that the facility head has the responsibility for ensuring the control and accountability of all tools within the facility, including tools assigned to contractors, Correction Enterprises, vocational school, central engineering staff and others bringing tools into a facility.

11. Staff within the facilities at Nash and Pasquotank were confused and believed policy meant only tools brought in each day are their responsibility; however, the Pasquotank Tool SOP .2400 states: "The facility head will have the overall responsibility to ensure for development and implementation of the tool control procedure. They will also shoulder the responsibility for ensuring the control and accountability of all tools within the facility and includes tools assigned to Enterprise, regional maintenance staff, etc."

12. Nash Tool SOP .0400 stated Enterprise staff were responsible for tool control implementation and control with the approval of the Assistant Superintendent.

13. Lack of collaboration and communication between Correction Enterprises Staff and the Facility Head is absent in the development of Enterprise SOP's, as required by Policy and Facility SOP's. The Policy, Facility SOP's and Enterprise SOP's would not be so incongruent and confusing, if there was consistent dialogue and training on written policies and accountability procedures. There has been critical failure within the two industries plants, due to a culture lacking in collaboration and communication on all critical safety and security concerns within the agency.

14. There are no standardized or consistent processes or forms on tool control as required by the agency. Consequently, all facility areas and Correction Enterprise use different forms requiring differing information.

15. NCDPS Tool Control Policy .2700 does not require a standardized form for tool control.

16. Nash Tool SOP .0400 requires standardized numbered forms for tool control; however, staff did not know that language was in procedure and do not use those forms. Consequently, all logs and forms and inventories are different for each area within the facility and Correction Enterprise Plants.

17. Pasquotank Tool Control Policy .2400 does not require any standard form for tool control. Consequently, all logs and forms and inventories are different for each area within the facility and Correction Enterprise Plants.

Recommendation:

- Develop a department policy that succinctly specifies for all departments the procedures for managing and securing tools within the department.

- Develop a NCDPS Tool Control Policy that lists all Class A tools for all facilities. Eliminate the ability for each facility and Correction Enterprises Plants within facilities to create their own interpretation of what is considered hazardous/dangerous. Too much conflict and confusion exist without standardization in this area. The policy should include: claw hammers, sledge hammers, chain pullers, large and long screw drivers, all saw blades, electric bread slicer blades, and etc. There are many tools that could be classified as Class A which can and should be considered.

- Eliminate the ability for inmates to issue Class A tools. Class A tools should be issued by staff and under direct staff supervision.

- Develop NCDPS Tool Control Policy for all entities within the department and for contractors. At a minimum, policy areas should include: tool control processes, identifying responsibilities, handling and issuing, inventorying, designating individual departments, tool control officers' responsibilities (inventorying frequencies, supervision, monitoring and auditing of tools).

- Develop a NCDPS Tool Control Policy that requires standardized forms and logs for all tool control inventories, issue logs, audit inventory logs with the reviewer title, date, etc. Create a NCDPS form number for each form or log and maintain at the agency level, ensuring auditors review the required form and logs to eliminate renegade forms or logs. When separate, differing forms and/or logs are created, they inevitably miss information required should a tool go missing or be inappropriately or illegally used.

- Based on best practices and professional opinion, adopt a committee of Correction Enterprises and custody disciplines to evaluate the necessity of NCDPS Tool Control Policy, facility tool SOP's, Correction Enterprises Tool Control SOP's and MOU's.

- It is important to note that critical prison safety and security policies need to be concise and leave no doubt in staff's minds what is required to maintain a safe and consistent tool control practice.

Tool Control Staff Practice Pasquotank and Nash

It should be noted that according to best practices and professional opinion, the practice of tool control by staff can be partially linked back to policy and procedures that conflict with each other. There are many varying procedures on critical areas within the policy and procedures, with lack of clear understanding or knowledge of what is required. Many staff did not know the policy and procedures, which one to follow, and - in some cases - did not know a procedure existed for Correction Enterprise tool control or facility tool control.

Class "A" Tools Classification, Storage, Issue and Use.

Observations:

1. At the Pasquotank Sewing Plant, the following items were not listed as Class A tools: hack saw blades, scissors, wire cutter, side plier, Claw hammer and Fabric cutting blades 10" x 11". All these tools were available for the inmate tool clerk to issue to other inmates.

2. At the Pasquotank Sewing Plant, Class A tools listed above were not locked in secure cabinets but open to inmates.

3. At the Pasquotank Sewing Plant, inmates were allowed to use these tools without direct supervision.

4. At the Nash Print Maintenance Shop, many large red tool cabinets within the shop had missing Class A tools. There was no indication when they went missing, where they were or any inventory being completing checked on cabinets by any Correction Enterprises or custody staff.

