North Carolina

Department of Public Safety

New Employee Manual

January 2015

Disclaimer

The manual presented here is for guidance and reference purposes only. It is of a general informational and educational nature. Policies and procedures may change. You should consult the Department of Public Safety Personnel Manual, the Office of State Personnel Manual, the Department of Public Safety Website, or the Department of Public Safety Office of Human Resources for the most current information.

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Table of Contents

Introduction....1
Department of Public Safety Vision....1
Department of Public Safety Mission....1
Goals....1
Values....1
Organizational Structure....4
Office of the Secretary....4
Office of the Deputy Secretary & General Counsel....4
DPS Administration....4
Human Resources....4
Adult Correction & Juvenile Justice Division....4
NC Law Enforcement Division....7
Manuals, Policies, Forms, and Links....8
Phone Directory....8
The HR Payroll System....9
ID Number:....9
NCID Account....9
Position Settings in the HR Payroll System....9
Employee Self-Service (ESS) and Manager Self-Service (MSS):....10
Employee Self-Service (ESS):....10
Manager Self-Service (MSS):....11
Employee Self Service Overview - Training....11
BEST Shared Services....11
Time Entry in the HR Payroll System....12
Weekly Time Reporting for NON ESS/MSS Employees....13
Weekly Time Reporting for ESS/MSS Employees....13
Gap Hours....14
Name and Address Change....14
Pay....15
Leave....19
Vacation Leave....19
Sick Leave....19
Bonus Leave....19

Holidays/Holiday Leave 19
Compensatory Leave 20
Community Service Leave 20
Community Service Leave Literacy, tutoring and mentoring 20
Other Management Approved Leave 20
Civil Leave 20
Military Leave 20
Adverse Weather Leave 21
NC Thinks – Incentive Bonus Program & Governor's Award for Excellence Program 21
Family and Medical Leave (FMLA) 21
Family and Medical Leave-Qualifying Exigency 22
Family and Medical Leave-Military Caregiver 22
Family Illness Leave (FIL) 22
Voluntary Shared Leave 22
Leave Without Pay 22
Leave Quotas (Leave Balances) 22
Longevity 24
Retirement 25
Total Retirement Plans for State Employees 27
401(k), and Deferred Comp (457) savings plans 27
Short-Term Disability 30
Long-Term Disability 30
Death Benefit 30
Sworn Law Enforcement Specific Benefits 30
Insurance Benefits for State Employees 31
Dependents 31
Health Insurance 31
NC Flex Benefits 32
Qualifying Life Events 35
Agency Specific Insurance Benefits 36
NC Health*Smart*: 37
Enrollment Information 37
Affordable Care Act 38
Unemployment Insurance 38

Worker's Compensation 38
State Employee's Credit Union 39
Employee Assistance Program 41
We Care Program 41
Employment Policies 42
Appointment Types 42
Career Banding 43
Merit-Based Hiring and Selection 43
Equal Employment Opportunity 44
Americans with Disabilities Act 45
Employment of Relatives 46
Secondary Employment 46
Salary Adjustment 47
Job Postings 48
Awards and Recognition 49
Correction Enterprises Products 50
Separation 50
Records and Release of Information 50
Personnel Records 50
Records Open for Inspection 51
Procedures for Release to Current or Former Employees 52
Medical Records 52
Professional Standards & Conduct 53
Personal Appearance 53
Workplace Violence 53
Unlawful Workplace Harassment 55
Prison Rape Elimination Act (PREA) 58
Personal Dealings with Offenders and Juveniles 59
Limitation of Political Activity 62
Reporting Theft or Misuse of State Property 63
Alcohol and Drug Free Workplace 63
Employee Gift Ban 63
Criminal Convictions with Firearms 64
Criminal Offenses and Motor Vehicle Offenses 64

Criminal Offenses for Certified Officers 65
Domestic Violence Orders 66
Providing Cell Phones to Inmates 66
State Vehicle Use 66
Travel Policy 67
Interacting with the Media 68
Performance Management 69
Three Phases of Performance Management 69
Changes to the Performance Management System 70
Disciplinary Action and Grievances 71
Location 71
Policy 71
Covered Employees 71
Reasons for Discipline 71
Types of Disciplinary Action 72
Requirements for Disciplinary Action for Unsatisfactory Job Performance 72
Requirements for Disciplinary Action for Grossly Inefficient Job Performance 73
Requirements for Disciplinary Action for Unacceptable Personal Conduct 73
Investigatory Placement 73
Temporary Placement 74
Inactive Disciplinary Action 74
Right to Appeal 74
Transfer of Disciplinary Action 74
Grievances 75
Workplace Safety & Health 77
HIV/AIDS 77
Information Technology Policies 78
Internet Acceptable Use 78
Email Acceptable Use 79
Laptop and Mobile Device Use 81
Copyright Infringement 82
Social Media Policy 82
Acknowledgement of New Employee Orientation 86

General Information

Introduction

The North Carolina Department of Public Safety is North Carolina's statewide public safety and homeland security agency.

The department was formed in 2012 from the consolidation of the former departments of Crime Control and Public Safety, Correction and Juvenile Justice and Delinquency Prevention. It is home to the State Highway Patrol, N.C. National Guard, Alcohol Law Enforcement, Emergency Management, adult and juvenile corrections and other law enforcement agencies.

Department of Public Safety Vision

To provide the finest safety and security services for all North Carolinians.

Department of Public Safety Mission

Safeguard and preserve the lives and property of the people of North Carolina through prevention, protection and preparation with integrity and honor.

Goals

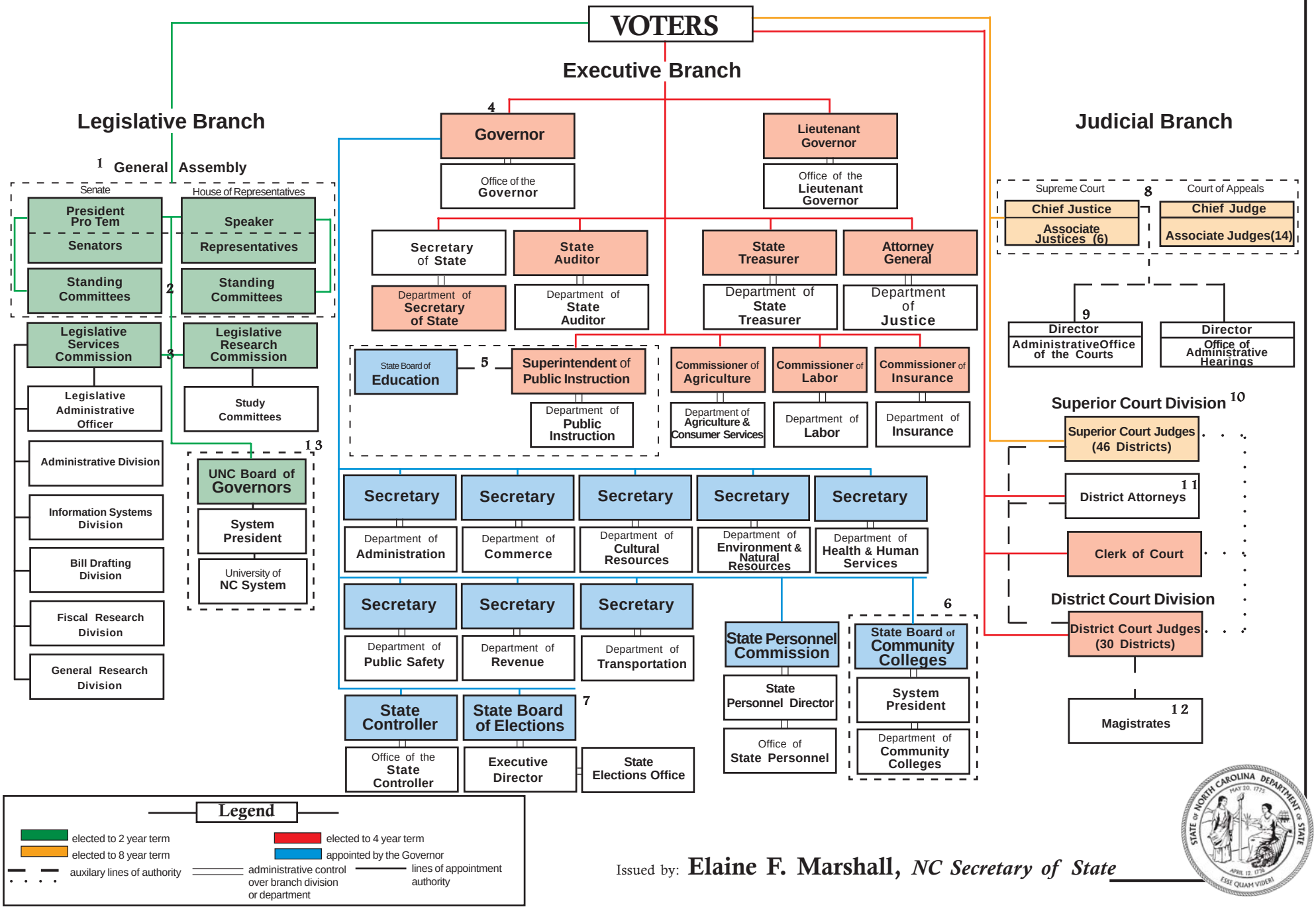
Prevent – We are the model for preventing and reducing crime.
Protect – North Carolina is safe for living, working, and visiting.
Prepare – We are leaders in public safety readiness, communication, and coordination.
Perform – We excel in every facet of our work-Law Enforcement, Emergency Management, National Guard, Adult Correction, Juvenile Justice, and Quality of Administrative Services.
People – We will value each other like family.

Values

Safety- We value the safety of our employees and the citizens we serve.
Integrity- We perform our work in an ethical, honorable, respectful, courageous, truthful, and sincere way.
Customer Service- We consistently exceed our customers' expectations through speed of delivery of services and continuous evaluation.
Professionalism- We exhibit courteous, conscientious, and businesslike manner in all customer service activities; We stay knowledgeable of all aspects of our job; We act for the public without regard to convenience or self-interest.
Diversity- We draw strength from our differences and work together as a family in a spirit of inclusion, teamwork, and mutual respect.
Quality-we pursue excellence in delivering the programs and services entrusted to us.

Organizational Chart *of* North Carolina State Government

2013



Issued by: **Elaine F. Marshall,** *NC Secretary of State*

ORGANIZATIONAL STRUCTURE

OFFICE OF THE SECRETARY

The Secretary serves as the sole representative on the Governor's Cabinet for the state's law enforcement, juvenile justice, correction and emergency response community. The department focuses citizen and legislative attention on law enforcement and public safety issues, such as the supervision of offenders in prison or on community corrections, drinking and driving, underage access to alcohol and tobacco, the proper use of child safety seats, crime prevention, and preparation for natural disasters. The department is constantly updating plans and providing training for local officials to respond to emergencies such as natural disasters, terrorism, communicable diseases, nuclear power plant incidents and civil unrest. This agency serves as the coordinating agency for North Carolina's homeland security preparedness.

OFFICE OF THE DEPUTY SECRETARY & GENERAL COUNSEL

The Office of the Deputy Secretary and General Counsel is responsible for the following program areas.

- Communications
- Governmental Affairs
- PREA
- Policy and Strategic Planning
- Legal Affairs

DPS ADMINISTRATION

Administration provides an array of services for the entire department. DPS Administration consists of the following sections:

- Policy and Strategic Planning
- Budget & Analysis
- Controller's Office
- Internal Audit
- Purchasing and Logistics
- Information Technology Systems & FirstNet
- Safety, Occupational, & Environment Health Office
- Governor's Crime Commission
- Victim's Services
- Central Engineering
-

HUMAN RESOURCES

The Human Resource Office provides professional guidance, advice and support to sections in a variety of functions such as staffing, job classification, training and development, employee relations, and benefits administration in order to make the Department of Public Safety employment experience enriching and rewarding.

ADULT CORRECTION & JUVENILE JUSTICE DIVISION

The Division of Adult Correction and Juvenile Justice consists of three primary sections: Adult Correction, Juvenile Justice, and ACJJ Administration.

Adult Correction

Prisons

Housing adult inmates across the state in prisons Rehabilitating with work, academic, vocational and religious programs
Preparing inmates for re-entry to our communities
Providing constitutionally-mandated healthcare

Community Supervision
Supervising inmates
Officer specialties: sex offenders, domestic violence, school partnerships, gangs/community threat groups
Reducing recidivism through the use of research-proven practices and promoting coordination between state- and community-based corrections programs.

Security Services
Security Services includes facility security, intelligence gathering on threat group activities, emergency response, and law enforcement collaboration. Special Operations Teams respond to institutional emergencies, assist with warrantless searches with community corrections, lead canine units for drugs and cell phone searches, and operate drug interdiction efforts. Intelligence staff provides transcripts of inmate calls and monitors facility gang activity. Emergency responders address critical facility incidents, collaborate with State Emergency Management to secure facilities and offer community assistance (e.g., prevent looting, run shelters, offer clean-up) in times of natural disasters. Staff collaborates with the US Marshalls and Federal Bureau of Investigation Violent Crimes Task Forces, operates an extradition program, provides drug screening labs, executes high-profile crime response, provides gang interdiction, and operates a 24-hour/7-day a week DCI terminal for wanted person warrants and data.

Juvenile Justice:

Juvenile Community Programs
The Juvenile Community Programs section provides community-based alternatives (programs, residential alternatives and court sanctions) for youth that are at risk of juvenile delinquency, or that have been alleged to have committed a criminal offense, or that have been adjudicated delinquent by the Juvenile Court. Community Programs options range from services for at-risk youth, to diverted/dismissed juveniles (youth with official juvenile court complaints that are diverted or dismissed at intake), court-supervised juveniles, as well as those returning to the community from a youth development center on post-release supervision.

Juvenile Community Programs consists of the following core components:
Juvenile Crime Prevention Council (JCPC) Programs, funded through a state and local partnership in all 100 counties; Statewide Residential Contractual Services , including short-term residential facilities and multipurpose group homes; and Non-Residential Contractual Services, home-based dispositional alternatives and re-entry transitional services for those youths returning home from a residential placement.

The Center for Safer Schools is also part of Juvenile Community Program. The N.C. Center for Safer Schools serves as the state's primary point of contact on issues dealing with school safety and the prevention of youth violence. It provides a one-stop shop of school safety information and customer services to schools, law enforcement, youth-serving agencies, juvenile justice officials, community leaders, policymakers, parents and students

Juvenile Facilities

Juvenile Facility Operations operates two types of secure commitment centers for youths in North Carolina: juvenile detention centers and youth development centers.
Juvenile detention centers temporarily house youths alleged to have committed a delinquent act or to be a runaway. Youths are generally placed in a juvenile detention center while awaiting a court hearing, or until another placement can be found, either in a community-based program or service or in a youth development center. Youth development centers are secure facilities that provide education and treatment services to prepare committed youth to successfully transition to a community setting. This type of commitment is the most restrictive, intensive dispositional option available to the juvenile courts in North Carolina. The structure of the juvenile code limits this disposition to those juveniles who have been adjudicated for violent or serious offenses or who have a lengthy delinquency history.

Juvenile Court Services

Juvenile Court Services provides intake and supervision services for undisciplined and delinquent juveniles within a continuum of services that provides care and control. The mission of Juvenile Court Services is to keep communities safe by holding juveniles accountable for their actions and to prevent future delinquent behavior by providing or securing services to meet the needs of the juvenile and his or her family. This mission is carried out in accordance with laws and court orders and in full collaborations with multiple community agencies.

Juvenile Treatment & Intervention Services

Juvenile Treatment and Intervention Services ensures appropriate clinical treatment and youth development interventions for youth served in juvenile justice facilities and programs. Clinical treatment/programming includes medical, psychiatric, dental, nutritional, psychological, substance abuse, recreational, spiritual, and case management services. Additionally, this unit provides oversight of the education programming in youth development centers, juvenile detention centers, and contracted community-based residential programs, and is charged with fulfilling all state and federal mandates of a traditional school system.

ACJJ Administration:

Correction Enterprises

Employing inmates and teaching job skills in a variety of industries while providing valuable goods and services at a cost savings to state and local governments.
•Agriculture • Braille production • Printing • Janitorial products
• Optical • Metal products • Furniture and reupholstery
• Clothing and embroidery • Highway signs and license tags • Laundry

Rehabilitative Programs and Support Services

Rehabilitative Programs and Support Services section is responsible for developing, implementing, and monitoring correctional interventions for adult offenders in prison and on supervision in the community. The goals of the section include promoting public safety, improving offender behavior, and reducing re-offending. Utilizing evidence-based practices as the foundation of all programs and services, offenders are prepared with the necessary skills and tools to live as productive members of the community. The section focuses on offender programs and services in the major areas of substance abuse, cognitive behavioral programs, educational attainment, vocational training, victim services, and reentry and transition pre-release and post-release planning.

Staff Development and Training

The Office of Staff Development and Training provides training for employees across the Department of Public Safety. Employees from entry level to seasoned veterans have found avenues available for increased effectiveness through training. With more than 500 different job classifications, mandated training and standards required by the North Carolina Criminal Justice Education and Training Standards Commission, a comprehensive training program is required to meet the agency's needs. OSDT strives to address the specialized training needs of all staff from top management officials to first line employees.

Combined Records

Combined Records maintains the centralized repository of inmate records for the North Carolina Department of Public Safety

NC LAW ENFORCEMENT DIVISION

State Highway Patrol

The mission of the State Highway Patrol is to ensure safe, efficient transportation on our streets and highways, reduce crime, protect against terrorism, and respond to natural and man-made disasters. This mission will be accomplished in partnership with all levels of government and the public, through quality law enforcement services and education based upon high ethical, professional, and legal standards.