5. At the Nash Print Plant, numerous brand new, un-inventoried (approximately 20-25 Class A tools) were in a file cabinet in the back of the wood shop. When staff were questioned, no one admitted knowledge as to how they got into the shop.

6. At the Nash Print Plant, welding tip and mixers were not secured, and were left attached to tanks.

7. At the Nash Print Plant, neither custody staff nor Correction Enterprises staff had conducted any intensive inventory check on a daily, weekly, or monthly basis as required by policy.

8. At the Nash Print Plant, there was no issue log present for the three inmates who worked in that area. They had, however, checked out Class A tools, and had access to others not on any inventory.

9. At the Nash Print Plant, the three inmates working in that area also had tools in their desks which were not on any inventory list, and had been maintained in their desks for personal use.

Recommendations:

- Immediately revise current tool control department policy to contain the procedures the department wants to employ, and initiate a department-wide audit of tool management. The tool audit should include the areas within Correction Enterprises.

- Review American Correctional Associations (ACA) Standards and the Tool Control Best Practices identified in the National Institute of Corrections Security Audit Instrument.

Tool Control Officer Training

Observations:

1. At Pasquotank CI, the assessment team spoke with the sergeant assigned to tool control. He stated he is learning from the lieutenant who had been the tool control officer. He admitted that he has a lot to learn and recognizes the confusion that exists between policy and facility SOP on tools. He stated he asks lots of questions and does his best. Professional opinion would indicate he is genuinely trying his hardest to manage tools however, a tool control system can be complex to develop especially without the lack of consistent direction in writing and verbally.

2. At Nash CI, the captain was the staff member the team was directed to for tool control. The captain oversaw tool control for the facility. The Captain recently assigned a Lieutenant, who was not present during our time onsite, to oversee tool control for the facility. The captain was unaware that the Nash Tool SOP required specific tool control forms and logs for the facility. Also, he was unaware of the status of tools in the Correction Enterprises Print Plant.

Recommendations:

- Write a succinct, consistent definition to clearly identify Class A tools and how they are to be secured and managed. This should be done at the department level.

- Ensure Tool Control Officers and all staff who uses or supervises the use of tools are knowledgeable of the storage, handling, issue, and use procedures.

- If Pasquotank Sewing Plant is to re-open, then a detailed review of what tools are necessary for the shop to operate should be conducted. Notation of what they are used for, and how securely the inmates will use them, (e.g.) tethering of the scissors should be included in the review.

- At Nash CI, all tools should be removed from areas within maintenance, wood shop and re-inventoried by tool classification. They should be placed in secure cabinets or shadow boarded, with strict controls set in place for storage, control, issue and use. No inmates should have desks or work where tools are stored. Class “A” Tools should be issued as needed, under direct supervision.

Interview, Monitor and Training of Tool Control Officer

Recommendations:

- Determine what level of knowledge, experience, and abilities the Tool Control Officer should have in department policy. Conduct interviews for selection, and continually provide training in all aspects of a safe, secure and controlled tool system.

- Provide specific advance training for those who are assigned as tool control officers. The training consists of the identification of tools, the categorization of tools, the accountability and responsibilities and authority of the tool control officer.

- At minimum, three levels of tool management oversite. (1) The NCDPS Division of Prisons, (2) Facility Level, and (3) each Correction Enterprises plant level, based upon the tools necessary to do the work.

Storage and Tool Room Overview

Observation:

1. At Pasquotank CI, Correction Enterprise; the video of the Sewing Shop stock room shows an area that was overstocked, and an area manipulated by the inmates. There were shelves and supplies stacked to the ceiling, the chemical cabinet was placed against an exit door in the back of the room behind shelving. Inmates had created a “hiding place” for themselves with the intent to conceal their activities from camera view. The assessment team deduced that staff had become accustomed to seeing boxes stacked to the ceiling, and items blocking entry and exit points. This resulted in their becoming complacent to their surroundings. This is a common response as things change slowly and incrementally over time. Staff are busy with increased duties and responsibilities on a daily basis, so it is imperative that different eyes view and assess these areas for staff safety.

2. The Nash Print Plant Tool Room was an unsafe environment. The three inmate workers assigned to this area clearly had established their individual “comfort zones” by placing their desks in areas with filing cabinets, and cutting off visibility to their areas. The inmates had tools, wires, chemicals, and so much “stuff” in their desks. The items removed from the desk drawers for our assessment was stacked high on their desks. The entire wood shop and maintenance shop was very dirty, cluttered, unorganized, full of extra parts, and items to be repaired. It took one entire day just to go through tools and chemicals. We found dangerous items such as nails, box cutter blades and Class A tools that should have been discovered on inventory reconciliation or security audits.

3. Visibility into the area from windows was non-existent because of cabinets and supplies stacked to the ceiling.

4. The Optical Tool Room is very small, uncleaned and cluttered with boxes of extra parts and tools. The assessment team were unable to locate a tool inventory to verify tool accountability within the tool room.

Recommendations

- Inspect all plants for cleanliness and clutter. Eliminate unnecessary or duplicate tools.

- Only have tools in the Correction Enterprises Plants that are required for daily use.

Tool Control Facility Maintenance Shops

The facility maintenance Plants at Pasquotank CI were reviewed while on site for a general comparison between facility tool control and Correction Enterprises Tool Control.

The facilities maintenance tool rooms were in somewhat better condition and control than Correction Enterprises; however, there remains critical observations that needs to be addressed in each facility maintenance shop.

Observations:

1. In the Pasquotank Facility Maintenance Shop Tool Room, the inventory sheets and logs were different than Correction Enterprises. There were some tools never checked back in on the issue log, nor were there any dates on any logs. The maintenance manager stated that he checks inventory by reviewing shadow boards. The tool shop is not using issue logs.

2. The Pasquotank Facility Maintenance Shop Tool room was organized and clean. The plumber's tool cabinet was full of rusty, old tools which needed to be replaced, as evidenced by the barely visible etching.

3. Using the Pasquotank Facility Maintenance Shop Tool Room as an example, on 10/12/17, the manager had a broken ball peen hammer which was purchased prior that date and replaced it with a claw hammer. It was not changed on the inventory sheet and he stated it would be done soon. If the new claw hammer had been missing no one would have known it was there except for the manager.

Welding Shop Tool Control and General Condition

Observations:

1. Pasquotank CI Welding Shop is a very cluttered and disorganized area. There is no area for staff to walk through without tripping over buckets, supplies, or equipment. The inmates work in this area to accomplish welding jobs.

2. There are six barrels for disposal of metal pieces, broken tools, and scraps unaccounted for. The barrel for storing broken tools is a metal barrel with a secure lock on top. The other five barrels are plastic, and stores metal pieces and scrap in open unsecured containers with no lid. The barrels are all overflowing and have not been emptied in quite some time. Our concern is the inmate's readily access to potential dangerous contraband.

PCI Maintenance Tool Room

Recommendations:

- Use the issue logs and not just rely on counting tools on shadow boards in the Pasquotank Maintenance shops and tool rooms.

- Require Pasquotank Maintenance staff to review tools in plumber's cart and verify the condition of the tool etchings to ensure the etchings are visible and verify the tools are in operating condition.

- Require the Tool Control Officer place all new tools on inventory prior to them being placed in use.

PCI Welding Shop

Recommendation:

- Organize and de-clutter entire area at Pasquotank. Ensure inmates do not have access to this area, until it is safe to do so.

- Ensure that scrap barrels should all have tops and the ability to be secured with a lock at Pasquotank. Excess scrap materials should be removed daily. If storage is required, the scrap materials should be stored in a secured container outside of the shop away from inmate access.

Overall Staff Practice Recommendation

- Appoint a multidisciplinary team to review the status of the maintenance shop and determine how to redesign to create visibility not just in these two shops but all areas within facilities for staff safety.

- Inmate free time or work areas should be visible to staff with no ability for inmates to secret or hide items they may want to keep in these areas.

- Ensure Correction Enterprise and facility staff make rounds together for the purpose of identifying and rectifying identified areas of safety and security concerns, to include the location of the tool rooms that pose potential risks. No tool room should reach the level of disarray and unsafe practices as was observed in the Nash Print and Optical Plants.

Hazardous Material Control Document Review Pasquotank CI and Nash CI

Departmental Policy, SOP's, Post Orders, and Logs/Forms on Hazardous Materials Control: Policy and Procedures (SOPs) regarding hazardous material control were problematic at PCI and NCI. The varied language and direction provided varied for staff to follow created confusion and lack of consistent practices within agency.

Observation:

1. Nash CI, Pasquotank CI and Correction Enterprise Policy/ Standard Operating Procedure policy definitions differs from NCDPS Department Policy Hazardous Chemical Control Policy .3600 definitions. The staff were unaware of the differences.

2. NCDPS Policy .3600, and facility SOP's, Correction Enterprise SOP's do not require perpetual weighing of remaining chemicals for determining the usage, inventorying and control purposes.

3. NCDPS Policy nor Facility and Correction Enterprise SOP's require standardized forms or logs for accounting, controlling and documenting of Hazardous materials. Some observed did not have the necessary required information to be accountable if used inappropriately or illegally.

Recommendations:

- Review and compare NCDPS Policy .3600 to all facility SOP's on hazardous chemicals and consider whether separate SOP's are really necessary. If they are, then the language should be consistent with respect to definitions, storage, issue, and use.

- Develop a perpetual weight system utilizing an electronic scale. Caustic and dangerous highly flammable substances should be weighed by ounce or amount necessary to accomplish the specific task.