State Bureau of Investigation

The State Bureau of Investigation assists local law enforcement with criminal investigations, working closely with local police, sheriffs, district attorneys, federal investigators, and federal prosecutors. The SBI has statewide jurisdiction and investigates homicides, robberies, property crimes and other serious cases. Involvement is at the request of the local department that maintains original jurisdiction over the case. The SBI has original jurisdiction in these areas:

- Drug Investigations
- Arson Investigations
- Election Law Violations
- Child Sexual Abuse in Day Care Centers
- Theft and Misuse of State Property
- Computer Crime Investigations that Involve Crimes Against Children

Alcohol Law Enforcement

ALE is recognized as a “cutting-edge” agency by its peers in the National Liquor Law Enforcement Association. Along with its core mission of enforcement and regulation of the alcohol beverage industry, controlled substance investigation, ALE is charged with enforcement of the sale of tobacco products to underage persons and acting as the enforcement arm of the North Carolina Education Lottery, the North Carolina Boxing Authority, regulating boxing, toughman, mixed martial arts, and charitable bingo licensing and regulation.

State Capitol Police

The State Capitol Police provides a safe and secure environment for public officials, state employees, and visitors within the State Government Complex and at state-owned properties throughout the Raleigh/Wake County area, through the consistent enforcement of established regulations and laws.

North Carolina Emergency Management

- Preparing for, responding to, recovering from and mitigating disasters
- Staffing a 24-hour State Emergency Operations Center
- Supporting communities through three branch offices
- Administering state and federal grants, including Homeland Security funding
- Preparing and maintaining disaster response and hazard mitigation plans
- Providing exercise programs to train staff and local communities on readiness
- Assisting communities with hazmat and search and rescue teams

North Carolina National Guard

- 12,000 citizen soldiers standing ready to protect the lives and property of North Carolinians
- Defending the nation as an all-volunteer Army and Air Guard
- Providing trained soldiers and a cost-effective military force
- Providing expertise in aviation, transportation, engineering, logistics, medicine and security
- Operating Army National Guard from 93 armories
- Operating Air National Guard from three state locations
- Maintaining emergency equipment such as helicopters, airplanes, light to heavy vehicles, generators, communications gear and more.

Manuals, Policies, Forms, and Links

Department-wide Policy Manuals for the Department of Public Safety are located here:
https://www.ncdps.gov/Index2.cfm?a=000002,002186

From this link, you can then select from the Human Resources, Information Technology, or Purchasing and Logistics Manuals. You can also view directly all existing Department of Public Safety policies and procedures. The DPS Human Resource Manual and the DPS Fiscal Manual are to be used in conjunction with the State Personnel Manual from the Office of State Personnel and the State Budget Manual. Additionally, as employees you are expected to comply with all section, division, and work-unit specific requirements, policies, and procedures.

Phone Directory

To locate a DPS Employee, you may access the online directory located here:
https://www.ncdps.gov/directory.cfm
To locate a Human Resources Professional to assist you with any HR Questions, access the HR Staff list here:
https://www.ncdps.gov/Index2.cfm?a=000002,001545,000052
Additionally, a State of NC Employee Directory is located here:
http://www.ncgov.com/empDirSearch.aspx

HR Payroll System

The HR Payroll System

The Human Resource Payroll Integrated System, originally known as BEACON, is the primary program for maintaining employee master data to include hours worked and leave applied. This is also the system used for enrolling in and maintaining some benefits. Payroll is integrated with time management. Specifically, Time Entry, Leave and Pay are all maintained by the system and, closely connected to, affected by, and dependent on one another. This section explains the inter-related components of Time Entry, Leave and Pay.

ID Number:

You will receive an employee ID number that is unique to you and is randomly generated and assigned by the ORBIT retirement system. This number (also known as your "Personnel ID Number") will not only serve as your ID number during your active duty as a state employee, but will also be your means of identity in the retirement system even after you leave state government service or retire. The first step to receiving an ID Number is setting up an NCID account.

NCID Account

The North Carolina Identity Management Service – Next Generation (NCID-NG) is the standard identity and access management platform provided by the Office of Information and Technology Services. NCID-NG is a Web-based application that provides a secure environment for state agency, local government, business and individual users to log in and gain access to real-time resources, such as customer-based applications.

The NCID Login is utilized for the processing of payroll, enrolling and maintaining of benefits, and for utilizing the employee Learning Management System for training. Your NCID account and permanent password will be created on your first day of employment with the department. Your local NCID Administrator should provide you with assistance on that process.

Your NCID password must be updated every 90 days. If you do not login within 90 days, your password expires, or you have 3 failed login attempts, your NCID access will be locked. In order to reset your login, you should contact your local NCID Administrator. A list of NCID Administrators is located here:
https://www.ncid.its.state.nc.us/StateAgencyListing.asp

Position Settings in the HR Payroll System

Each employee's position has the following designations:

1. A designated, predefined work schedule
2. A holiday calendar
3. A work period
4. Position settings which determine eligibility for:
    - OT/Comp Time/Gap
    - Shift Premium Pay
    - On-Call/Emergency Call Back
    - Holiday Premium Rate
5. Compensatory Time Aging Limit

The position settings and time entry are the foundation for how an employee's time is processed and, ultimately, paid in the HR Payroll SAP. These settings are determined by executive management when a position is created.

EMPLOYEE SELF-SERVICE (ESS) AND MANAGER SELF-SERVICE (MSS):

The Human Resource Payroll System offers an online self-service option known as Employee Self-Service (ESS) and a Manager Self-Service (MSS). Employees have access to ESS as follows:

Employee Self-Service (ESS) WITHOUT Time Entry:
ESS without Time Entry means employees have access to enroll and update benefit and other employee information, however, do NOT enter work time, leave, or submit leave requests in ESS.

Employee Self-Service (ESS) WITH Time Entry:
In addition to having access to enroll and update benefit and employee information, employees who work at locations that have (ESS) WITH Time Entry have been authorized to enter their time and leave in ESS.

Please refer to your supervisor and/or manager to determine whether your location has access to ESS with or without Time Entry. IMPORTANT NOTE: ***If your work location is NOT authorized to enter time and leave in ESS and you enter time and/or leave using ESS, your pay and/or leave could be adversely affected.***

EMPLOYEE SELF-SERVICE (ESS):

In ESS, employees have easy access to information and services. ESS is organized as follows and employees using ESS can do the following:

My Personal Data	• Update/change Address (Permanent Residence and Emergency Contact) • Update/change Tax Withholding Information • Add/Update Family Member/Dependents • Change Bank Information
My Working Time	• *****Enter working time and leave*** *(see note below);* • *****Request leave from supervisor*** *(see note below);* • View and print Leave Quota balances. *****Note: Only certain locations have authorization to enter time, leave and submit leave requests in ESS. Please refer to your supervisor/manager to determine if you should enter your time and leave in ESS.***
My Pay	• View and print past and current paystubs; • Access multi-year W-2 information (Total Compensation Statement)
My Benefits	• Enroll in State Health Plan and NCFlex programs; • Add/Change beneficiary information for NCFlex programs; • Access to 401K and Deferred Comp websites for enrollment.

MANAGER SELF-SERVICE (MSS):

MSS allows managers to:

- Review and approve time entry of their employees;
- Review and approve leave requests;
- Access to general information on their employees;
- Ability to run various Time Reports.

Note: Since MSS is used by supervisors/managers primarily to approve time entry and leave requests of employees, locations that have not been authorized to enter time/leave in ESS will not have MSS.

EMPLOYEE SELF SERVICE OVERVIEW - TRAINING

The Office of State Controller has developed a course entitled "Employee Self Service Overview" to help familiarize all employees with the ESS portal. Employees will be required to complete the ESS Overview training as part of New Hire Orientation. This training will explain what is available in ESS and how employees can enroll and make changes to their benefits and other employee information using ESS. The training can be accessed here: http://www.osc.nc.gov/beacon/training/wbt/ess_menu.html

BEST SHARED SERVICES

BEST Shared Services is the organization created to support the HR Payroll community including:

- Employees,
- Managers, and
- Agency HR.

BEST Shared Services will:

- Provide HR, benefits, and payroll administration services;
- Address HR and payroll questions and processing needs;
- Coordinate with agency HR and payroll groups to resolve employee issues;
- Provide support for reporting activities;
- Provide system maintenance and assistance.

As an employee, you may need to contact BEST Shared Services to resolve issues relating to payroll deductions, benefit enrollment, etc.

BEST Shared Services contact information is as follows:

Phone#:	866-622-3784	Phone# (Raleigh Area):	919-707-0707
Fax#:	919-855-6861		
Email:	best@ncosc.net		
Website:	http://www.ncosc.net/BEST		

When calling BEST Shared Services, it is recommended that you have your Personnel ID number available

TIME ENTRY IN THE HR PAYROLL SYSTEM

All DPS employees have access to Employee Self-Service (ESS) to enroll and update benefits and employee information. However, only certain DPS locations have been authorized to have access to Employee Self-Service (ESS) **WITH** Time Entry. Therefore, depending on the work location, Time Entry into the HR Payroll System will be by the Employee or Time Administrator as follows:

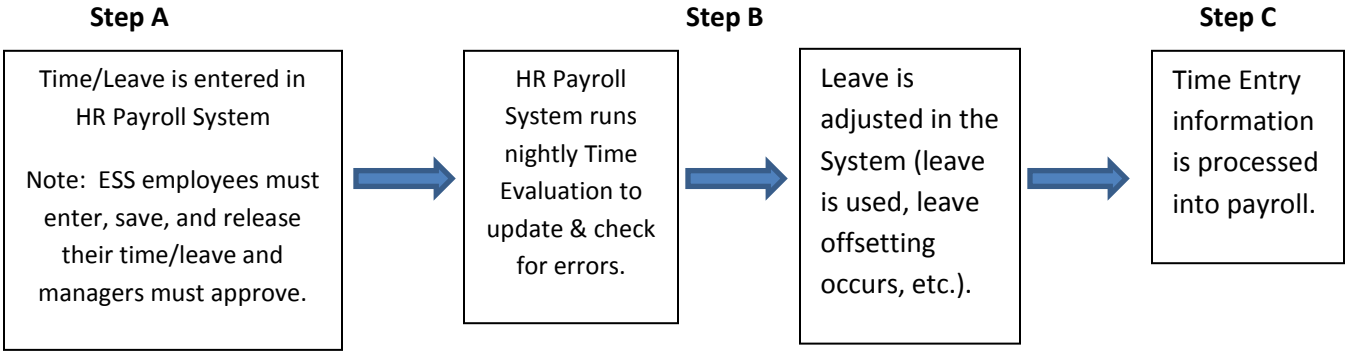
EMPLOYEE:	**TIME ADMINISTRATOR:**
Employees at work locations that have been authorized to enter their time/leave in the Human Resource Payroll System using ESS shall enter/save their time daily in ESS and release their time to their supervisor weekly. For information on how to enter time in ESS, these employees will need to complete the online ES210 Employee Self-Service Time Entry Course at www.beacon.nc.gov/training.	For employees **NOT** entering time through ESS, timesheets are required to be completed and maintained. The Department has (3) different timesheets. These include:
	Timesheets:
	1. Weekly Employee Time Report (Monday Start) https://www.ncdps.gov/emp/hr/TIMESHEET_DPS_Mon_start_with_Charge_Objects_revised062512.xls
	2. Weekly Employee Time Report (Sunday Start) https://www.ncdps.gov/emp/hr/TIMESHEET_DPS_Sun_Start_revised062512.xls
	3. Temporary Employee Time Report https://www.ncdps.gov/emp/hr/TIMESHEET_DPS_TEMP_Revised_Final062512.xls
	The supervisor shall review and sign the timesheet and then the time/leave is entered into the HR Payroll System by the designated Time Administrator at the work location.

Time Entry & Time Evaluation

Once time/leave has been entered into the system by the Time Administrator and/or the employee via ESS (entered, saved, released, and approved by the manager), the system will run a nightly Time Evaluation. Time Evaluation determines:

- Overtime/Comp. Time
- Premium Pay
- Leave Offsets and
- Recovery of Liabilities

Time evaluation checks for time entry errors, updates the time/leave records that were entered and approved and these results are used to generate your pay.



WEEKLY TIME REPORTING FOR NON ESS/MSS EMPLOYEES

The Employee Time Report is the official source document for time and leave records of employees not using the ESS/MSS system. The Employee Time Report is a weekly time report capturing a Sunday through Saturday or Monday through Sunday work period. A new report is completed for each week.

- Entries should be made weekly on a timely basis. The completed Employee Time Report shall be signed by the employee and submitted to the supervisor by the following completion of the work period for review and approval.

- The supervisor is responsible for reviewing time data to ensure that the employee will meet his/her standard hours, manually offset as necessary and appropriate to ensure accurate payment of supplemental pay, and to ensure the employee receives holidays as scheduled and is properly coded for any supplemental pay, such as shift premium pay, emergency call back, etc. Necessary corrections to hours worked outside of leave offsetting shall be acknowledged and initialed by the employee.

- The supervisor shall submit the completed Employee Time Report to the Time Administrator on a timely basis following the completion of the work period for direct entry into the Human Resource Payroll system. When it is not possible for the supervisor to submit a completed Employee Time Report to the Time Administrator within a reasonable period of time, it is recommended that a comment be provided on the Employee Time Report

- Under no circumstances may an employee exceed their standard work schedule for the day using benefit time (e.g., leave).

- The Human Resource Payroll system deducts approved leave according to the established approved leave hierarchy (holiday compensatory time, overtime compensatory time, gap hours, on call compensatory time, travel compensatory time, vacation leave, bonus leave and advanced leave). All items in the leave hierarchy fall under the Approved Leave (A/A 9000) category. For example, if an employee records an Approved Leave (A/A 9000) code, the system will automatically deduct the amount of time taken from the employee's leave quota using the established hierarchy. Sick leave (A/A 9200) is also subject to a hierarchy (sick leave, received shared leave and advanced sick leave).

- Time is subject to leave offsetting.

WEEKLY TIME REPORTING FOR ESS/MSS EMPLOYEES

Specific work units use the Employee Self Service/Manager Self Service for time and leave entries into the HR Payroll System/SAP system. Additional work units may be considered by management with approval from the executive management team. Both ESS and MSS are roles that must be added to a position.

- It is recommended that employees enter time daily with weekly approval by the manager. Time entry must be completed prior to payroll deadline to ensure timely leave accrual, accurate supplemental pay compensation, and timely longevity payments.

- The employee should be contacted directly to resolve time submission issues which were not approved.

- The standard leave policies and procedures apply. Employees shall request and obtain approval in advance for all leave benefits, including leave of absence without pay. ESS is a portal for entry of hours worked and leave taken that has been approved by the supervisor. Entering and releasing time in periods greater than one week may result in a delay of leave accrual, delay of supplemental payment(s), inaccurate leave quota balances to include compensatory leave and particularly holiday compensatory leave, and other issues.

GAP HOURS

Gap hours, also known as straight time, are those hours that are caught in the gap between the maximum hours of work required to meet the work schedule standard and the overtime threshold. Gap hours ONLY apply to employees subject to overtime. These hours are subject to leave offsetting and are first applied to advanced leave liabilities and adverse weather leave.

The employee shall receive straight time compensation in either cash payout or compensatory leave for the remaining gap hours worked after offsetting depending on the position classification. It is the decision of agency management in consideration of budget and organizational needs whether compensation will be made monetarily (cash) or as time off. The decision to pay cash versus compensatory time off is not an employee decision.

NAME AND ADDRESS CHANGE

Many work locations require employees to complete a personal data sheet or employee information form at the time of hire that indicates the employee's:

- name
- address
- home phone numbers (or other phone numbers where the employee can be reached)
- contact person name and phone number, in case of emergencies, etc.

Some units have developed Standard Operating Procedures that require employees to update their personal information should there be any changes regarding any of the information on their personal data sheet. Please refer to your HR representative at your work location when you have a change in Name, Address, or other personal contact information.

Name Change

For names changes, the following steps should be taken:

1. Notify the HR representative at your work location or Central HR of the Name Change. You will be asked to complete a Personal Data Change Form indicating the change in name.

2. The HR representative will make the necessary changes in the HR Payroll system. (Note: If you are a certified criminal justice employee, your HR Representative will forward a copy of the Personal Data Change Form to DPS Personnel so that the Criminal Justice Standards Division can be notified of the Name Change).

   This will automatically update your Name Change for the standard state benefits, such as Retirement, the State Health Plan, and NCFlex. For all others (besides Retirement, State Health Plan, and NCFlex), employees must contact individual vendors to notify them of Name Changes (ex: supplemental insurance plans, 401K, Deferred Comp, SEANC, etc.)

Address Changes

Employees are able to update their address information in ESS by going to https://mybeacon.nc.gov and selecting "Addresses" on the "My Personal Data" tab. Specifically, employees can update:

- Permanent Residence – This is your physical address. If your physical address is the same as your mailing address, do not enter "Mailing Address."
- Mailing Address – If your physical address is NOT your mailing address, you need to enter a "Mailing Address."
- Emergency Contact – Employees can enter emergency contact information.

Once the address is changed/updated in ESS, your Address Change will automatically be updated for the standard state benefits, such as Retirement, the State Health Plan, and NCFlex. For all others (besides Retirement, State Health Plan, and NCFlex), employees must contact individual vendors to notify them of Address Changes (ex: supplemental insurance plans, 401K, Deferred Comp, SEANC, etc.). It is important that employees maintain current address information in the ESS system.

PAY

Pay Period

Employees are paid either monthly or bi-weekly.