- Develop standardized NCDPS forms and logs to be utilized departmentally for accounting, inventorying and controlling of hazardous materials.

Hazardous Material Control; Staff Practice Review Pasquotank CI, Nash CI and Correction Enterprise

It should be noted, according to correctional best practices and the professional opinions of the assessment team, the poor practice of hazardous material control by staff can be partially linked back to failure to succinctly articulate the procedure and practice in policy.

Observations:

1. It appears the annual hazardous chemical audits are not being done as required by department policy in areas reviewed at Nash CI, Pasquotank CI and Correction Enterprises.

2. There was no perpetual inventory of flammable or caustic, dangerous chemicals maintained that could be located for all chemical cabinets observed.

3. The October 12, 2017 video of the incident shows a Correctional Enterprises staff member going to the chemical cabinet and issuing an inmate a compressed air can of a chemical. The staff did not remain with inmate to supervise the use of the chemical. It was discovered by search of cabinet that a flammable aerosol substance was missing according to the Correction Enterprises staff.

4. In the Pasquotank CI Maintenance Shop, there were no correct inventories of any chemical present in the shop. The issue logs were years old, with no current issue logs used or maintained.

5. The last inventory located in cabinet stated there were ten gallons of mineral spirits in the cabinet. There were two-gallon containers in cabinet, one empty and one almost empty. All chemicals in cabinet had no accountability.

6. There was another cabinet located in the same area. This cabinet contained a 5-gallon bucket of what appeared to be mineral spirits. The bucket had no cover and was half full. The manager thought it may have been brought from another area after the incident and placed in this cabinet.

Nash CI Maintenance Shop

1. Chemicals throughout the print shop revealed there were flammable and caustic chemicals that were not in secured storage cabinets when not in use.

2. All cabinets in the Maintenance and Wood Shops were overcrowded with chemicals. There were no issue logs, no perpetual inventories, nor did the staff have any knowledge what chemicals were present or even if those chemicals were needed in these areas.

Nash Print Shop Floor

3. The issue logs confusing, for staff reconciling due to use of wrong type of log being used.

4. There is no perpetual inventory of any chemical, however the cabinet was organized and not overcrowded as others.

Recommendations for All Areas Listed:

- Develop a process in policy for a daily inspection of all chemical cabinets at the end of each shift for accountability.

- Develop in policy a standardized hazardous material control system and conduct training for custody, non-custody and Correction Enterprises Staff to accommodate safe practices and management of hazardous materials.

- Develop inventories on all chemicals in each area.

- Remove all unnecessary chemicals.

- Develop standardized departmental forms for management and accountability of hazardous materials.

- Start with a completely empty area by, cleaning it out, evaluating the need for chemicals. Develop safe storage, inventory, issue and use procedures, and train staff in those procedures.

- Develop new inventory, and develop or use an issue log that provides needed information.

Security Audit Document Review Pasquotank and Nash

Security Audits are the process for determining the extent to which policies, procedures, standards, and practices combine to ensure a safe and secure environment. The Security Audit should be conducted by auditors with expertise and deep knowledge of safe, secure policies, procedures and practices. A good audit will identify weaknesses, deficiencies, and areas of vulnerability in an institutions operation. Without a robust security audit program, leaders cannot accurately determine if vulnerabilities exist in their security systems. A fresh eyes approach is necessary before weakness become risks to safety. The audit is the first and last defense in identifying risks for the safety of staff, inmate and the public. If risks are not discovered during this process and complacency continues. The shortcuts taken by staff could lead to possible escape, serious injury, or death.

The Pasquotank Institution had a security audit, in February of 2017, the Nash Institution had a security audit in July of 2017, and another of just the Print Plant November 17, of 2017, and two days before the assessment team was on site.

Observations:

1. The Pasquotank February security audit, and the Nash July security audit did not identify risks in tool or chemical control. There were many indicators that the policies, and practices were not only weak at the time of the NIC assessment, but at a critical level for risk.

2. Nash Management tool control audit, of the print shop November 17, 2017 did not identify 11 deficiencies. This was not however, a detailed security audit nor did the audit instrument include standards critical for risk analysis in tool control. It appeared to be a cursory audit.

3. The assessment team was informed that the security audit at Nash in July only lasted for a brief amount of time, leaving staff there perplexed as to what the audit process really entailed.

Recommendations:

- Review security standards and audit instrument to ensure that the document provides for a thorough risk analysis.
- Train auditors, and use only very experienced staff to conduct the audits.
- Ensure enough time is allotted for thorough security audits at each facility.
- Ensure part of the audit process includes a review of policies, SOP's, and post orders.
- Develop a corrective action process to ensure security audit deficiencies are addressed.

Staff Personal Body Alarm System

Observations:

Many prison systems across the country have purchased and implemented the use of personal body alarm systems to enhance staff safety within their institutions. The NIC team did not find these personal protection systems in place at either the Nash or Pasquotank Institutions, nor were these systems in use in the Correction Industries located within these institutions.

1. Conversations with NCDPS Adult Corrections Division staff and Correction Enterprise Management indicated that personal body alarm systems do not exist in any of the NCDPS facilities or Correction Industry sites in the state.

2. Personal body alarm systems available are generally comprised of a transmitter worn by the staff member, intermediate receiver/transmitters to relay information to the last component, a base station (processing station for information transmitted) located in a security control room with 24 hour staff coverage. The transmitter devices are about the size of a garage door opener or a little larger and affix to the wearer's belt or otherwise attach to the clothing in the waist area to be readily/immediately accessible to the wearer.

Recommendations:

- The NIC Team recommends the acquisition and implementation of a quality personal body alarm systems both for all NCDPS Adult Corrections Division facilities and for all Correction Enterprises sites located throughout the state. The body alarm systems combined with appropriate training are in our professional opinion, the most important piece of personal safety equipment that can be issued to all staff and volunteers working in a correctional facility.

- The NIC Team recommends all staff who work or volunteer in a correctional institution and Correction Enterprises are trained on how the personal system is activated, where it is acknowledged, and staff and victim response procedures and provided training in personal safety situational awareness.

- The advantage of personal body alarm is they provide a silent alert to a control station that can immediately dispatch help to the location of the staff member.

- The most important feature of a quality body alarm system is that it identifies the location of the person and it has the ability to notify a control center audibly and visually.

Two-Way Radio System

Observation:

1. The current two-way radio systems used for facility communication at both Nash CI and Pasquotank CI and Correction Enterprise located at these facilities appeared to be similar in the type, frequency and nomenclature. There appeared to be a mixture of older radio types/brands and newer models, with many, if not most, of the existing radios equipped with a small button located at the top of the radio is referred to as a "panic alarm" button. The NIC team randomly tested staff radio panic alarm buttons, and interviewed both staff and maintenance supervisors on their use. We were informed that the radios do have the capability to function as a panic alarm, but they required additional programming and equipment to accommodate the added features. The addition of the radio system features described in this section provide a second level of redundancy for staff safety for any emergency including those for medical emergencies.

Recommendations:

- Conduct a system wide assessment of all radios for the capability of programming for the activation of the "panic alarm" feature. There are a variety of levels of sophistication for radio activated alarm systems ranging from pinpoint location capability to no location capability for the department's consideration for stationary posts and mobile posts.

- Ensure the alert radio function "panic alarm" feature is programmed on all two-way radios utilized within the adult correctional institutions and Correction Enterprise.

- Write a departmental policy describing the standards by which the panic alarm is activated, as well as the procedure for determining location and response.

- Require all staff who directly supervises inmates and those whose work require them to be in the presence of inmates are required to be issued a radio.

- Develop departmental training on emergency notification and staff emergency responses to personal safety alarms.

The Open Microphone Feature (Hot Mic)

Observation:

1. During our review of the radios at Pasquotank and Nash, the NIC team noticed the current radios did not have the open microphone ("hot mic") feature. The "hot mic" feature acts as a companion to the "panic alarm" activation in that it causes the transmission microphone on the radio to activate for a brief, prescribed period of time (generally 10 – 15 seconds) during which time all other transmission capability on the radio system is over-ridden. It does, however, allow for an avenue to obtain locational information for staff who may not be in a fixed or otherwise known location.

Recommendations:

- Add the open microphone feature to the radios issued to all staff and volunteers who directly supervise and those whose work require them to be in the presence of inmates. These individuals should have this feature programmed on their radios.

- Include the purpose and use of the open microphone system in the departmental Staff Safety Policy and provide the necessary training to all custody staff and Correctional Enterprise employees.

- Implement the radio system and the personal body alarm system.

Telephone off Hook Landline Feature

Observation:

1. The NIC Team questioned staff at both Pasquotank and Nash Institutions to determine if they were aware of the off-hook personal alert feature on the landline phones located in the institutions and at Correction Enterprises Plants and offices. This feature is designed to allow the control room officer to hear what is going on at the location of the "off hook" telephone and, allows for office staff to notify the control room officer. We were informed at the Pasquotank Correctional Institution that the "off hook" telephone feature is functional. The NIC team discovered that the staff in control center were not aware of the security feature, hung up the phone, and did not return the call to verify the status of the person. We did not test the system at Nash, but were told that the land line system did not have that functionality in place. We are unsure of the existence of this capability departmentally for NCDPS adult correctional Institutions or Correction Enterprise Plants.