Monthly Pay: Employees in Permanent Positions	**Bi-Weekly Pay:** Employees in Temporary Positions or Personal Services Contract Employees
All permanent employees (including independent contractors) are paid monthly, usually on the last working day of each month. You are paid monthly for **that** month. Employees will receive their full pay (i.e. base pay) unless Leave Without Pay is reported. Therefore, if time/leave is **not** entered into HR Payroll System by payroll deadline, permanent employees that are **not** on Leave Without Pay **will receive their base pay**. If time/leave is **not** entered into The HR Payroll System: 1. Leave will not accrue; and 2. Overtime and premium hours will not be paid *(i.e. time/leave must be entered into the HR Payroll System to receive supplemental pay).*	Temporary employees and those working on personal services contracts will be paid on a bi-weekly basis. These employees are paid based on actual time recorded and entered into the HR Payroll System. **Time must be entered** into the HR Payroll System in order for the employee to be paid for that time.

Base Pay

Employees in permanent positions are paid (12) times a year, therefore, the annual salary divided by (12) is your monthly salary or "base pay." For permanent employees, your base pay is for hours worked/leave taken from the 1st of the month through the last day of the month.
Example: May paycheck includes base pay for working in May.

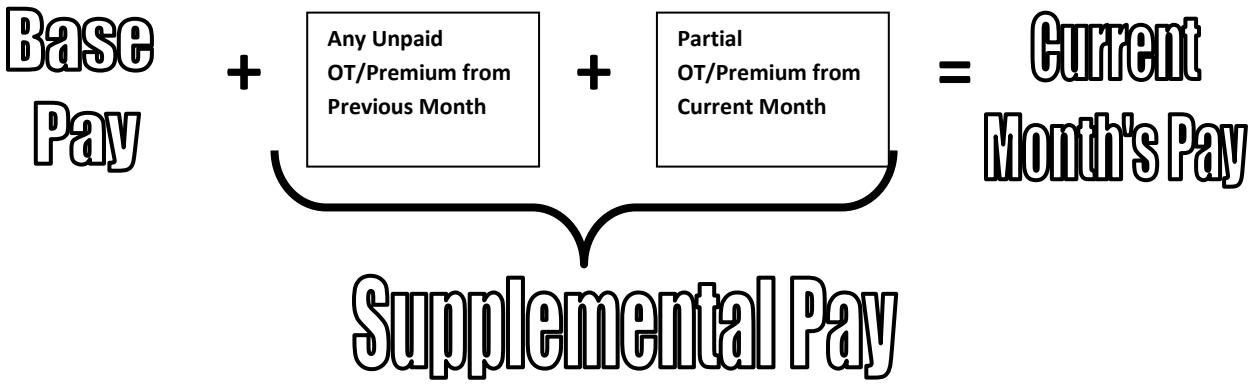
Supplemental Pay

Supplemental pay is additional pay beyond base pay. Supplemental pay includes overtime pay, shift premium, holiday premium, weekend premium, on-call/ callback pay, etc. Supplemental pay is earned by working overtime (hours exceeding the minimum standard work hours), working nights, weekends, or holidays. Not all positions are eligible for supplemental pay.

Position information (work schedule, overtime eligibility, shift premium eligibility, etc.) has been entered into the HR Payroll System. As a result, the HR Payroll System SAP system automatically calculates overtime, shift premium, holiday premium, weekend premium, and on-call/ callback pay based on the position profile.

Supplemental Pay is based on time entered and approved from one payroll deadline to the next payroll deadline.

Supplemental Pay	
Overtime (OT) Pay	**Shift Premium Pay**
• All positions have minimum standard hours to be worked in an overtime period. The position you occupy determines your minimum standard hours (40 hrs, 160 hrs) and your overtime period (7-day, 28-day, etc.). • Some positions shall receive monetary compensation for OT while others shall receive Compensatory ("Comp") Time that can be used later for future absences. • To receive monetary compensation, the position must be eligible for OT pay. OT pay is based on the position, not the employee. Time must be entered (if ESS, released, and approved) and run through Time Evaluation before payroll deadline to be paid. • Time off from work is "offset" by extra hours worked (i.e. overtime) during each overtime period. This is known as "leave offsetting" • Overtime periods do not align with payroll periods (or pay cycles).	• The position must be eligible for premium pay. Premium pay is based on the position, not the employee. • Employee must be scheduled (or substituting) for a premium-eligible shift. • Time must be entered (if ESS, released and approved) and run through Time Evaluation before payroll deadline to be paid.
Payroll periods (pay cycles) as noted on the Pay Statement do not match up to payroll cutoff dates (usually around the 25th of each month). This means that for any given paycheck, an employee will gain some hours from the previous month (days that were entered and approved after payroll deadline LAST month) and will lose some hours for the current month (days entered and approved after payroll deadline this month).	



Pay Statements

Employees can print their own pay statements in ESS. Pay statements will include:

- Pay period beginning and end date;
- Employee ID number;
- Total Earnings & Net Pay;
  - Total Base Pay: Pay statements will include a "Total Base Pay" summary line which should be very close to the same figure from pay period to pay period. Total Base Pay is the sum of an employee's Regular Salary plus the pay an employee receives for any leave taken (Total Base Pay = Regular Salary + Benefits/Comp used).
  - Total Other Pay: Pay statements will include a line for "Total Other Pay" which is the sum of any supplemental pay (overtime, shift premium, etc.).
- Deductions (pre-tax deductions, post-tax deductions, tax-deferred deductions);
- W-4 Withholding information;
- Taxes;

Sample Pay Statement

Pay Period: 10/01/2007 through 10/31/2007
Check Date: 10/31/2007

Name: Tina Thompson
Organization: 0701-State Treasurer

Personnel No: 99999500

	Earnings	Deductions	Taxes	Net Pay
Current:	4,326.25 -	1,727.68 -	698.18 =	1,900.39
YTD:	35,099.44 -	9,916.85 -	7,182.34 =	18,000.25

Earnings	Hours	Current	YTD
Regular Salary	184.00	4,326.25	26,573.04
Shift Premium 10%			40.00
Vacation Leave			848.64
Administrative Leave			199.68
Community Service Leave			199.68
Military Leave-Training			1,797.12
Military LeaveActive Duty			4,392.96
Paid Holiday			798.72
Comp Leave			249.60
Total Earnings		4,326.25	35,099.44

Deductions	Current	YTD
# PPO PT		1,261.26
# PPO Pre Plan PT		180.18
# NC Flex Dental-PT	52.20	258.36
# NC Flex Vision Sup PT	15.96	63.84
# NC Flex AD&D PT	20.00	140.00
# NC Flex Life Ins PT	109.80	329.40
# NC Flex Cancer PT	33.78	90.08
# NC Flex Health FSA PT	327.27	
# NC Flex Health FSA PT		2,290.90
# NC Flex Dep Care FSA PT	909.09	
# NC Flex Dep Care FSA PT		3,181.82
# TSRS EE	259.58	2,106.01
SKCU		15.00
Total Deductions	1,727.68	9,916.85

Tax Authority	Tax Type	Status	EXMT AddlAmt	Cur Tax	YTD Tax	Cur Txbl Earn	YTD Txbl Earn
Federal	Withholding	Single		325.54	3,558.62	2,598.57	25,197.59
Federal	Social Security			177.20	1,692.82	2,858.15	27,303.60
Federal	Medicare			41.44	395.90	2,858.15	27,303.60
North Carolina	Withholding	Single		154.00	1,535.00	2,598.57	25,197.59
Total Taxes				698.18	7,182.34		

Payment	Account Type	Amount
Check		1,900.39

Leave balances as of 10/30/2007

Vacation	18.34-	Hours
Sick	16.00	Hours
Holiday	24.00	Hours
Comp Time	2.50-	Hours
Community Service	16.00	Hours
Military	48.00	Hours

*** MESSAGES ***

Deduction Codes: # - Pretax Deduction * - Tax Deferred Deduction
****

Direct Deposit

It is state policy that all employees receiving their pay through the HR Payroll System must be enrolled in direct deposit as a condition of employment. Employees can choose to have their pay deposited into multiple accounts at multiple financial institutions via direct deposit. Employees will have one primary default account and then can elect to have portions of their pay directed into as many as three additional accounts. The distribution of pay into these separate accounts (if you choose to use this feature) will be automated when your pay is deposited on payday.

First Paycheck

The Department has monthly payroll deadlines. Therefore, the date you report to work will affect when you get your first paycheck. The following circumstances may affect the timeliness of your first paycheck:

- If you report to work and your paperwork is processed prior to the payroll deadline for that month (usually mid-month), you may receive a paycheck on the last working day of the month.
- If you report to work and your paperwork is processed after the payroll deadline for that month, you will receive a paycheck on the last working day of the following month (pay for your first month's work will be included in this paycheck).

NOTE: Please note that any changes to your date of hire may affect the timely delivery of your first paycheck.

Your first paycheck may be issued as a printed hard-copy paycheck and not deposited directly into your bank account. Direct Deposit should activate after the first check. Hard-copy paychecks are mailed directly to you at your mailing address. Paychecks are mailed on payday. If you have a change in your mailing address or concern about the address on record, contact your facility's personnel office.

If your check is lost and/or not received by you, please contact your facility's Personnel Office. Generally, it takes approximately (3) weeks for a replacement check to be issued and received.

Pay and Leave Troubleshooting

If you have questions regarding your pay and leave, please refer to your supervisor and/or your HR Representative at your work location. You may also contact central HR at (919) 716-3800 or BEST Shared Services at (919) 707-0707.

Benefits

Leave

Vacation Leave

At least 112 hours (14 days, 9.33 hours/month) of vacation leave is provided annually. This leave is earned after an employee has worked at least ½ of the work days in each month. The monthly vacation earning rate increases every five years of state service. At separation, an employee will be paid the balance of their vacation leave up to a maximum of 240 hours.

Yrs of Total State Service	Hrs Granted per Month	Hrs Granted per Year	Days Granted
Less than 5 years	9 hrs. 20 mins. / 9.33	112	14
5 but less than 10 years	11 hrs. 20 mins / 11.33	136	17
10 but less than 15 years	13 hrs. 20 mins / 13.33	160	20
15 but less than 20 years	15 hrs. 20 mins / 15.33	184	23
20 years or more	17 hrs. 20 mins / 17.33	208	26

Sick Leave

96 hours (12 days, 8 hours/month) of sick leave is provided annually. This leave is earned after an employee has worked at least ½ of the work days in each month. Every 20 days equals one month of state service towards retirement. At separation, the sick leave balance shall be retained for 5 years and reinstated if the employee returns to state government within 5 years from the date of separation.

Bonus Leave

On 09/30/02, 07/01/03, 07/01/05,and 9/1/2014 the General Assembly provided a one-time additional benefit as bonus leave to eligible employees, provided they were employed on these given dates. Per legislation, any balance of bonus leave will be paid in addition to regular vacation leave upon separation.

Holidays/Holiday Leave

State employees receive 12 paid holidays annually as set by the State Personnel Commission. To be eligible for the holiday, the employee must be in pay status thru the holiday for extended leave without pay (Leave of Absence status-LOA) or in pay status one half or more of the regularly scheduled work days in a month for short leave without pay (docking). Employees receive Holiday Premium Pay and equal time off if required to work on a holiday.

The Holiday Schedule may be found here: http://www.oshr.nc.gov/holsched.htm

Note: National Guard employees follow a federal holiday schedule. These employees have the 10 federal holidays plus 1 or 2 additional days at Christmas to total the 12 paid holidays approved that year for State employees.

Compensatory Leave

Under the State's overtime compensation policy, employees are designated as either subject to Fair Labor Standards Act (S-FLSAOT) or not subject to Fair Labor Standards Act (N-FLSAOT) for overtime based on their position.

S-FLSAOT: Employees designated as S-FLSAOT earn overtime at 1½ times the amount of time worked beyond their designated standard hours after leave offsetting. These hours are paid out if not taken as time off under the approved leave hierarchy based on their position payout schedule (i.e. immediate, 30 day, 365 day).

N-FLSAOT: Employees designated as N-FLSAOT earn overtime on an hour-for-hour basis for time worked beyond their designated standard hours. These hours will be lost if not taken as time off under the approved leave hierarchy within 365 days from the date the hours are earned.

Community Service Leave

State employees are allowed up to 24 hours per calendar year to volunteer in support of schools, communities, citizens and non-profit organizations. Parents may also use the leave for child involvement.

Community Service Leave Literacy, tutoring and mentoring

In lieu of regular Community Service Leave (24 hours), an employee may choose to:

- volunteer in a literacy program in a public school for up to 5 hours each month not to exceed 45 hours in a calendar year; or
- volunteer in a formal standardized approved tutoring/mentoring program in a public school or a non-public school for one (1) hour of leave for each week, up to a maximum of 36 hours, that schools are in session as documented by the elected board of the local education agency or the governing authority of any charter school or non-public school.

Other Management Approved Leave

Time may be given for Emergency Services, Blood and Bone Marrow Donorship and Disaster Service Volunteer with the American Red Cross.

Civil Leave

Leave with pay is provided to employees when serving on a jury, when subpoenaed as a witness or for a job-related proceeding in connection with official job duties.

Military Leave

Location

https://www.ncdps.gov/emp/Policies/HR/Military_Leave.pdf

The state provides two types of military leave to employees for certain periods of service in the uniformed services.

Military Training: Provides leave with pay up to the maximum of 120 hours for each fiscal year beginning October 1 thru September 30 when performing active duty for training and inactive duty training.

Reserve Active Duty: Provides leave with full pay up to the maximum of 30 calendar days for each period of involuntary service for members of the uniformed services reserve components when ordered to State or Federal active duty.

Adverse Weather Leave

Policy Location: http://www.oshr.nc.gov/advweather.htm

Adverse Weather Leave (AWL) may be granted when catastrophic, life-threatening weather conditions occur, as created by hurricanes, tornadoes, or floods, and it becomes necessary for employees to remain out of work. Adverse weather leave options only apply during the period of time in which the National Weather Service has issued active weather warnings for the geographic locations where the employee works and/or resides. Weather watches, advisories and alerts are not sufficient to trigger the application of adverse weather leave.

Additionally, the adverse weather policy does not cover child or elder care issues resulting from school/day care center closing decisions that may occur in advance or after adverse weather warnings are issued and expire. For such situations, vacation leave is the appropriate category to account for such absences, or an employee with insufficient leave balance may request permission to take leave without pay.

If management approves adverse weather make-up time, the supervisor shall be responsible for scheduling make-up time within the same pay period as the adverse weather event, if possible. If make-up time cannot be scheduled within the same pay period, management shall schedule the make-up time within 90 days of the adverse weather absence

AWL does not apply to positions defined as emergency personnel.

NC Thinks – Incentive Bonus Program & Governor's Award for Excellence Program

An employee may be granted up to twenty-four hours of leave as part of an award for a suggestion that is adopted under the NC Thinks Program and an award given under the department or university program which supports the Governor's' Awards for Excellence Program.

Family and Medical Leave (FMLA)

The Family Medical Leave Act (FMLA) of 1993 was enacted into law to provide leave benefits to employees facing medical emergencies. Eligible employees are entitled to 12 weeks (480 hours), paid or unpaid leave, during an established 12 month period, as determined by the FMLA qualifying event. The benefit is used for the illness of the employee, spouse, parent or child. To be eligible, the employee must have 12 months of service and have been in pay status at least 1040 hours in the preceding 12 months. FML ensures the state's portion of the health insurance is covered by the state and FML protects the employee's position during the 12 week period.

Family and Medical Leave-Qualifying Exigency

The Family and Medical Leave Act (FMLA) entitles eligible employees to take up to 12 workweeks of unpaid, job-protected leave in a 12-month period for a "qualifying exigency" arising out of the foreign deployment of the employee's spouse, son, daughter, or parent. FMLA leave for this purpose is called qualifying exigency leave.

Family and Medical Leave-Military Caregiver

The Family and Medical Leave Act (FMLA) entitles eligible employees to take unpaid, job-protected leave to care for a family member who is a current service member or a covered veteran with a serious injury or illness. FMLA leave for this purpose is called "military caregiver leave."

Family Illness Leave (FIL)

Family Illness Leave provides leave to eligible employees for the purpose of caring for a seriously ill child, parent or spouse. It does not provide leave for the employee's illness. An employee is entitled to up to 52 weeks of leave during a 5-year period. To be eligible, the employee must have 12 months service and have been in pay status at least 1040 hours in the preceding 12 months. This benefit also protects the employee's position during the 52-week time period.

Voluntary Shared Leave

State employees may donate leave to another employee who has been approved to receive voluntary shared leave. Voluntary Shared Leave may be used for a medical condition of the employee or of a member of the employee's immediate family. The minimum amount of sick, vacation and/or bonus leave that may be donated is 4 hours. The maximum amount of leave a recipient may receive is 1,040 hours. However, management may grant continuation, on a month-to-month basis, to a maximum of 2,080 hours, if management would have otherwise granted leave without pay.

Leave Without Pay

Leave without pay may be taken for educational purposes, illness, vacation or other reasons approved by management. If you have vacation time, you must use it before taking leave without pay for a vacation. Leave without pay is normally not longer than six months but may be extended. You must apply for this leave in writing and also give a written 30-day notice of your intent to return to work. If you do not return to work as agreed, it may be considered a resignation. During this leave, you will keep your unused leave and retirement status.

Leave Quotas (Leave Balances)

Employees will be able to view their Leave quota (balances) in ESS by selecting "Quota Overview." Leave quota balances will be current up through the last Time Evaluation ran after the manager approved the time/leave *(Note: Leave balances may not reflect leave offsetting within the current overtime period).*

Vacation and Sick Leave Accrual:

Employees with a permanent, probationary, trainee, or time-limited appointment can accrue monthly Vacation and Sick Leave. Part-time (half-time or more) employees earn a prorated amount based on the percentage of their work schedule. Please refer to the Vacation and Sick Leave section for more specific information on accrual rates.

An employee will accrue their leave when they have achieved 50% of their payroll period. Specifically, quota hours are accrued after:

1. An employee is in pay status for 50% of the work days in the month. Pay status includes time worked, holiday leave, approved leave, or any other hours for which the employee is paid.
2. Time has been entered into the HR Payroll System (if ESS, time must be entered, saved, released by employee & approved by supervisor); and
3. Time Evaluation has run.

This means that leave typically accrues around the 15th of the month if leave has been entered by the employee **and** approved by the supervisor.

System Management of Quotas:

The Human Resource Payroll System automatically manages an employee's accruals and deductions of various quotas (Leave balances) including:

- Vacation Leave
- Sick Leave
- Overtime Comp Time
- Holiday Comp Time
- Travel Comp Time
- On Call Comp Time
- Holiday Leave
- Bonus Leave
- Adverse Weather Leave
- Community Service Leave
- Voluntary Shared Leave
- Military Leave
- Incentive Leave

It is important to remember:

- Leave is set up to make up the difference between time worked and the minimum expected work hours.
- You **cannot** use leave to put you into overtime/comp time status.
- Time off is "offset" by extra hours worked and this happens automatically regardless of how many hours you code as leave.
- All time except Holiday, Civil Leave, Other Management Approved Leave and Injury Leave is "offset" by extra hours.

Leave Offsetting

Offsetting is a function that takes extra hours worked and adds them to your leave quotas. In some cases they replenish time that you have taken off within an overtime period. In other cases, they are added to your buckets of time off (comp time) and in some cases you are paid for them (overtime).

When Approved Leave, Sick Leave, Community Service Leave, Military Leave, and Educational Leave is taken in the same overtime period where the employee has worked additional hours, the amount of leave taken will be offset with the additional work hours, and the leave that had been recorded

will be restored to the employee's quota. Leave restoration will be "first taken, first restored" and will be done within the employee's overtime period.

For employees with a 7-day overtime period, Leave Offsetting will be done within the 7-day overtime period. For employees with a 28-day overtime period (i.e. Correctional Officers, Lead Correctional Officers, Correctional Sergeants), the entire 28-day overtime period is subject to offsetting.

Note: Leave offsetting will automatically occur in the HR Payroll System as soon as the employee exceeds their minimum standard hours within the overtime period. This means that should an employee exceed their minimum standard hours (time/leave has been entered, approved, Time Evaluation run) **BEFORE** the end of the overtime period, leave offsetting will automatically occur at that point in time. Neither employees nor managers are able to change this offsetting or select which leave will be restored.

Leave Hierarchy

The HR Payroll System deducts leave according to a standard leave hierarchy. There is a hierarchy for "Approved Leave" and for "Sick Leave." The quotas in each hierarchy will be automatically deducted in the order listed below:

Approved Leave Hierarchy

1. Holiday Comp
2. Overtime Comp
3. On-Call Comp
4. Travel Comp
5. Vacation Leave
6. Bonus Leave

Note: All of the above leave falls under the "Approved Leave" hierarchy.

Note: If your position is eligible for Gap Hours Comp time, it will be deducted before On-Call Comp Time (#3).

Sick Leave Hierarchy

1. Sick Leave
2. Voluntary Shared Leave

Note: All of the above leave falls under the "Sick Leave" hierarchy.

For example, when a time entry is entered for "Approved Leave," when the HR Payroll System runs the Time Evaluation, the leave quotas are checked in succession until enough quota is found to cover the recorded absence (Holiday Comp, then Overtime Comp, etc.).

LONGEVITY

Longevity Pay recognizes long-term service of employees who have worked at least 10 years with State government. The employee must have a full-time or part-time (20 hours a week or more) permanent, probationary, trainee, or time-limited appointment. Periods of leave without pay in excess of one-half the workdays and holidays in a pay period will delay the longevity date (except for Workers' Compensation Leave).

The employee receives a lump sum payment each year on their anniversary date based on a percentage of their salary ranging from 1.5% to 4.5%, as the percentage increases with every 5 years of state service.

YEARS OF TOTAL STATE SERVICE	LONGEVITY PAY RATE
10 but less than 15 years	1.5%
15 but less than 20 years	2.25%
20 but less than 25 years	3.25%
25 or more years	4.5%

NOTE: Teachers' longevity rate is different.

RETIREMENT

Location

https://www.nctreasurer.com/retirement-and-savings

The State of North Carolina provides retirement benefits for state employees in case of disability, retirement, or death after an employee has completed certain service requirements. The State, state employees, and the investment earnings on total contributions pay the cost of providing retirement benefits

Employees pay 6% into a retirement account under the Teacher's & State Employee's Retirement System (TSERS) which is automatically deducted from the paycheck each month.
Employees become vested in the Retirement System after completing a minimum of five years of membership service (10 years if becoming a member on or after August 1, 2011).

Employees may retire with an unreduced service retirement benefit after:

Reaching age 65 and completing five years of membership service
Reaching age 60 and completing 25 years of creditable service
Completing 30 years of creditable service at any age

Employees may retire early with a reduced retirement benefit after:

Reaching age 50 and completing 20 years of creditable service
Reaching age 60 and completing five years of membership service

Refund of Contributions

If you leave the System for any reason other than retirement or death, you can either:

- Receive a refund of your contributions (plus interest, if you have at least 10 years of service as a contributing member), or
- Leave your contributions in the System and keep all the creditable service you earned to that date. *(NOTE: You are entitled to a benefit at a later date if you leave after you have completed 10 years of membership service, provided you do not withdraw your contributions).*

If you leave the System before you have 10 years of membership service, the only payment you can receive is a refund of your contributions. If contributions are withdrawn, creditable service may be restored by making a lump sum payment. To be eligible to buy back creditable service an employee must be rehired and contribute to this System for 5 years.

Health Insurance at Retirement
At the time of completion of the Application for Retirement, the Retirement System will provide you with instruction for going online and enrolling in the State's health insurance plan.

For employees retiring with 20 years or more of state service, the State will cover 100% of health care costs. For employees retiring with 10 years but less than 20 years of state service, the State will cover 50% of health care costs.

NOTE: Employees that return to work with state service PRIOR to October 1, 2006 may be eligible for full health insurance coverage upon retirement if they have 10 years of state service at the time of retirement.

Unused Sick Leave:
Unused sick leave may be converted to creditable service and, therefore, can be used to establish eligibility for Retirement. Unused sick leave can be converted to creditable service at the rate of one month of service for each (20) days of Sick Leave. One more month of retirement credit is allowed for any part of 20 days left over.

Sick leave may be used to complete:

- 30 years of service, regardless of age;
- 25 years of service after age 60; and
- 20 years of service after age 50.

Sick leave cannot be used to meet the minimum qualifications for a disability, deferred benefit or the Survivor's Alternate Benefit.

Payment of Vacation Leave:
The retiree shall be paid for accumulated vacation leave, using an hourly rate of pay based on 2080 work hours per year, not to exceed a maximum of 240 hours. The retiree shall also be paid for any unused Bonus Leave. Employees retiring on Service Retirement or Early Retirement may choose to exhaust vacation leave, upon management's approval, after the last actual day of work but prior to the effective date of retirement. Retirement is always effective on the first day of the month, so the employee should work or exhaust vacation leave, if available, until the last possible workday of the month prior to the effective date of retirement.

All benefits are earned while exhausting leave. Any unused vacation leave (not to exceed 240 hours) and unused bonus leave not exhausted prior to the effective date of retirement will be paid in a lump sum. Payment for unused vacation/bonus leave will be made on the regular payroll. Leave is paid through the nearest tenth of an hour.

ORBIT
Your retirement information can be viewed at any time through the NC Department of the State Treasurer's ORBIT site (Online Retirement Benefit through Integrated Technology).
https://orbit.myncretirement.com/
You will first have to create an account. This online tool provides you with full, secure access to your personal retirement account information 24 hours a day. In ORBIT, you can view your account summary, view your annual benefits summary, estimate your benefits, and create an estimate for purchasing years of service.

TOTAL RETIREMENT PLANS FOR STATE EMPLOYEES

Location

http://www.ncplans.prudential.com/

The State offers additional savings plans to provide a way for employees to save money and supplement the State's retirement benefits by making contributions through payroll deduction. These plans are administered by Prudential and include:

401(K), AND DEFERRED COMP (457) SAVINGS PLANS

Both plans offer tax-deferred or Roth (after tax) investment programs. All members currently contributing to the Teachers' and State Employees' Retirement System (TSERS) are eligible to participate in 401(k) and all employees compensated directly by the State are eligible to participate in Deferred Comp (457).

For the tax deferred plans, employees have the opportunity to build their savings while reducing their taxes. Contributions to the Plans are pre-tax payroll deductions which reduce the current taxable income. The Roth after-tax savings plans also offer the opportunity to build retirement savings. Like the pre-tax savings, the interest and earnings grow tax deferred but upon receipt of a qualified Roth distribution in retirement, the Roth benefits will be tax free for NC state and federal income tax purposes.

Contact Information

If you would like more information on the 401(k) and Deferred Compensation programs, please visit the North Carolina Supplemental Retirement Plans' website at www.NCPlans.prudential.com You can also take advantage of the North Carolina Supplemental Retirement Plans' toll-free phone number by calling 1-866NCPlans (1-866-627-5267).

Enrollment Information

To enroll in a Supplemental Retirement Plan (401k and/or Deferred Comp), you can go to www.NCPlans.prudential.com and complete an enrollment form online. You can also contact your benefits representative at your location or your local Regional Retirement Education Manager with Prudential.

Comparison of 401k & Deferred Comp (457)

	NC Deferred Comp Plan (NC 457 Plan)		**NC 401(k) Plan**	
	Pre-Tax Contributions	**Roth After-Tax Contributions**	**Pre-Tax Contributions**	**Roth After-Tax Contributions**
Eligibility	• Full-time, temporary, and part-time employees. • Elected and appointed officials. • Rehired retired employees.		Contributing members to one of the NC public employees Retirement Systems including:: • Teachers' and State Employees' Retirement System; • Local Governmental Employees' Retirement System; • Legislative Retirement Systems; • Consolidated Judicial Retirement Systems.	
Contributions	• Payroll deduction; • No minimum contribution requirement • 2014 annual contribution limit of $17,500 (amount is not reduced by rollovers into the Plan from other qualified plans).		• Payroll deduction; • No minimum contribution requirement. • 2014 annual contribution limit of $17,500 (amount is not reduced by rollovers into the Plan from other qualified plans).	
Age 50+ Catch-Up Contributions	If age 50 or older, the member may contribute an additional $5,500 to the Plan for a total maximum deferral of $23,000.		If age 50 or older, the member may contribute an additional $5,500 to the Plan for a total maximum deferral of $23,000.	

	Note: Cannot be used in conjunction with the 3-year Catch-Up contribution.			
Three-Year catch-up provision (457) *(Note: Cannot be used in the 457 Plan if the age 50 & older catch-up is used)*	Available to members who are within 3 yrs of the taxable year in which normal retirement age is attained & who did not contribute the maximum allowed in prior years. Maximum contribution is $35,000 in 2013. *Note: Cannot be used in conjunction with the Age 50+ Catch-Up provision.*		Not available.	
Savers Tax Credit	A non-refundable tax credit is available to eligible taxpayers who make contributions to qualifying retirement plan(s). Depending upon the member's adjusted gross income (AGI), the credit ranges from 10 to 50% of the first $2,000 in eligible contributions. Generally, this credit would be available to joint filers with an AGI of up to $55,500, head of household filers with an AGI of up to $44,250 and single filers with an AGI of up to $29,500.			
Rollovers into the Plan	Pre-tax rollovers are accepted form eligible retirement plans including 401(k), 401(a), 403(b), governmental 457(b) plans & some IRAs.	Roth after-tax rollovers are accepted from eligible retirement plans such as governmental 457(b), 401(k) and 403(b) plans but not from Roth IRAs.	Pre-tax rollovers are accepted form eligible retirement plans including 401(k), 401(a), 403(b), governmental 457(b) plans & some IRAs.	Roth after-tax rollovers are accepted from eligible retirement plans such as Roth 401(k), Roth 403(b), Roth 457 plans but not from Roth IRAs.
Loan Provision	Loans may be taken for any reason, provided funds are available in the member's account, and are repaid with interest through payroll deduction. May take up to five years to repay with no prepayment penalty. Only one loan may be outstanding at a time.			
Hardship Withdrawals	Available in the following circumstances: • For medical expenses not covered by insurance for the member, spouse, or dependents; • To prevent eviction or foreclosure on a primary residence; • To cover funeral/burial expenses for the member's immediate family member; • To repair damage to the member's principal residence that qualifies as a casually deduction. • Hardship withdrawals are subject to income tax, and if prior to age 59 ½, a 10% tax penalty unless an exception applies.		Available in the following circumstances as defined by the IRS: • For medical expenses not covered by insurance for the member, spouse, or dependents; • To provide a down payment on a primary residence; • For college tuition, room, board, and some related educational expenses for member, spouse or dependents. • To prevent eviction or foreclosure on a primary residence; • To cover funeral/burial expenses for the member's immediate family member; • To repair damage to the member's principal residence that qualifies as a casually deduction.	

Withdrawals & Rollovers while Employed	• Available upon reaching age 70 ½; • Transfer to the NC Retirement System to purchase service credit, if eligible for purchase; • Allowed if the account balance is less than $5,000 and no contributions have been made for a period of two years.	• Available upon reaching 70 ½ & in order to receive favorable tax treatment the 1st contribution must be at least 5 years old. • Allowed if the balance is less than $5,000 & no contributions have been made for a period of 2 years.	• Available upon reaching age 59 ½ ; • Transfer to the NC Retirement System to purchase service credit, if eligible for purchase.	• Available upon reaching age 59 ½ & in order to receive favorable tax treatment the 1st contribution must be at least 5 years old.
Options upon Termination or Retirement	• Leave funds in the Plan (subject to federal rules on minimum required distributions); • Begin making withdrawals (lump sum, partial payments or systematic payout options); • Annuitize all or a portion; • Roll all or a portion of the balance to another qualified retirement plan or IRA; • At or after retirement, members may move balance to the Retirement System to increase their monthly benefit.	• Leave funds in the Plan (subject to federal rules on minimum required distributions); • Begin making withdrawals (lump sum, partial payments or systematic payout options); • Roll all or a portion of the balance to another Roth 401(k), Roth 403(b), Roth IRA or Roth 457.	• Leave funds in the Plan (subject to federal rules on minimum required distributions); • Begin making withdrawals (lump sum, partial payments or systematic payout options); • Roll all or a portion to an annuity; • Roll all or a portion of the balance to another qualified retirement plan or IRA; • At retirement only, members may move balance to the Retirement System to increase their monthly benefit.	• Leave funds in the Plan (subject to federal rules on minimum required distributions); • Begin making withdrawals (lump sum, partial payments or systematic payout options); • Roll all or a portion of the balance to another Roth 401(k), Roth 457, Roth 403(b) or Roth IRA.
One-Time Deferrals	• Upon separation, employees may choose to defer their leave payout of vacation/bonus leave or longevity into their Prudential Savings Plan (401k or Deferred Comp/457b) to help increase their savings contributions or meet their annual savings maximum.			
Tax Considerations	• Withdrawals of pre-tax funds are subject to federal and state income taxes for the year in which the distribution(s) is processed; • Rollovers to other qualified plans or IRAs are not taxable events.	Withdrawals are NOT subject to federal or state income taxes provided: • The 1st Roth contribution has been in the account for a t least 5 tax years; and • The member is 59 ½ or older, disable, or deceased.	• Withdrawals of pre-tax funds are subject to federal and state income taxes for the year in which the distribution(s) is processed; • Rollovers to other qualified plans or IRAs are not taxable events.	Withdrawals are NOT subject to federal or state income taxes provided: • The 1st Roth contribution has been in the account for a t least 5 tax years; and • The member is 59 ½ or older, disable, or deceased.
Tax Penalties	Regardless of age at withdrawal, no additional penalties will apply.	Regardless of age at withdrawal, no additional penalties will apply.	Withdrawals prior to age 59 ½ may be subject to an additional 10% federal income tax penalty. This penalty can be avoided if the member: • Separates from service in the calendar year they turn 55, or later; • Elects to receive substantially equal payments based upon life expectancy; • Is disabled or deceased.	State and federal income taxes along with a federal tax penalty for early withdrawal may apply to the earnings (not contributions) if the member is younger than 59 ½ or if the first Roth contribution has not been in the account for at least 5 years.
Minimum Required Distributions	The federal government dictates that minimum withdrawals must begin by age 70 ½ , provided a member is no longer employed by the sponsoring employer. Failure to receive this annual minimum required distribution (MRD) may result in significant tax penalties.			

SHORT-TERM DISABILITY

Location

https://www.nctreasurer.com/ret/DINCP%20Employer/TSERSDisabilityHandbook.pdf

Employees who become temporarily or permanently disabled and are unable to perform their regular work duties may be eligible to receive partial replacement income through the Disability Income Plan of North Carolina. In order to qualify for short-term disability benefits, an employee must be in permanent status and work at least 30 hours per week for nine months of the year and participate as a member of the retirement system for at least one year during the 36 months preceding the disability. Eligible employees may receive a monthly short-term benefit equal to 50% of their monthly salary, plus 50% of their annual longevity. Monthly benefits during the short-term period cannot exceed $3,000. This monthly benefit is reduced by any workers' compensation or Veteran's Affairs benefit received for the same disability. Short-term benefits are available for up to one year and may be extended for up to one additional year if the disability is temporary and is likely to end within that additional year. Additional information can be found on The Office of the NC State Treasurer's website at www.nctreasurer.com.