Recommendations:

- Implement the "off hook" alarm personal safety option in all adult correctional institutions and Correction Enterprise operations system wide.

- Add the "off hook" landline telephone personal safety system's purpose, function, and response to the department's required Staff Personal Safety Training.

Observations:

1. The NIC team found no indication during our staff safety assessment that frequent training for staff on staff safety and situational awareness was being provided staff in either Pasquotank CI or Nash CI or for the Correction Enterprises Plants located within them. We also could not determine beyond PCI and NCI if this training was provided for staff in any other or the remaining facilities in the NCDPS Adult Corrections Division or in the Correction Enterprise plants. Industrial safety is being taught to Correction

Enterprises staff members, but this does not include training to assist them with ensuring their personal safety when supervising and working with inmates.

Recommendations:

- Develop a standardized and comprehensive staff safety and situational awareness training curriculum for all employees working in prisons.
- This training become an annual refresher training requirement.
- Personal safety and situational awareness should be presented and reinforced during shift briefings and supervisory rounds. During supervisor rounds, routinely discuss the inherent dangers of complacency and over familiarity in a correctional work environment.
- If the decision is made to implement all or part of the previous recommendations in this report including personal body alarms, two-way radio panic alarms, hot mic features, and off-hook land line telephone alerts, the inclusion of training in the appropriate and timely use of these safety tools will be critical.

Inmate Work Assignment

Observations:

1. During the team's review of the process by which inmates are assigned to Correction Enterprise jobs, we learned that inmates assigned to a facility where Correction Enterprise was located, regardless of custody level, were eligible to be assigned to work for Correction Enterprises. The process for assignment included a behavioral review, skills assessment, criminal history review, job interview with potential employer, review of physical and mental capabilities and other reasonable factors were considered for a work assignment.

2. In 2010, North Carolina Inmates, filed a class action lawsuit under the Americans with Disabilities Act. On August 15, 2013, a stipulated consent decree was approved by the courts. On October 1, 2015, the *Inmate Work Assignment Manual* was updated. Reportedly, the updated instructions eliminated or dramatically reduced the previous assignment criteria. The NIC team was informed that the criteria were reduced to: (1) an inmate, housed in the facility where the industry is located and expressing interest in an industry assignment, is asked to indicate by signature that they are able to perform the

work required of the work assignment; (2) and If they do so, then they are included on a list of those available for assignment and subsequently assigned on a first come, first serve basis. This was verbally confirmed by Adult Corrections Division staff and Correction Enterprise Management during our discussions.

Recommendations:

- Conduct a review of the inmate assignment distribution in all correctional institution locations, excluding close custody male inmates from working assignments in Correction Enterprise. A consideration for an exception would be the Central Unit Laundry, where the NIC team would recommend a limit of 10 inmates, no access to tools and dangerous chemicals.

- This decision takes into consideration that there are 6,272 Close Custody inmates, 17,077 Medium Custody and 14,335 Minimum Custody inmates in the North Carolina corrections system (totals for each custody level as provided during our visit) from which to select and populate Correction jobs without necessitating industry cut backs or downsizing. This recommendation was discussed without dissent with Adult Corrections Division managers and with Correction Enterprises management.

- Conduct a review of the consent decree and the current practice of “first come first serve” work assignments to Correctional Enterprises to legally create a more robust inmate work assignment process within the limitations of the consent decree.

- Re-validate the department’s male classification instrument, and consider establishing a female classification system based upon gender-specific factors.

- Initiate the development of an internal classification process for inmate work assignments for all correctional institutions. The work assignment should be based upon identifying potential risk factors and corresponding risk of the work assignment to include Correction Enterprises. Utilizing the existing inmate classification factors and evidence based instruments to assess violence potential such as the Violence Risk Appraisal Guide (VRAG) as an example, for medium custody inmates who are applying for Correction Enterprises assignment. These risk levels are arranged from high to low risk potential.

- Conduct a comprehensive security risk evaluation of Correction Enterprises Plants, based upon the type of tools and equipment, materials used, physical plant size, sight lines, security of plant construction, location within or exterior to the supporting

institution, number/ratio of custody staff assigned, and ratio of correctional staff assigned, etcetera. The Correction Enterprises Plants are rated from high to low risk. A process such as this could help the department to determine eligibility for a job in Correction Enterprises and institutional work assignments.

Correctional Staffing

Observations:

1. Pasquotank CI and Nash CI, present significantly different in terms of staffing issues. Pasquotank CI had, at the time of our visit, 84 custody staff vacancies or approximately a 25% vacancy rate. The number of vacancies on October 12, 2017 was reportedly slightly lower but still approaching 25%. Reportedly, Pasquotank CI has a very difficult time recruiting new staff to address their staffing shortages. Nash CI on the other hand, had only 16)custody staff vacancies or an approximate seven percent vacancy rate. Nash CI had no, or much less, difficulty recruiting and hiring new staff. In fact, we were told that individual applicants had been identified to fill all but one of the existing Nash CI vacancies.