LONG-TERM DISABILITY

Long-term benefits may be payable after the conclusion of the short-term disability period. In order to qualify for long-term disability benefits, an employee must have at least five years of membership service with the Retirement System during the 96 months preceding the conclusion of the short-term disability period. During the first three years of long-term disability, eligible employees may receive a monthly long-term benefit equal to 65% of monthly salary, plus 65% of annual longevity pay. Monthly benefits during the long-term period cannot exceed $3,900. This benefit is reduced by any Workers' Compensation (excluding permanent partial Workers' Compensation awards) or Veteran's Affairs benefits if for the same disability; any primary Social Security benefits, regardless of whether the employee elects to receive such benefits; and any monthly payments from any other federal agency. Additional information can be found on The Office of the NC State Treasurer's website at www.nctreasurer.com.

DEATH BENEFIT

Location

https://www.nctreasurer.com/Retirement-And-Savings/For-New-Government-Employees/Pages/Death-Benefits.aspx

A death benefit is payable if the employee dies while still in active service and after 1 year as a contributing member of the Retirement System. The death benefit amount is one year's salary determined by the highest salary within a consecutive 12 month time period in the last 24 months. This amount would be at a minimum of $25,000 or not to exceed $50,000.

SWORN LAW ENFORCEMENT SPECIFIC BENEFITS

Law Enforcement has additional separate benefits that are in addition to those afforded to all State Employees. Those benefits are administered through the NC Treasurer's Office. A detailed explanation of those are located here:
https://www.nctreasurer.com/ret/Benefits%20Handbooks/2013TSERS_LEOhandbook.pdf

INSURANCE BENEFITS FOR STATE EMPLOYEES

The State of North Carolina provides health care benefits to teachers, employees, retirees, and their eligible dependents according to the provisions and limitations of North Carolina General Statutes. Health Insurance is offered to every permanent employee that is working at least (30) hours per week. Employees have (30) days to enroll in health insurance coverage from the date of hire. If the employee applies for health insurance after the (30) day period, there may be a 12-month waiting period for pre-existing health conditions.

DEPENDENTS

Eligible dependents include:

- Legal Spouse;
- Unmarried children under age 26 including natural, legally adopted, foster children, children for whom the employee is court-ordered guardian and stepchildren of the employee, as long as the employee is legally responsible for such child's maintenance and support;
- An unmarried child who is physically or mentally incapacitated, to the extent that he or she is incapable of earning a living, and such handicap developed or began to develop before the dependent's 26th birthday.

Please note that an individual cannot be enrolled as a dependent under the Plan if he or she is enrolled as an employee. In addition, a dependent cannot be enrolled under two Plan contracts at the same time.

HEALTH INSURANCE

The State of North Carolina provides health care benefits to teachers, employees, retirees, and their eligible dependents according to the provisions and limitations of North Carolina General Statutes. Health Insurance is offered to every permanent employee that is working at least (30) hours per week. The following Health Care Plan options are available as Preferred Provider Organization (PPO) Options:

1. Enhanced (80/20)
2. Consumer Directed Health Plan
3. Traditional (70/30)

Active Employee Premiums									
Participation in Wellness Activities									
Wellness Activities		All 3	Two Activities Completed			One Activity Completed			None
Smoking Attestation		☒	☒	☒		☒			
PCP Selection		☒	☒		☒		☒		
Health Assessment		☒		☒	☒			☒	
Plan Options	Employer Share	Employee / Retiree Share							
Enhanced 80/20	$448.12	$13.56	$28.56	$28.56	$33.56	$43.56	$48.56	$48.56	$63.56
Consumer Directed	$448.12	$0.00	$10.00	$10.00	$20.00	$20.00	$30.00	$30.00	$40.00
Traditional 70/30	$448.12	$0.00							

Dependent Premiums			
Dependent Group	Enhanced 80/20	Consumer Directed	Traditional 70/30
Employee + Child(ren)	$272.80	$184.60	$205.12
Employee + Spouse	$628.54	$457.68	$528.52
Employee + Family	$666.38	$506.64	$562.94
Total Employee Contribution = Active Employee Share + Dependent Premium			

Click here for a comparison of the plans:
http://www.shpnc.org/library/pdf/annual-enrollment/2015/actives-comp-chart.pdf
http://www.shpnc.org/myMedicalBenefits/ppo/enrollment/2014-2015-rate-sheets.aspx

NC Flex Benefits

The NCFlex Program provides a variety of pre-tax plans available to state agency, university, and select community college employees. Employees are eligible to participate in NCFlex if they are a state agency or university employee working 20 or more hours per week in a permanent, probationary, or time-limited position. Specific information on each of the plans can be located on www.ncflex.org. However, a brief summary of the available plans follows.

Effective Dates of Coverage

You have 30 days from the date of hire to enroll in the NCFlex programs. Employees can enroll in NCFlex online using ESS. If you do not enroll at the time of hire, you will have the opportunity to enroll each year during annual enrollment which is usually in the fall. Unlike health insurance, you do not have a choice for effective date of coverage. NCFlex benefits will be effective the 1st of the month following the date of hire. For example, if an employee is hired on 4/5/13, their Flex benefits would be effective 5/1/13. Unlike health insurance where you pay a month in advance for the next month's coverage, NCFlex premium deductions pay for the current month's coverage. This means that NCFlex premiums deducted from April paycheck pays for NCFlex coverage for April.

Health Care Spending Account

The Health Care Flexible Spending Account (HCFSA) is a supplement to the current health insurance. Through the HCFSA, employees may choose to contribute a set amount of money to an account through payroll deduction on a pre-tax basis. With this account, employees are reimbursed with the pre-tax dollars set aside to pay for medical, dental, or other health care expenses not covered by a health plan. Employees never pay taxes on the money received from the spending account which helps health care dollars go farther. The annual contribution cannot be less than $120 a year ($10 per month) or greater than $2,500 a year ($208.33 per month).

Reimbursement Process

You have two options for reimbursement:
Option One is to complete the HCFSA Claim Form and submit the HCFSA Form along with the required documentation to P & A Group. Reimbursements are usually processed within one week and are directly deposited into the same bank account that your paycheck is deposited.

Option Two is to use the NCFlex Convenience Card. The Convenience Card allows you to pay a provider/vendor directly from your HCFSA at the point of purchase for eligible health care expenses. The card reimburses up to your annual election. You will still need to submit receipt documentation and a HCFSA Claim Form EXCEPT when the transaction equals a copayment amount from your prescription, medical, dental, or vision plan. There is no fee for the convenience card option.

Dependent Day Care Spending Account

The Dependent Day Care Flexible Spending Account (DDCFSA) is designed to benefit employees with young dependent children or disabled dependents of any age. Eligible day care expenses may be reimbursed for:

1. Your "qualifying child" (including a stepchild, foster child, child placed for adoption, or younger brother or sister) under age 13 who has the same principal residence as you for

more than ½ the year and does not provide more than ½ of his/her own support during the calendar year; OR

2. Your "qualifying child" (as defined above) of any age, spouse, or other dependent who receives over ½ of his/her support from you (e.g. your disabled elderly parent), who is physically or mentally incapable of caring for himself or herself and has the same principal place of residence as you for more than ½ of the year. To reimburse day care received outside of your home, your disabled dependent must spend at least 8 hours per day in your home.

NOTE: *Special rules apply for divorced or separated parents with dependent children. Generally, the child must be a dependent for whom the employee can claim an income tax exemption. In other words, the employee must have legal custody of the child for over ½ of the year for day care expenses to be reimbursed through the DDCFSA.*

Vision Care Plan

The NCFlex Vision Care plan is administered by Superior Vision Services (SVS). Under this plan there are three plan options:

- Core Wellness Exam (no monthly premium cost, $20.00 copay for exam only)
- Basic Plan – Exam and Materials
- Enhanced Plan – Enhanced Exam and Materials

All these plans offer in-network and non-network services. However, using an in-network provider will result in less expenses for the employee. Employees have a choice of over 1,800 vision providers in the SVS network that includes ophthalmologists, optometrists, and optical companies. Please keep in mind that employees are responsible for paying any charges in excess of the covered benefit.

There is NO waiting period for first-time enrollees. However, if coverage is elected and dropped the following year, the employee will have to wait an additional two years before being allowed to get back in the plan.

The Voluntary Accidental Death and Dismemberment Insurance Plan

AD&D is insured by A.C. Newman and Company on behalf of Gerber Life Insurance Company. It pays a benefit if the employee suffers a loss as the result of a covered accident while insured under the plan. It also pays a benefit for certain disabling injuries that occur while covered.

Employees can elect to cover spouses and dependent children. The coverage is effective 24-hours a day, 365 days a year and includes accidents on or off the job.

Employees may choose from $50,000 up to $500,000 of principal sum as insurance coverage.
If an employee or their spouse are both eligible (as state or university employees) to elect this coverage, both may elect to participate as employees, but only one may enroll for employee and family coverage. The spouse who elects employee and family coverage will not have coverage for his/her spouse, only children. In addition, an employee cannot be covered as both an employee and a dependent.

Core AD&D

A $10,000 core Accidental Death & Dismemberment (AD&D) benefit, if elected, is provided at no cost by the State of North Carolina. The NCFlex Core AD&D is in addition to any NCFlex Voluntary AD&D insurance plan or any other coverage an employee may have under any other insurance policy. To have the Core AD&D $10,000 insurance benefit, employees must enroll in the NCFlex **Core** AD&D plan. Coverage may end at any time, as determined by the State of North Carolina.

Cancer Insurance

Cancer Insurance is provided through Allstate Workplace Division (AWD). Employees have three plan options (Low, High, and Premium) and two coverage levels to choose from depending on how much coverage is needed.

In addition to cancer coverage, this insurance pays benefits for 29 other specified diseases such as Muscular Dystrophy, Multiple Sclerosis, Tuberculosis, Sickle Cell Anemia, and Cystic Fibrosis.
As a new hire, employees enrolling within the first 30 days from the date of hire, may elect coverage on a guaranteed basis (without providing Evidence of Insurability – EOI) and coverage is effective the first of the month following the date of hire. An EOI form is a way of providing proof of good health. This evaluation may include questions relating to current health status, medical history, and family medical history. If enrolling **at a later date**, employees will have to provide an EOI form to AWD for approval before coverage becomes effective.

Critical Illness

NCFlex offers a Critical Illness Insurance plan. The insurance is administered by MetLife and complements existing medical coverage, but does not replace it. The coverage pays a lump-sum payment when a covered person experiences a covered condition. Critical Illness Insurance covers the following conditions and groups them into (3) distinct categories (as defined by the group certificate):

Category (1)	Category (2)	Category (3)
Incorporates certain **cancer**-related conditions:	Incorporates certain **heart**-related conditions:	Incorporates certain **other** conditions:
• Full Benefit Cancer • *Partial Benefit Cancer** • Bone Marrow Transplant	• Heart Attack • Stroke+ • **Coronary artery bypass graft** • Heart Transplant	• Major organ transplant (other than bone marrow & heart) • Kidney failure

For some types of cancer and a coronary artery bypass graft, you will receive 25% of the category benefit amount. The remaining 75% is available within that category should the covered individual experience another one of the covered conditions in that category while the certificate is in force.

If diagnosed with a covered condition in any of the three categories (cancer, heart, or other) and policy and certificate requirements are met, an employee can receive a lump-sum benefit payment up to $15,000. The maximum you can receive in any one category is $15,000. After $15,000 has been paid in any category, that category will close and no additional payments for any other covered conditions within that category will be paid. The maximum an employee can receive across all three categories is $45,000. Once a $15,000 category benefit amount has been paid in each of the three categories for a total of $45,000, the coverage is terminated and the payroll deduction will stop.

Coverage is available for the employee, spouse, and child(ren). If an employee or their spouse are both eligible, both may elect to participate as employees, but only one may enroll for employee and family coverage. An employee may NOT be covered as both an employee and a dependent.

Group Term Life

Voluntary Group Term Life Insurance pays a benefit to an employee's beneficiary(ies) if the employee dies while covered under the policy. Please note that this is strictly a life insurance policy that provides a benefit upon death. There is no accumulated cash value.

New Hires enrolling within the first 30 days of employment may elect coverage up to $100,000 without providing Evidence of Insurability (EOI). An EOI form is a way of providing proof of good health. This evaluation may include questions relating to current health status, medical history, and family medical history. If enrolling or increasing coverage **at a later date**, employees will have to provide an EOI form to ReliaStar Life for approval before coverage can become effective.

Monthly premiums are deducted on a pre-tax basis and based on the employee's age as of January 1st of the current plan year and the coverage amount elected. Coverage can be elected in increments of $10,000. A minimum of $20,000 is available up to a maximum of $500,000 of coverage.

Coverage is also available for a spouse or child(ren). Spouse or child(ren) premiums are deducted on a post-tax basis and is also based on the age of the covered employee as of January 1st of the current plan year.

Dental Coverage

NCFlex offers both a Low and High option dental plan through United Concordia (UCCI). Employees can visit a network or non-network provider and get the same amount of coverage, but can save more money by visiting a UCCI network dentist. For a summary of benefits and a comparison of the NCFlex dental plan and the agency specific MetLife dental plan, please click on the link listed below under the 'Agency Specific Insurance Benefits' section.

QUALIFYING LIFE EVENTS

If at any time during your Plan Year a Qualifying Life Event occurs, you can change your Health Insurance/ NCFlex coverage for the remainder of the year. ***You will only be able to make changes to your benefits as it relates to the specific Life Event that has occurred.*** Changes must be made within 30 calendar days of the life event. For detailed information as to what changes can be made to each of your benefits based on a Life Event, please go to the www.ncflex.org website, under "General Benefits Information" and select "Life Events."

Qualifying Life Events are not the same for the State Health Plan and NCFlex. Therefore, please refer to the following:

State Health Plan Status Changes:

Here are some examples of what may be considered as Qualifying Life Events. Please refer to the "When Coverage Begins & Ends" section of the N.C. State Health Plan Benefits Booklet (www.shpnc.org) for detailed information on Qualifying Life Events.

- Change in legal marital status which includes marriage, death of a spouse, divorce, legal separation, or annulment.
- Dependents change due to birth, adoption, placement for adoption, or death of the dependent.
- You, your spouse, or your dependents terminate or commence employment, resulting in the loss or gain of health coverage.
- You, your spouse, or your dependents reduce or increase their hours of employment.
- You, your spouse, or your dependents are entitled to coverage under Part A or Part B of Medicare, or Medicaid.
- Your dependents cease or commence to satisfy the requirements for coverage due to attainment of age or their own employer sponsored health care coverage.
- You, your spouse, or your dependents commence or return from an unpaid leave of absence such as Family Medical Leave or military leave.

- You receive a court order to provide coverage for your child(ren).
- There is a substantial change (at least $50 per month) in the premiums and/or benefits in the plan covering dependents. *(Example: Spouse covers dependent child(ren) and the cost of spouse's coverage increases at least $50 per month, dependents can be added to the State Health Plan).*

NCFlex Status Change Events:

- Marriage
- Death of Spouse or Child
- Legal Separation for at least 90 days or Divorce
- Birth, Adoption, Placement for Adoption, or Change in Legal Custody
- Dependent Child ineligible due to Age or Marriage
- Termination of Employee's employment
- Spouse begins employment and gains coverage
- Spouse terminates employment and loses coverage
- Employee changes from part-time to full-time and becomes benefit eligible (20 or more hours)
- Spouse changes from part-time to full-time and becomes benefit eligible (20 or more hours)
- Employee changes from full-time to part-time and loses eligibility (less than 20 hours)
- Spouse changes from full-time to part-time and loses eligibility (less than 20 hours)

How to Make Benefit Changes due to a Life Event:

If you wish to make changes to your insurance elections, ***notify your Benefits Representative immediately.*** You only have **30 days from the Life Event** to make changes to your benefits. Your change in elections must be consistent with your status change and may be subject to approval. Documentation may be required. Changes to dental benefits could result in waiting periods, read the benefit details carefully

Please follow these steps to make changes to your benefits when a Qualifying Life Event occurs:

1. Notify your Benefits Representative that you want to make changes to your benefits based on a Life Event (if applicable, provide necessary documentation).

2. The Benefits Representative will create a Benefits Adjustment Reason in the HR Payroll System which will provide you a link in ESS to make changes to your benefits based on your Life Event.

3. After creating the Adjustment Reason, the Benefits Representative will advise you to go online to ESS at https://mybeacon.nc.gov to make changes to your benefits. *For instructions on how to enroll in benefits through ESS, please visit BEST Shared Services' website at http://www.ncosc.net/BEST/support/index.html and refer to the Benefits Enrollment Guide for ESS. The "Step by Step Guide through ESS" provides detailed steps and screenshots.*

Important Note: ***Employees MUST make their benefit changes online within 30 days from the Qualifying Life Event.***

Agency Specific Insurance Benefits

In addition to the state-sponsored insurance programs, the Department of Public Safety can approve and make available other insurance options for DPS employees. These insurance programs are approved through the DPS Insurance Committee and are administered through private insurance agencies/brokers.

The supplemental agency-specific plans are NOT part of N.C. State Government and, therefore, are NOT transferable if you leave DPS and transfer to another State Agency.

The following supplemental insurance is available for DPS employees:

MetLife Dental - The MetLife dental insurance is comparable to the NC Flex high option dental plan. Monthly payroll deductions for MetLife are made after taxes have been taken out, while the NCFlex Dental Plans have monthly payroll deductions taken out PRIOR to taxes.