2. One of the factors we looked at in our two-day basic assessment of staffing levels was to review inmate-ratios to get a general view of the staffing conditions and its impact on correctional operations. It was obvious for Pasquotank CI with a 25% vacancy rate there was a critical need for the current vacancies to be filled.

3. The most recent and currently approved department staffing plans reviewed for Pasquotank CI and Nash CI were dated June of 2015. These were approved by the Division of Adult Corrections and appeared to be based on a very sound methodology in both structure and design. As we understand the system, staffing plans/post charts serve as the document from which facility custody assignment rosters are to be prepared. In our review of the staffing plans, we noted inconsistencies with the post chart as described below.

4. During our review of the Division of Adult Correction - Prisons Post Chart, dated 06/11/15, there were two officer positions designated for the Correction Enterprises Sewing Plant on first shift. Both positions have a pull post level 1 and the second position (Vocational Post) has been vacant for an extended period. Staff reported that one Correctional Sewing Plant Officer is often expected to complete the assignment of two correctional officers in the Correction Enterprises Sewing Plant. Therefore, all post

order duties were being conducted by one officer to include the strip-searching of 30+ inmates assigned to the sewing plant.

5. As a result of the Education/Vocational Officer (Rover) post being vacant since 10/10/17, the sewing plant Correctional Officer's normal areas of responsibility were compounded. The Education/Vocational Officer's Duties include supervising and maintaining control of inmates in the vocational programs areas. This vacancy allowed inmates in the Sewing Machine and Foodservice Technology classrooms to move in and out of the rooms unrestricted as seen in video footage dated 10/12/17. The shortage of correctional officer monitoring these areas exacerbates the ability to control movement and monitor the areas effectively.

6. The recurring correctional officer shortages present a significant challenge for staff assigned to the area. Despite these shortcomings, the Sewing Plant continued to operate with the total allotment of inmate worker, and the vocational classrooms continue to provide skilled trade programming to inmates. The day-to-day area of responsibility for each vacant post was incorporated into the duties of available staff. It is these additional duties that increase risk factors and create safety concerns for over worked staff in these areas.

7. The NIC Team concluded that, had both authorized correctional officer posts been designated high priority (Level 3) as those at Nash Correction Enterprises Plants, there would very likely have been two custody staff present on October 12, 2017 instead of one. It is also significant that another low priority (Level 1) custody post (vocational) authorized on the Staffing Plan to be assigned in the immediate area of the October 12, 2017 incident was left vacant. The priority level of this post allows for it to be left vacant when the assignment supervisor is facing deficient numbers of officers available for assignment. Such deficiencies are expected to occur frequently, if not routinely, in the face of a 25% custody staff vacancy level.

8. The result was that 50% of the authorized custody post positions in the immediate area were the October 12, 2017 deaths occurred were not filled. It is not possible to definitively determine if the violent acts could have been prevented had the staffing deficiencies identified here not existed. The existence of the deficiency however, cannot be omitted from consideration in any reasonable assessment.

9. It is very important to consider that the vacancy level existing at Pasquotank CI dictates difficult decisions by facility managers and supervisors in deciding what custody posts

can be filled and which must be left vacant. When faced with a 25% vacancy rate the certainty of some posts being left vacant becomes a given factor and not the exception. Again, without the ability to do a comprehensive staffing/post analysis, the decisions by PCI supervisors and managers on priorities for the post assignments of custody staff cannot be accurately assessed and should certainly not be second-guessed.

Recommendations:

- Address the vacancy levels at PCI expeditiously. This includes determining the specific issues giving rise to the vacancies and taking immediate steps to address them.

- Reduce the inmate population at PCI if an immediate remedy for the vacancies cannot be identified.

- Assign minimum custody inmates to work in the sewing shop.

- Reduce the number of inmate workers commensurate to the number of correctional officer posts are filled in the sewing shop.

- Although is the least desirable recommendation because of the stress and tension it can produce in the inmate population, the prison and other stakeholders, is to suspend some programs and activities, either totally or adjust the frequency with which they occur. Depending upon the level of reduction in this area, tension within the inmate population assigned and associated inmate management issues can rise to a problematic level if such reductions occur for extended periods.

- As a system/division recommendation, the North Carolina Department of Public Safety, Division of Prisons should solicit an independent entity to conduct a system-wide comprehensive staffing analysis.

Overall Review of Department Policy, Standard Operating Procedures and Post Orders

Observations:

1. The NIC Team noted significant reoccurring problems in a variety of areas of the Department of Correction's Division of Prison, Policy, Procedure and Development Protocols. What we consistently found was the department's governing policies were vaguely written and lacked succinctness in the procedural language, which left,

opportunities for the readers to interpret the intended meaning. We also found department policies that were outdated, with no department approved standardized forms and policies with no routine annual reviews. Examples of department policy concerns were noted throughout this report.

2. In our review of North Carolina Department of Corrections Division of Prisons .0600 Policy and Procedure Development dated 01/16/08, it has good procedural process requirements for policy development and review however, the process is not being followed as written.

3. The current process includes Adult Corrections Division Policies from which individual institutional Standing Operational Procedures are developed and post orders are developed at the intuitional level. This three-level instructional system is work/manpower intensive when policies ideally are maintained and updated annually at the Division level, leading to annual updates of institutional procedures. These institutional procedures should themselves be reviewed and updated as necessary on at least an annual basis. The process requires very careful attention to detail by reviewers to ensure that facility procedural instructions remain consistent and within the parameters of the policy requirements.

4. In large prison systems such as the one in North Carolina, the resulting inconsistencies in how things are being done can easily become the rule and not the exception. Such inconsistencies existing in today's litigious corrections environment lead to surprises that ultimately can result in liability. Experience has taught us that inconsistent procedures and problematic directions at the institutional level are frequently not discovered until it is too late.

5. While reviewing Correction Enterprise policy and procedure Manuals, we found critical security procedures that were abbreviated, vague and lacking in succinctness. When we made an inquiry into this issue, we were informed that security related policies were created and written by Correction Enterprise staff without Division of Prison's professional input.

Recommendations:

- Review the three-level system of Department Policy, Institution Standard Operational Procedures for their effectiveness in communicating the department's desired procedures and practices.

- If in the above review determination is made to streamline the policy process, the NCDPS Division of Prisons current three-pronged policy system should be replaced with a two-pronged system. The department's policy distribution systems become the first prong is a comprehensive detailed Division of Prison Policy & Procedure that is representative of how the procedure is to be systemically implemented. The second prong relies on the correctional institutions incorporating procedural language into the institution's post orders, this process will allow for much more consistency and congruity of operations system-wide. When necessary, facility addendums to the Division Procedures may be submitted to the Division Director for review and written approval only when there are unique operational issues that dictate that this be done.

Overall Review of Security Inspections and Security Auditing

Observations:

1. Internal security auditing and inspections enables corrections agencies to determine the extent to which policy, procedure, standards and practice combine to provide a safe and secure facility environment. This is a critical management function that allows agencies to identify and correct problem areas, maintain established standards, and promote continuous improvement. It can help agencies assess the effectiveness and consistency in practice of new and existing programs or policies.

2. The security audit reports were not detailed enough to provide a quality report on the status of the safety and security of the areas audited.

3. The security audit and security inspection reports are shared with the department, institution and Correction Enterprises management with established expectations for addressing deficiencies (such as a corrective action plan).

4. Auditing methods allow for meaningful comparisons between facilities from year to year.

Recommendations:

- Create a departmental security inspection policy with standardized forms for the prison division. The policy at minimum should address, what is to be inspected, the frequency and type, frequency, documentation, corrective action process and purpose.

- Conduct unannounced security audits on selected areas routinely.

- Select and train security auditors for the department. Security is a complex and integrated system that requires trained personal to conduct a comprehensive all-inclusive status assessment. The best security auditing programs are the ones where correctional agencies created a security auditing department with assigned staff to conduct security audits throughout the department as their work assignment.

- Establish and track metrics in order to measure departmental deficiencies and correctional institutions yearly comparisons.

Overall Review Staff Training

Observation:

1. There are obvious benefits for the department to ensure both uniformed and non-uniformed employees receive consistent and quality training. What we found was not all employees working in prisons receive the same quality of curriculum based training. As an example, Correction Enterprise employees do not receive the same training as correctional staff in the areas of; tool, keys and lock control, emergency response, supervising inmates or personal safety. Although they are working with inmates and supervising them, the training in the areas mentioned is not the same as what a correctional officer receives.

Recommendation:

- Consider developing in the 1st week of Academy Training for correctional officers' an applicable mandatory training week that all new officers and new employees who are entering the department would need prior to reporting onsite. The training may include topics such as; personal safety equipment and use, situational awareness and response, tool and key control, report writing, how to use a radio etcetera.

Conclusion

This report is a direct reflection of the team's observations based upon information received from North Carolina Department of Public Safety, Correction Enterprise and from staff interviews. It is the assessment team's professional opinion, that by fully implementing the recommendations provided the, North Carolina Department of Public Safety, Division of Prisons and Correction Enterprise will realize significant improvements in the overall safety and security within their institutional operations. Additionally, each department will be in a better position

to respond to any safety or security issues or emergency circumstance that could potentially jeopardize the safety of staff, inmates, and/or the community.