NC HEALTH*SMART*:

NC Health*Smart* is an initiative by the State Health Plan to provide employees with resources and information to be as healthy as you can be. On the www.shpnc.org website, please visit the NC Health*Smart* Wellness Programs link to view a wealth of resources that can help you reach your health and wellness goals. This link includes:

- Personal Health Portal – Login and take a Personal Health Assessment (PHA) and receive a Personal Action Plan.
- Worksite Wellness Toolkit – Learn how to create a health-friendly workplace using NC Health*Smart* tools and resources.
- Review Your Preventative Care & Immunization Benefits
- Wellness Services – Provides information on quitting tobacco, incorporating more nutritious foods into your diet, reducing stress, etc.
- Disease and Case Management Services

NC Health*Smart* also includes information for contacting a Health Coach who would be available to answer questions you may have concerning your or your family's health. Please visit www.shpnc.org website for more information on this program.

ENROLLMENT INFORMATION

Plan Type	How to Enroll	When to Enroll	Effective Date of Coverage
State Health Plan	Employees will enroll online in the HR Payroll System portal under their My Data (ESS), My Benefits links	Employees must enroll within 30 days from their hire date.*	1st of the month following date of hire, or 1st of the second month following date of hire
NC Flex Plans	Employees will enroll online in the HR Payroll System portal under their My Data (ESS), My Benefits links	Employees must enroll within 30 days from their hire date.*	1st of the month following date of hire
Agency Specific Plans	Employees will enroll by submitting the appropriate enrollment form to DPS Payroll or the Insurance Vendor	Employees must enroll within 30 days from their hire date.*	Plans will become effective after the 1st payroll deduction
Total Retirement Plans (401k & 457)	Employees have 4 options to enroll: • Employees can enroll online by visiting http://www.NCPlans.prudential.com • Employees can enroll by submitting a 401k or Deferred Comp enrollment form to Prudential;	Employees may enroll at any time.	Plans will become effective after the 1st payroll deduction

	• Employees can enroll by contacting their local Education & Enrollment Manager; • Employees can enroll by calling 1-866-NCPlans or 1-866-627-5267		

***NOTE:** For the State Health Plan and NC Flex plans, if the 30 day enrollment opportunity is missed, the employee will have to wait for the next open enrollment. For agency specific plans, if the 30 day enrollment opportunity is missed and the employee has the option to enroll prior to the next open enrollment, pre-existing conditions or waiting periods may apply.

AFFORDABLE CARE ACT

Location: https://www.ncdps.gov/emp/BenefitsandSafety/MarketplaceNotice9-25-13.pdf

The ACA offers individuals to buy private health insurance through a 'Health Insurance Marketplace', also referred to as 'The Exchange'. This allows you to find private health insurance options to compare with the State's health coverage; to ensure the health coverage you choose meets your needs and fits your budget. In purchasing private insurance thru the Exchange, you may be eligible for a tax credit, which may result in a lower premium. However, please be aware that if you purchase a private health plan through the Exchange, you may lose your employer contribution to the health benefit plan offered by the State.

Please remember, purchasing private health insurance through the Exchange is not mandatory. It is totally up to you to choose insurance through your employer or a private company within the Exchange. But, as your employer, North Caroline Department of Public Safety has an obligation to inform you of your options for health care.

UNEMPLOYMENT INSURANCE

Office of State Personnel maintains a centralized Unemployment Insurance Cost Management Program to provide effective claims administration and control of benefit costs.

WORKER'S COMPENSATION

The purpose of the Workers' Compensation Act is to provide medical benefits, compensation for lost time from work and compensation for any permanent or permanent partial disability that results from a compensable job related injury. The North Carolina Department of Public Safety is self-insured for the purpose of administering the Workers' Compensation Act. Workers' compensation expenses are paid from the department's current operating budget. All workers' compensation claims are handled by a third party administrator (TPA). The TPA is CorVel. Employees can contact the Human Resources Workers' Compensation office or CorVel with questions regarding their workers' compensation benefits. CorVel decides whether a claim is compensable under the workers' compensation laws.

Employee Responsibilities

1. Immediately report any injury/illness by notifying the supervisor or work location designee when an on the job injury/illness occurs.
2. Provide written notice to the work location that an injury/illness occurred by completing the DPS WC-EE Form.
3. Accept medical treatment by a medical provider approved by the employer/CorVel to treat the injury. Obtain and provide a Medical Authorization Form for the treating physician to complete.

4. Follow the prescribed treatment to affect a cure for the injury (NOTE: Refusal may bar the employee from further compensation until such refusal is resolved).
5. Provide supervisor with any medical restrictions (NOTE: Refusal to comply with work restrictions may bar the employee from further compensation.)
6. Employees without restrictions shall return to the regular work schedule).
7. Provide supervisor with an out of work medical note. The supervisor will forward a copy of the medical note to the Workers' Compensation office.
8. Maintain contact with supervisor weekly while out of work.

Employees whose injury/illness is covered under Workers' Compensation are eligible for a benefit equal to 66 2/3% of the employee's average weekly earnings up to a maximum established by the Industrial Commission after a required seven (7) day waiting period. During the seven (7) day waiting period, employees may elect to exhaust sick or approved leave or be on leave without pay.

Employees who are in Criminal Justice Certified/Sworn position and are injured as a result of a heightened risk or special hazard, or an Adult Correction employee that is injured as a result of a direct and deliberate act of an offender/inmate may be eligible for Salary Continuation which is full pay for up to two years from the date of disability.

Employees who return to work but continue to require medical or therapy visits to reach maximum medical improvement will receive paid leave for time away from work for visits authorized by CorVel..
Death Benefit
In the event of death resulting from an injury arising out of and in the course of an employee's employment, compensation is paid to the surviving spouse and/or dependents for 500 weeks or until the child reaches their 18th birthday, whichever is longer. There is a $10,000 allowance for funeral expenses.

STATE EMPLOYEE'S CREDIT UNION

As a North Carolina State Government employee, you are entitled to membership with the State Employees' Credit Union (SECU). You and your immediate family (spouse, parents, children, siblings and others maintaining a single economic unit) may become members of SECU by opening a $25 share account, your membership account. This membership allows you to take advantage of SECU's excellent rates and services.

SECU is a not-for-profit financial cooperative owned by state and public school employees of North Carolina and their families. SECU has been providing consumer financial services for more than 70 years and serves nearly 1.6 million members. Unlike profit-oriented institutions, SECU's purpose is to serve members by providing fair, convenient, low-cost services. SECU has more than 230 branch locations, 1,000+ no-surcharge Cash Points ATMs, 24/7 call centers, a Voice Response Service and a website www.ncsecu.org.

To open a share account, visit your local SECU branch or contact the call center and provide a copy of your most recent pay stub to verify employment with the State of North Carolina. If joining through a family member, provide their social security number and/or share account number.

Deposit Account Services:	
Share Account	Coverdell Education Savings Account
Checking Account	Holiday Cash Account
Money Market Account	Health Savings Account

Cash Points Global Account Share Term Certificates (6-60 mos.) Individual Retirement Accounts (IRAs)	Summer Cash Account Trust Deposit Accounts Bridge Account
Loan Services	
2 and 5 Year ARMs Fixed Rate Mortgages First Time Homebuyer Options Green Mortgages Green Second Mortgages Biweekly Mortgages Reverse Mortgages Deed of Trust and Second Mortgages Home Equity Loans Salary Advance Loans w/ SALO Cash Club Mortgage Assistance Program New Vehicle Loans Used Vehicle Loans	Green Vehicle Loans GAP coverage for Auto Loans Mobility Accessible Vehicle Loans Recreational Vehicle Loans Boat Loans Personal Watercraft Loans Motorcycle Loans Computer Loans Open end Unsecured Loans Share Secured Loans Term Notes VISA Credit Card
Life Stages Programs	
Fat Cat (Birth – 12 years) Zard (13-19 years) Off to College/Off to Work (19-25) Golden Circle (50 and over)	
Insurance Services	
Term Life Long Term Care Auto, Homeowners & Other Personal Lines Health including Dental Credit Life & Disability	
Investment Services*	**Trust Services***
Investment Advisory Accounts through Credit Union Investment Services (CUIS)	Offered through MEMBERS® Trust Company
**Securities and Trust products are not credit union deposits, are not insured by the NCUA or any federal government agency, are not obligations of or guaranteed by the credit union or any affiliated entity, and involve investment risks, including the possible loss of principal.*	
Electronic/Convenience Services	
Direct Deposit Payroll Deduction Funds Transfer Overdraft Protection Wire Transfer Services Foreign Currency Exchange Member Photo ID Program ID Check – Internet Security Car Buying Service Online Financial Assessment Tool ASK-SECU Voice Response Service "My SECU" – personalized ATM options	• Online Member Access at www.ncsecu.org with Mobile Access, Two-Way Text Messaging, Alerts, BillPay, online transfers & loan advances, E-statements, check images • Cash Points & Visa Check Card with free access to 1,000+ no-surcharge Cash Points ATMs • ATM, Braille & large print statements (visually impaired) • 24/7 Call Centers – Toll-free 1.**888**.732.8562 or 919.857.2150 locally in Raleigh • Money Management Services through BALANCE
Additional Branch Services	
Cashiers Checks Safe Deposit Boxes Savings Bonds VISA Gift Cards	Coin Sorter Services Free Notary & Signature Guarantee Services Discount Theme Park tickets (seasonal) Tax Preparation Services (seasonal)

Additional Information can be found here: www.ncsecu.org

EMPLOYEE ASSISTANCE PROGRAM

The Department of Public Safety provides an Employee Assistance Program as a benefit to assist employees who may be experiencing personal problems. The program seeks to maintain and restore individual health and well-being, improve productivity and retain valued and experienced employees. The EAP is sponsored and maintained by DPS Human Resources. McLaughlin Young Group EAP Services provides the contract services. There is no fee for the services provided by the EAP. However, any cost associated with recommended treatment with a professional resource is the employee's responsibility The Employee Assistance Program includes free and confidential assessments and referrals for you and your family members. The EAP provides assistance and resources to help you deal with a wide variety of difficulties. Trained Care Coordinators are ready to help you solve your problems so that you can maintain a sense of well-being and workplace productivity.

Benefits of using the EAP

- It costs you nothing.
- It's available for you and your family.
- It provides practical solutions
- It's easy to access.
- It's confidential.
- It provides referrals

Issues Addressed by EAP

- Dealing with stress at home or in the workplace.
- Coping with the impact of a tragedy.
- Quitting smoking.
- Coping with loss or grief.
- Suffering from domestic violence.
- Resolving marital, parenting, and family problems.
- Living with depression or anxiety.
- Experiencing problems with co-workers
- Having trouble with personal finances.
- Substance Abuse / Alcoholism

EAP Services:

- Telephonic or Face-to-Face Assessment
- Self-Assessment Tools
- Legal Referrals
- Crisis, Risk, and Referral Assessements
- Online Health and Wellness Resources
- Financial Counseling & Planning

McLaughlin Young Contact Information:

To access any EAP services, call McLaughlin Young EAP Services toll free at 1-888-298-3907 or 704-717-5295.

Online Resource

The McLaughlin Young website, www.mygroup.com, provides a variety of online resources including articles, seminars, and skill builders on a wide variety of topics. This free resource is available 24 hours a day.

The user name is: **NCDPS**

The password is: **Guest**

WE CARE PROGRAM

WE CARE is an initiative created by the North Carolina Department of Public Safety to address employees' overall wellness. WE CARE stands for Wellness Education Committed to Assisting and Reaching our Employees and is supported by the NCDPS Employee Wellness and Resilience Committee. The purpose of the WE CARE initiative is to provide all DPS Employees with positive reinforcements through multiple avenues and to support them when they are faced with adverse situations. This mission of supporting all DPS Employees through adverse situations reinforces that WE CARE for the whole person, physically, mentally and emotionally by providing opportunities to address issues that may influence the overall job performance, career development, and well-being of all DPS Employees.

Policy Information

Employment Policies

Appointment Types

Exempt/Non-Exempt

All positions are designated as either exempt or non-exempt. This designation refers to whether or not someone is exempt from the requirements, benefits, and protections of the State Personnel Act (G.S. 126). Exempt positions are those positions that are filled at the discretion of the Agency Head or Governor and they work at the pleasure of the Governor or Agency Head. Employees in these positions do not have the protection of the State Personnel Act. These positions are generally positions of management or policy making.

All other positions are non-exempt and have the protections and benefits afforded by the State Personnel Act. For example, the State Personnel Act requires that vacant non-exempt positions be posted for a minimum of 5 days. This is not true for exempt positions.

New Appointment

A new appointment is the initial employment of an individual to a position or the reemployment of an individual who is either not eligible for reinstatement or is not offered reinstatement. An employee entering into State service in a permanent or time-limited permanent position shall be given a Probationary or Trainee appointment. The probationary and trainee periods are intended to serve as an extension of the selection process and are used to determine whether the person will be able to meet acceptable performance and/or personal conduct standards. If the employee in probationary or trainee status does not meet performance or personal conduct standards, the employee will be separated.

Probationary Status

Most position classifications within the Department (excluding those hired in trainee status) require new hires to be placed in Probationary Status. Effective, August 21, 2013 employees hired in positions requiring Probationary Status must serve a probationary period of 24 months from the date of hire. Credit is given for each month in which employees are in pay status for one-half or more of the workdays and holidays. (This probationary period is not the same as and should not be confused with the probationary certification prescribed for criminal justice officers).

Trainee Status

Employees hired in position classifications requiring trainee progressions do not have all of the necessary knowledge, skills, and abilities to meet the minimum qualifications of the position. A trainee progression is established for the employee to obtain the necessary qualifications.

Employees in trainee progressions must remain in trainee status until the completion of the trainee progression. The minimum requirement for a trainee appointment is outlined in the class specification for the regular classification

Permanent Appointment

An employee shall be given a permanent appointment when the requirements of the probationary period have been satisfied or when the employee with a trainee appointment has satisfactorily completed all training and experience required for the position classification and,

Career Banding

Career-banding is a system in which similar kinds of work are identified and organized into broad classes of jobs (banded classes). Wider pay ranges and career paths are based on these broader classes. Pay movement is based on the development and demonstration of competencies - knowledge, skills, and abilities - needed to perform the work.

Each banded class is part of a Job Family. There are ten Job Families in North Carolina State Government:

- Administrative and Managerial
- Information Technology
- Law Enforcement and Public Safety
- Information and Education
- Human Services
- Medical and Health
- Institutional Services
- Operations and Skilled Trades
- Engineering and Architecture
- Environment, Natural Resources and Scientific

Among the consolidated agencies, positions within the Information Technology, Law Enforcement and Public Safety, Accounting, Medical, Engineering, Architecture, Legal, Library, and Social Research classifications utilize career banding. All other positions are part of the Grade Classification System.

Merit-Based Hiring and Selection

Location

https://www.ncdps.gov/emp/Policies/HR/Merit-Based_Recruitment_and_Selection_Plan.pdf

Purpose

It is the policy of the Department of Public Safety to provide equal employment opportunity to all applicants, without regard to race, religion, color, national origin, sex, age, disability, or political affiliation/influence. All selection decisions shall be based solely on job-related criteria and comply with all federal and state employment laws, regulations, rules and policies and will be consistently applied to promote fairness, diversity and integrity.

The primary purpose of the Merit-Based Recruitment and Selection Process shall be to ensure that positions subject to the State Personnel Act (G.S. 126) are filled with individuals from among the most qualified as determined by job related criteria and in the judgment of unbiased, objective human resource professionals.

Provisions

The Secretary of the Department of Public Safety accepts the responsibility for ensuring that the recruitment and selection process complies with all applicable and existing state and federal laws, policies, and rules governing personnel actions and ensuring that all hiring practices are applied consistently and equitably, thereby demonstrating commitment and support for the merit-based recruitment and selection plan. The merit based recruitment and selection plan shall also comply with established procedural guidelines issued by the Office of State Human Resources.

The Secretary has delegated the responsibility for policy compliance and enforcement to managers and expects full support and cooperation from all managers and supervisors in the management and application of the merit-based recruitment and selection process

Appeal Process

If an applicant has reason to believe they were denied employment due to political affiliation or influence, the applicant may appeal the hiring decision to the Equal Employment Opportunity Office following the NCDPS Grievance Process referenced in this guide.

EQUAL EMPLOYMENT OPPORTUNITY

Location

https://www.ncdps.gov/emp/Policies/EEO/EEOpolicy.pdf

Purpose

The Department of Public Safety is an Equal Employment Opportunity Employer; therefore, we are committed to provide all current employees and applicants with equal employment opportunities without discrimination on the basis of race, color, sex, religion, national origin, age, genetic information, or disability status, except where age, sex or physical requirements constitute bona fide occupational qualifications.

Provisions

The Department of Public Safety's Equal Employment Opportunity program is intended to create a diverse workforce climate that is responsive and respectful of fairness and equity for applicants and employees which ensures compliance with State and Federal guidelines. Equal Employment Opportunity guidelines also prohibit retaliatory actions against employees or applicants because they filed a charge, testified, assisted or participated, in any manner, in a hearing, proceeding, investigation, or employment discrimination complaint.

Discrimination Grievance

Location:http://www.oshr.nc.gov/Guide/Policies/7_Discipline,%20Appeals%20and%20Grievances/Employee%20Appeals%20and%20Grievances.pdf

An applicant for State employment, probationary State employee, former probationary State employee, career State employee or former career State employee (hereafter referred to as complainant) alleging unlawful discrimination, harassment or retaliation shall first file a complaint with the agency Equal Employment Opportunity (EEO) Officer or Affirmative Action (AA) Officer within **15 calendar days** of the alleged discriminatory or retaliatory act that is the basis of the complaint. If the complainant alleges facts that would constitute unlawful discrimination, harassment, or retaliation as prohibited by law, the complaint will be investigated as a part of the EEO Informal Inquiry. The investigation will determine if the facts support a finding that there is reasonable cause to believe the alleged act rises to the level of unlawful discrimination, harassment or retaliation.

The agency has **45 calendar days** from receipt of the complaint to investigate and respond to the complainant, unless the complainant and the employer mutually agree in writing to extend the time due to occurrences that are unavoidable or beyond the control of either party. Any extension shall not exceed 15 calendar days.

At the conclusion of the investigation, the agency shall communicate the outcome of the investigation in writing to the complainant. If there is reasonable cause to believe that unlawful discrimination, harassment, or retaliation occurred, management shall take appropriate action to resolve the matter. If the complaint is successfully resolved, the complainant will sign a letter of agreement with the agency detailing the terms of the resolution. The agency shall ensure that the terms of the agreement under the control of the agency are implemented.

If the complaint is not successfully resolved, then the complainant may continue the process by filing a formal grievance within **15 calendar days** of the written response from the EEO Informal Inquiry.

In filing a formal grievance, the complainant may bypass the Informal Discussion with Supervisor process. At any point in the grievance process, the complainant/grievant has the right to bypass discussions with or review by the alleged offender. Time spent in the EEO Informal Inquiry is not a part of the formal internal grievance process.

External Filing of a Discrimination Charge

The complainant alleging unlawful discrimination, harassment or retaliation has the right, at any time, to bypass or discontinue the EEO Informal Inquiry or the formal internal grievance process and file a charge directly with the Equal Employment Opportunity Commission. The complainant may not, however, file a contested case with the Office of Administrative Hearing if the internal process has not been completed. The charge must be filed within **180 calendar days** of the alleged event or action that is the basis of the complaint.

Information about filing an EEOC charge can be found at:
http://www.eeoc.gov/employees/charge.cfm or by calling the EEOC regional offices located in Raleigh, Greensboro and Charlotte at 1-800-669-4000.

Information about filing through the Civil Rights Division of the Office of Administrative Hearings can be found at: http://www.ncoah.com/civil/ or by calling (919) 431-3036.

Simultaneous Internal and External Filing of a Discrimination Charge

An applicant for State employment, probationary State employee, former probationary State employee, career State employee or former career State employee may file simultaneously with the Equal Employment Opportunity Commission (EEOC) at any point in either the EEO Informal Inquiry or the formal internal grievance process.

AMERICANS WITH DISABILITIES ACT

Location

https://www.ncdps.gov/emp/Policies/HR/ADA.pdf

Purpose

Title I of the Americans with Disabilities Act (ADA) prohibits discrimination against qualified individuals with disabilities in job application procedures, hiring, firing, advancement, compensation, job training, and other terms, conditions, and privileges of employment. The Department's policy and procedures address all aspects of the employment process.

Provisions

In accordance with the ADA, it is the policy of the Department of Public Safety to:

- Prohibit discrimination against employees and qualified applicants on the basis of a disability;

- Protect individuals from discrimination, coercion, intimidation, threats or interference when filing an ADA complaint or testifying about alleged ADA violations; and,
- Consider requests for and provide reasonable accommodation(s) to employees and qualified applicants consistent with the procedures delineated in this policy.

Requests for Accommodation

Requests for reasonable accommodation(s) shall be initiated in writing by the employee and submitted through the appropriate chain-of-command to the ADA Compliance Officer for final approval. All requests related to mandatory Criminal Justice Education and Training Standards Commission Basic Training requirements shall be initiated using Request for Reasonable Accommodation – Basic Training form. This form shall be forwarded directly to the Director of the Office of Staff Development and Training for consideration.

Relevant Forms

https://www.ncdps.gov/emp/Policies/HR/DPS_Req_for_Accommodation_111412.doc

Employment of Relatives

Location

http://www.oshr.nc.gov/Guide/Policies/2_Recruitment%20and%20Selection/Selection.pdf

Policy

Members of an immediate family shall not be employed within the same agency if such employment will result in one member supervising another member of the employee's immediate family, or if one member will occupy a position which has influence over another member's employment, promotion, salary administration or other related management or personnel considerations. The term immediate family includes wife, husband, mother, father, brother, sister, son, daughter, grandmother, grandfather, grandson and granddaughter. Also included is the step-, half- and in-law relationships based on the listing in this Paragraph. It also includes other people living in the same household, who share a relationship comparable to immediate family members, if either occupies a position which requires influence over the other's employment, promotion, salary administration or other related management or personnel considerations.

Secondary Employment

Location

https://www.ncdps.gov/emp/hr/DPS_Secondary_Employment%20_081512.pdf

Policy

It is the policy of the Department of Public Safety to consider employee requests for secondary employment consistent with the requirements established by the Office of State Personnel. The purpose of this policy is to ensure a consistent process for employees seeking approval for secondary employment and to serve as a tool for management in the consideration, approval and denial of requests for secondary employment.

Provisions

Secondary employment shall not be permitted when it may reasonably be expected that such employment would:

- Impair in any way the employee's ability to perform all required duties and responsibilities or any other duties and responsibilities as assigned;

- Impair in any way the employee's ability to make decisions and/or carry out the responsibilities of the employee's position in an objective fashion;
- Result either directly or indirectly in a conflict of interest with the primary employment. The term "conflict of interest" shall include, but is not limited to, those situations where the secondary employment would compromise the position of the employee or the Department with respect to firms or individuals doing business or desiring to do business with the Department.

Request Process

An employee planning to undertake secondary employment shall complete the Request for Secondary Employment Form and submit to the appropriate manager/supervisor for approval. The employee has the responsibility to notify his supervisor in writing of any major changes in the nature of the secondary employment. In addition, the employee must request approval for secondary employment in writing on an annual basis or whenever the employee changes position (i.e. lateral transfer, promotion, reassignment, etc.), whichever is sooner.

Employee requests for approval of secondary employment, accompanied by any required supporting information, are considered public information and may be released upon request.

Disciplinary Action and Revocation of Approval

Approval for secondary employment may be revoked at any time for any of the below listed reasons. These may also be grounds for disciplinary action up to and including dismissal.

- Failure to request and obtain approval of secondary employment initially, annually, and/or when the employee changes positions.
- The submission of falsified information to secure approval of secondary employment.
- Negative impact on the employee's work performance in his/her primary employment.
- The use of state resources or state time for the benefit of secondary employment.
- Failure to notify the immediate supervisor of any major change in the nature of the secondary employment.
- The issuance of disciplinary action shall result in a reevaluation of the employee's secondary employment relationship and may result in revocation of approval depending on the subject matter and severity of the disciplinary action.

Note: The secondary employment status for employees on leave, including injury leave, sick leave and leave of absence without pay, may be reevaluated by the manager or supervisor and temporarily revoked depending on the nature of their secondary employment.

Relevant Forms

https://www.ncdps.gov/emp/Forms/HR020Req4SecEm52013LC.pdf

SALARY ADJUSTMENT

Location

http://www.oshr.nc.gov/Guide/Policies/4_Salary%20Administration/Salary%20Range%20Revision.doc

http://www.oshr.nc.gov/Guide/Policies/4_Salary%20Administration/Special%20Salary%20Adjustments%20-%20Retention.doc

Purpose

The policies established for the administration of the state salary/compensation plan allow the Department of Public Safety to compensate its employees in a fair, consistent, and competitive manner. The effective use of salary administration policies promotes management's efforts to recruit and retain a competent workforce.

Provisions

Employees may be considered for salary adjustments based on the following:

Legislative Increase - Employees may be eligible for a Cost-of-Living (COLA) and/or Career Growth and Recognition Award (CGRA) each year. The State Legislature determines each year what, if any, legislative increase shall be granted.

Promotion-- A promotion is a change in status upward resulting from assignment to a position of higher paygrade or movement from one position to another with the same banded classification with a higher competency level or employee movement from one position to another with a different banded classification with a higher journey market rate

Reallocation – A reallocation is the assignment of a position to a different classification documented through data collection and analysis and approved by the Department's Human Resources Director and State Personnel Director. A position could be reallocated to the same, higher, or lower paygrade.

Range Revisions – Upward adjustment of entire pay range for a classification in response to labor market changes affecting recruitment and retention.

In-Range Adjustment - An in-range salary adjustment is defined as a change in an employee's salary within their current salary range. Under this policy permanent full-time, part-time, and time-limited employees may be considered for salary increases under the following categories:

- Recognizing job change and added responsibilities;
- Market Adjustments – responding to critical labor market conditions
- Equity Adjustments – improving internal equity relationships among employees performing related duties.

Special Entry Rates (SER's) and Special Minimum Rates (SMR's) – Upward adjustments in the hiring rates and minimum rates of classifications in response to labor market influences affecting recruitment and retention.

NOTE: Salary increases are not guaranteed to employees. All salary increase considerations must take into account availability of funds, internal equity, and employee performance.

JOB POSTINGS

Location

http://www.oshr.nc.gov/jobs/

Provisions

To apply for a vacant position, you must submit an electronic application through Office of State Human Resources online hiring system, NEOGOV. This link provides you with a step by step guide of creating, saving, and submitting an application for a vacant position.
https://www.governmentjobs.com/AgencyInstructions.cfm?&topheader=northcarolina

To receive credit for your work history and credentials, you must list the information on the application. If possible, address the knowledge, skills, abilities, experience, education, and selective criteria requested in the job posting.

Your application must be received by 5:00pm on the closing date to be eligible for consideration. Applications received after that date and time will not be considered.

AWARDS AND RECOGNITION

The State of North Carolina is noted for having loyal, efficient and dedicated employees who provide valuable services to every citizen of the State. North Carolina is proud of this tradition of public service and the competent, committed and dedicated employees who provide these services to and for the state. To express its appreciation to its valued employees, the State has adopted a policy of recognizing employees for committed dedicated and outstanding service. Thus, the State Employee Recognition Program is a significant component of the Human Resources System. Most awards and recognition programs are administered through the Office Of State Personnel and can be found here: http://www.oshr.nc.gov/Reward/recognize/recog.htm

Employee Appreciation Week

A week is annually proclaimed "State Employee Recognition Week" by the Governor of North Carolina in which State agencies and universities recognize their employees. A variety of activities determined by each individual agency/university occur during State Employee Recognition Week.
More information can be found here: http://www.oshr.nc.gov/Reward/recognize/emplweek.htm

Service Awards

The success of State government in providing services to meet the needs of North Carolina and its citizens is dependent on the efforts of State employees. These employees provide services in the fields of human services, education, transportation, crime control, law enforcement, and health, as well as many other special areas. It is, therefore, important for the State to have competent, committed and dedicated employees to provide effective and efficient services to and for the State.

The Service Awards Program recognizes employees' total State service in increments of five years through retirement. For each five-year increment, the program offers a collection of other items (as adopted by the program on a bi-annual basis) from which eligible recipients may select. The value of the award increases in proportion to tenure.

More information can be found here: http://www.oshr.nc.gov/Reward/recognize/service.htm

The Caswell Award

The Richard Caswell Award Program, awarded to state employees with 45 or more years of service, is designed to acknowledge and express appreciation for noteworthy extended dedicated service.
http://www.oshr.nc.gov/Reward/recognize/caswell.htm

The Memorial Program

The Memorial Program honors State employees who lose their lives while in the line of service for North Carolina.
http://www.oshr.nc.gov/Reward/recognize/memorial.htm

Governor's Award for Excellence

Governor's Awards for Excellence is the highest honor a State employee may receive. Recipients are honored during Excellence in State Government Week. The program is designed to acknowledge and express appreciation for outstanding accomplishments that do not fall entirely within the scope of normal duties, but are in the nature of a major contribution reflecting credit on the person and State service. The meritorious service or accomplishment is so singularly outstanding that special recognition is justified.
http://www.oshr.nc.gov/Reward/recognize/govaward.htm

Correction Enterprises Products

As a state employee, you may purchase items made and/or sold through Correction Enterprises. Correction Enterprises is a valuable program that teaches offenders personal responsibility and work skills to increase the likelihood of success upon release. Items available through Correction Enterprises include:

- Eyeglasses
- Furniture/ Reupholstery
- Matting and Framing
- Paint
- Cleaning Supplies

Additionally, as a DPS Employee, you may order shirts, bags, hats, and other items with the DPS Logo on them. For more information, go to https://www.correctionenterprises.com/products/retail/.

Separation

Should you choose to terminate your employment with the Department of Public Safety, please refer to the Separation information located on the DPS Website, For Employees, Human Resources.

Records and Release of Information

Personnel Records

Location

http://www.oshr.nc.gov/Guide/Policies/3_Employment%20and%20Records/Personnel%20Records.doc

Definition of Personnel File

For purposes of this policy, a personnel file consists of any employment-related or personal information gathered by the agency, the Retirement Systems Division of the Department of State Treasurer, or by the Office of State Personnel.

Employment-related information includes information related to an individual's:

- application;
- selection;
- promotion, demotion, transfer;
- salary and leave;
- contract for employment,
- benefits,
- performance evaluation; and
- suspension, disciplinary actions, and termination.

Personal information includes an individual's:

- home address,
- social security number,
- medical history,
- personal financial data,
- marital status, dependents and
- beneficiaries

Records Open for Inspection

The following information on each employee shall be maintained and open for inspection:

- Name
- Age
- Date of original employment or appointment to State service, the terms of any contract by which the employee is employed whether written or oral, past and current, to the extent that the agency has the written contract or a record of the oral contract in its possession.
- Current position
- Title
- Current salary (includes pay, benefits, incentives, bonuses, and deferred and all other forms of compensation)
- Date and amount of each increase or decrease in salary with that department, agency, institution, commission, or bureau
- Date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that department, agency, institution, commission, or bureau
- Date and general description of the reasons for each promotion with that department, agency, institution, commission or bureau
- Date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the department, agency, institution, commission, or bureau. If the disciplinary action was a dismissal, a copy of the written notice of the final decision of the head of the department setting forth the specific acts or omissions that are the basis of the dismissal
- The office or station to which the employee is currently assigned

Confidential Information

All employment-related and personal information in an employee's personnel file not specified under "Records Open for Inspection" is confidential.

All Information Available to Certain Persons

All information in an employee's personnel file shall be open for inspection and examination to the following persons:

- The supervisor of the employee: for this purpose, supervisor is any individual in the chain of administrative authority above a given State employee within a pertinent State agency.
- Members of the General Assembly (authority G.S. 120-19).
- A party by authority of a proper court order.
- An official of an agency of the Federal government, State government or any political subdivision thereof. An official is a person who has official or authorized duties in behalf of an agency; it does not imply a necessary level of duty or responsibility. Such an official may inspect any personnel records when such inspection is deemed by the department head to be necessary and essential to the pursuance of a proper function of said agency; provided, however, that such information shall not be divulged for purposes of assisting in a criminal prosecution or a tax investigation This right to access includes the circumstances where one State agency is

considering for employment a person who is or has been employed in another State agency; the head of the latter agency may release to an official of another agency information relative to the employee's job performance.

- The employee, or his/her properly authorized agent. The personnel file may be examined in its entirety except for:
  - Letters of reference solicited prior to employment
  - Information concerning a medical disability, mental or physical, that a prudent physician would not divulge to a patient. The medical record may be disclosed to a licensed physician designated in writing by the employee. When medical information is obtained on any employee, the physician should indicate any information that should not be disclosed to the employee.
- A party to a quasi-judicial hearing of a State agency, or a State agency which is conducting a quasi-judicial hearing, may have access to relevant material in personnel files and may introduce copies of such material or information based on such material as evidence in the hearing either upon consent of the employee, former employee, or applicant for employment or upon subpoena properly issued by the agency either upon request of a party or on its own motion.

Procedures for Release to Current or Former Employees

Employees and former employees may inspect and examine their personnel file during regular business hours provided they produce appropriate identification to the individual managing personnel records. Letters of reference solicited prior to employment, background checks, and recommendations for hire shall be removed from the employee's personnel file prior to the employee's review. Information concerning a medical disability, mental or physical, that a prudent physician would not divulge to a patient shall also be removed. There may be instances when files may not always be readily available for review. If the employee has been separated from the Department for more than five (5) years or if the employee transferred to another state agency after separating from the Department, the file may have to be requested from the State Records Center, etc. If so, it may take a few weeks before the file can be obtained.

Medical Records

All employee medical information is maintained separately from Personnel Records and is subject to different rules, regulations, and procedures. Any questions regarding medical information that may be considered part of a personnel file should be directed to the Human Resources Staff at your facility or at your Regional Employment Office.

PROFESSIONAL STANDARDS & CONDUCT

PERSONAL APPEARANCE

Location

https://www.ncdps.gov/emp/HR/DPS_Personal_Appearance_Policy_Approved_10112013.pdf

Policy

It is the expectation that each employee's dress, grooming, and personal hygiene within the Department of Public Safety should be appropriate to the work situation. Employees are expected at all times to present a professional, businesslike image. Departures from conventional dress or personal grooming and hygiene standards are not permitted. Therefore, this policy has been developed to provide guidelines to managers, supervisors and employees in the Department of Public Safety.

This policy covers all Department of Public Safety employees in non-uniformed positions and unless other standards (e.g., safety/security, injuries) apply.

Division, Section, or Work Location Standards

The nature of business in the operating Divisions, Sections or Work locations may result in additional, more specific dress code requirements. Each employee is responsible for complying with the Departmental requirements as well as any additional standard operating procedures in the Division, Section or work location.

Disciplinary Action

Depending on the nature of the attire and at the discretion of the manager, any employee who fails to meet the standards of this policy may be sent from the work unit to change their attire in order to meet the guidelines set forth in this policy and will be required to use his/her leave for the time away from the work unit. Upon a second incident of failure to comply with this policy, the employee shall be sent to change attire and may be subject to disciplinary action. Further instances of violating the policy will subject the employee to disciplinary action, up to and including dismissal

WORKPLACE VIOLENCE

Location

http://www.oshr.nc.gov/Guide/Policies/8_Workplace%20Environment%20and%20Health/Workkplace%20Violence.pdf

Purpose

The Department of Public Safety prohibits violence in the work place in order to provide a safe and healthy work environment for our employees. Workplace violence includes, but is not limited to, intimidation, threats, physical attack, domestic violence or property damage and includes acts of violence committed by State employees, clients, customers, relatives, acquaintances or strangers against State employees in the workplace.

Provisions

This policy applies to:

- All full-time and part-time employees with either a permanent, probationary, trainee, time-limited permanent or temporary appointment;
- All individuals employed as temporary employees through an employment agency; and,
- All individuals employed on a contractual basis with the Department of Public Safety

This policy applies to any incident occurring at the work site regardless of the original source of the incident and further applies to such employees while working in any location related to his/her employment.

This policy applies to acts of violence, intimidation, and inappropriate aggression occurring between employees or directed at employees by persons other than clients (i.e. inmates, probationers, etc.) of this agency. Offender related incidents are covered under other Division specific policies. The policy would apply, however, to incidents directed at employees by relatives or friends of offenders.

Procedure for Reporting Violence

All employees of the Department share in the responsibility of creating and maintaining a work environment free from all forms of threatening behaviors. Therefore, employees shall report any and all violations of this policy to his/her supervisor, another authorized supervisor, or the manager immediately but at least within 24 hours of the occurrence of the policy violation(s). The employee may report his/her concerns verbally or in writing, however, if the report is verbal the employee shall be advised to follow-up in writing.

Following a report of a policy violation, the employee shall be expected to cooperate fully with his/her supervisor and management during the internal investigation of the policy violation. An employee's failure to cooperate during an internal investigation or hindering an internal investigation shall be considered unacceptable personal conduct and may result in disciplinary action up to and including dismissal.

NOTE: In the event of an emergency representing a threat of immediate harm, local law enforcement personnel may be contacted.

Prohibited Actions

It shall be a violation of this policy to:

- Engage in workplace violence as defined in this policy;
- Fail to report a threat of workplace violence;
- Fail to investigate a report of a threat of workplace violence;
- Use or possess a weapon in violation of the Department of Public Safety policies and procedures or State law governing the use and possession of such weapons/firearms.

Violations of this policy shall be considered unacceptable personal conduct and shall result in discipline up to and including dismissal in accordance with the Department's Disciplinary Policy.

An employee may possess a weapon, provided possession:

- Is in compliance with North Carolina law; and
- Is authorized by the Secretary of the Department of Public Safety or designee; or,
- Is by an employee who is a certified law enforcement officer; or,
- Is required as a part of the employee's job duties with the Department of Public Safety; or,
- Is connected with training received by the employee in order to perform responsibilities of their job with the Department of Public Safety.

Employee Responsibility

- Report signs of potential and actual workplace violence.
- Cooperate with managers during an internal investigation into allegations of potential or actual workplace violence.

NOTE: All employees are encouraged to be alert to the possibility of violence on the part of employees, former employees, customers, and strangers. Any report of violence shall be handled in a confidential manner, with information released in accordance with State Policy and Procedures.

UNLAWFUL WORKPLACE HARASSMENT

Location

https://www.ncdps.gov/emp/Policies/EEO/UWHPCpolicy.pdf

Purpose

The Department of Public Safety is committed to providing a workplace environment that reasonably accommodates all qualified employees and agents of the Department so that they may fulfill their essential job functions and carry out the mission of the Department of Public Safety in a professional manner and to the best of their ability. All employees and agents of the Department are expected to act in a manner consistent with standards of personal conduct that contributes to a professional working environment in all departmental workplaces. The Department has ZERO TOLERANCE for violations of the unlawful workplace harassment policy and for retaliation.

(3) Steps to Understanding Unlawful Workplace Harassment (WPH):

1. Must be based on one or more of the following categories:

Category:	Definition:
Race	Includes all races (African American, Caucasian, Hispanic, etc.)
Color	Color of skin, including shade of skin within a racial group.
Religion	The worship and service of God or the supernatural; institutionalized system of religious attitudes, beliefs, and practices.
Sex	Gender. Includes sexual harassment and pregnancy but does NOT include sexual orientation or sexual preference.
Genetic Information	Includes information about an individual's genetic tests and the genetic tests of an individual's family members, as well as information about the manifestation of a disease or disorder in an individual's family medical history.
National Origin	National birth site.
Age	Persons 40 years old and over.
Disabling Condition	Physical or mental impairment which substantially limits one or more major life activity; a record of such an impairment; or a person regarded as having such an impairment.
Retaliation	Adverse treatment which occurs because of opposition to Unlawful Workplace Harassment.

2. Includes Unwelcomed or Unsolicited Speech or Conduct
   Unwelcomed or Unsolicited Speech/Conduct could include, but is not limited to, the following:
   a. Threats of physical violence or harm; displaying items that imply such a threat;
   b. Slurs, epithets, humiliating and derogatory jokes or comments concerning national origin, ethnicity, race, color, handicap, age, religion, or gender;
   c. Off-color, sexually suggestive, sexist or risqué email, stories, jokes, items, songs, personal accounts, or pictures;
   d. Questioning others about personal matters, including the nature, existence or details of relationship with spouses or lovers, sexual preferences or history;
   e. Physical touching other than handshakes, including rubbing, hugging, stroking, kissing, or grabbing any part of someone else's body or personal items on their body without their consent;
   f. Sexually aggressive conduct, including bumping, cornering, or touching in any manner the area around (or clothing on) someone's buttocks, upper leg, thigh, crotch, chest or breasts; and
   g. Sexual advances, requests for sexual favors, comments containing sexual language or references with sexual innuendo or implications, obscene gestures.

   NOTE: The department respects the constitutionally protected right of free speech. However, conduct or language that constitutes unlawful workplace harassment is NOT legally protected as free speech.

3. Creates one of the following:

   Hostile Work Environment (HWE) - An environment that a reasonable person would find hostile or abusive and one which the person who is the object of the harassment in fact perceives to be hostile and abusive. Hostile work environment is determined by looking at all of the circumstances, including the frequency of the allegedly harassing conduct, the severity of the conduct, and whether the conduct is physically threatening or humiliating, or unreasonably interferes with an employee's work performance.

   OR

   Constitutes Quid Pro Quo Sexual Harassment - Unwelcomed sexual advances, requests for sexual favors or other verbal or physical conduct when:
   - Submission to such conduct is made either explicitly or implicitly a term or condition of employment, OR
   - Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting the individual.

Immediate Duty to Report and ZERO Tolerance

Every employee has a duty to report immediately conduct which he or she reasonably believes constitutes unlawful workplace harassment. The Department has a ZERO TOLERANCE stance against workplace harassment. The failure of an employee to report conduct that reasonably appears to violate the unlawful workplace harassment policy negatively impacts the Department's ability to identify and eliminated unlawful workplace harassment. Therefore, it is imperative that every employee report conduct he or she reasonably believes may violate the unlawful workplace harassment policy.

Cultural Diversity

The Department recognizes that on occasion employees engage in conversation or conduct with (or within sight or hearing of) co-workers at the workplace concerning current affairs or other matters of personal interest. Additionally, the Department appreciates that the workplace brings together culturally diverse individuals who may have differing viewpoints and sensitivities. As a result, a conversation, music, conduct or a personal item that one individual finds enlightening or amusing may be offensive to someone else who sees, hears or is exposed to it.

The lawful balancing of free speech with the prohibitions on unlawful workplace harassment (and admonitions regarding professional conduct) does not guarantee that one will never be exposed in the workplace to any word or conduct that one may find personally offensive. Nevertheless, the Department desires for all employees to work in an environment that is reasonably culturally sensitive and one that enhances work performance. Therefore, employees are encouraged to promptly and politely advise an offending co-worker (or the co-worker's manager) when exposed to speech, conduct or any matter that is personally offensive, so that the situation may be resolved as quickly and amicably as possible. Managers are encouraged to consult as needed with the Department's Legal or EEO office when conflicts arise resulting from social and cultural diversity in the workplace.

Relationship between Employees

While the Department does not prohibit romantic or personal relationships between employees, supervisory level personnel are strongly discouraged from seeking to date, dating, or engaging in romantic or intimate personal relationships with subordinate level personnel. Such relationships have a significant potential for creating disruption at the work site, including generating complaints of favoritism and allegations of harassment by the subordinate if the relationship fails. Also, a relationship involving supervisory personnel and subordinate level personnel may create problems within the work unit by questioning the Department's philosophy of fair play in providing equal opportunity to all qualified individuals.

Advisory Note: The Department will not tolerate workplace disruption related to such relationships whether involving similarly ranked employees or supervisors and subordinates. Further, management may transfer or make other work assignment changes to minimize potential workplace disruption or liability.

Procedure for filing a Complaint

An applicant for State employment, probationary State employee, former probationary State employee, career State employee or former career State employee (hereafter referred to as complainant) alleging unlawful discrimination, harassment or retaliation shall first file a complaint with the agency Equal Employment Opportunity (EEO) Officer or Affirmative Action (AA) Officer within **15 calendar days** of the alleged discriminatory or retaliatory act that is the basis of the complaint. If the complainant alleges facts that would constitute unlawful discrimination, harassment, or retaliation as prohibited by law, the complaint will be investigated as a part of the EEO Informal Inquiry. The investigation will determine if the facts support a finding that there is reasonable cause to believe the alleged act rises to the level of unlawful discrimination, harassment or retaliation.

The agency has **45 calendar days** from receipt of the complaint to investigate and respond to the complainant, unless the complainant and the employer mutually agree in writing to extend the time

due to occurrences that are unavoidable or beyond the control of either party. Any extension shall not exceed 15 calendar days.

At the conclusion of the investigation, the agency shall communicate the outcome of the investigation in writing to the complainant. If there is reasonable cause to believe that unlawful discrimination, harassment, or retaliation occurred, management shall take appropriate action to resolve the matter. If the complaint is successfully resolved, the complainant will sign a letter of agreement with the agency detailing the terms of the resolution. The agency shall ensure that the terms of the agreement under the control of the agency are implemented. If the complaint is not successfully resolved, then the complainant may continue the process by filing a formal grievance within **15 calendar days** of the written response from the EEO Informal Inquiry.

In filing a formal grievance, the complainant may bypass the Informal Discussion with Supervisor process. At any point in the grievance process, the complainant/grievant has the right to bypass discussions with or review by the alleged offender. Time spent in the EEO Informal Inquiry is not a part of the formal internal grievance process.

External Filing of a Discrimination Charge
The complainant alleging unlawful discrimination, harassment or retaliation has the right, at any time, to bypass or discontinue the EEO Informal Inquiry or the formal internal grievance process and file a charge directly with the Equal Employment Opportunity Commission. The complainant may not, however, file a contested case with the Office of Administrative Hearing if the internal process has not been completed. The charge must be filed within **180 calendar days** of the alleged event or action that is the basis of the complaint.

Information about filing an EEOC charge can be found at:
http://www.eeoc.gov/employees/charge.cfm or by calling the EEOC regional offices located in Raleigh, Greensboro and Charlotte at 1-800-669-4000.

Information about filing through the Civil Rights Division of the Office of Administrative Hearings can be found at: http://www.ncoah.com/civil/ or by calling (919) 431-3036.

PRISON RAPE ELIMINATION ACT (PREA)

Location
https://www.ncdps.gov/Index2.cfm?a=000003,000008,002438

Policy
The Prison Rape Elimination Act (PREA) was enacted by Congress to address the problem of sexual abuse of persons in custody in all public and private correctional institutions. The North Carolina Department of Public Safety has adopted a standard of zero tolerance of sexual abuse and sexual harassment of offenders/juveniles by staff, other offenders/ juveniles, volunteers, contract agents, or individuals having custody of or responsibility for the safety, security, care and/or treatment of offenders/juveniles. As an employee of the NC Department of Public Safety it is your responsibility to do whatever is necessary to reduce incidents of sexual abuses and sexual harassment and respond appropriately when they do occur. This means reporting sexual incidents between offenders or juveniles and unprofessional relationships between an offender / juvenile and staff, volunteer, contractor, vendor or agent.

Provisions

In addition, pursuant to North Carolina General Statute 14-27.7(a), "If a person having custody of a victim of any age or a person who is an agent or employee of any person, or institution, whether such institution is private, charitable, or governmental, having custody of a victim of any age engages in vaginal intercourse or a sexual act with such victim, the defendant is guilty of a Class E felony. Consent is not a defense to a charge under this section."

As a result, if an employee engages in sexual relations with an offender or juvenile of the Department of Public Safety, the employee is subject to the department's disciplinary process as well as criminal prosecution. Failure to report knowledge of such behavior will subject an employee to disciplinary actions up to and including dismissal.

Definition of Sexual Abuse and Harassment:

Sexual Abuse of an inmate, detainee, or juvenile by a staff member, contractor, or volunteer includes any of the following acts, with/without consent of the inmate, detainee, or juvenile:

a. Contact between the mouth and any body part where the staff member, contractor, or volunteer has the intent to abuse, arouse, or gratify sexual desire; to include kissing.
b. Penetration of the anal or genital opening, however slight, by a hand, finger, object, or other instrument, that is unrelated to official duties or where the staff member, contractor, or volunteer has the intent to abuse, arouse, or gratify sexual desire;
c. Any other intentional contact, either directly or through the clothing, of or with the genitalia, anus, groin, breast, inner thigh, or the buttocks, that is unrelated to official duties or where the staff member, contractor, or volunteer has the intent to abuse, arouse, or gratify sexual desire;
d. Any display by a staff member, contractor, or volunteer of his or her uncovered genitalia, buttocks, or breast in the presence of an inmate, detainee, or juvenile, and
e. Any attempt, threat, or request by a staff member, contractor, or volunteer to engage in the activities described in paragraphs (a)-(e) of this section;
f. Voyeurism by a staff member, contractor, or volunteer: an invasion of privacy of an inmate, detainee, or resident by staff for reasons unrelated to official duties, such as peering at an inmate who is using a toilet in his or her cell to perform bodily functions; requiring an inmate to expose his or her buttocks, genitals, or breasts; or taking images of all or part of an inmate's naked body or of an inmate performing bodily functions.

Sexual Harassment:

a. Repeated and unwelcome sexual advances, requests for sexual favors, or verbal comments, gestures, or actions of a derogatory or offensive sexual nature by one inmate, detainee, or resident directed toward another; and

b. Repeated verbal comments or gestures of a sexual nature to an inmate, detainee, or resident by a staff member, contractor, or volunteer, including demeaning references to gender, sexually suggestive or derogatory comments about body or clothing, or obscene language or gestures.

Such acts are prohibited regardless of the offender's consent to the act. Such acts are prohibited and the NC General Statutes provide that offenders or juveniles are unable to consent to the act.

PERSONAL DEALINGS WITH OFFENDERS AND JUVENILES

DPS employees are required to maintain professional relationships with offenders in accordance with the laws, regulations, and general statutes governing such relationships. No employee shall

discuss his/her personal affairs, including work related issues, with an offender of this agency. In addition to not engaging in sexual abuse with offenders or juveniles, DPS employees shall not:

- Borrow anything from an offender or juvenile,
- Lend anything to an offender or juvenile,
- Accept any gift or personal service from an offender or juvenile, except as specified by law, regulation, or directive;
- Tip an offender or juvenile,
- Make gifts to or perform personal services for an offender or juvenile,
- Sell or give any offender any intoxicating drink, barbiturate or stimulant drug, or any narcotic, poison or poisonous substance, except upon the prescription of a physician,
- Convey to or from an offender or juvenile any letters or oral messages or any instrument or weapon by which to effect an escape, or that will aid in an abuse or riot,
- Trade with an offender or juvenile for clothing or stolen goods, or
- Sell to an offender or juvenile any article forbidden by Divisions
- Use abusive, indecent, or profane language in the presence of an offender or juvenile,
- Curse an offender or juvenile,
- Knowingly make or maintain contact with or in any way associate with a member of an offender's family or close associates (i.e. friends, etc.), unless his/her assigned duties require such an association or unless he/she has been specifically authorized to do so by the Division Director or designee,
- Knowingly enter into a business relationship with an offender/ juvenile or their family member or close associate.

This list is not an all-inclusive list. Any time an employee is in doubt about an issue regarding dealings with an offender(s) or juvenile(s), the employee has an obligation to ask questions of his/her supervisor or other appropriate manager for clarification.

Contacts with Offender's Family & Close Associates

If an employee is contacted by the family or close associate of an offender, the employee shall immediately report this fact to his/her supervisor.

Any employee who knowingly associates with an offender's family member or close associate in violation of this policy or fails to notify his/her supervisor that an offender's family member or close associate has contacted him/her shall be subject to disciplinary action up to and including dismissal.

Reporting Prior Relationships with Offenders

Relationships between an employee and an offender that existed prior to employment or incarceration, probation, etc. shall be reported by the employee to his/her supervisor as soon as the employee becomes aware that the individual is now an offender and will be/is assigned to the facility or office where the employee works or under the supervision of the employee. Situations where the offender will not be assigned to the facility where the employee works but where the employee will be placed on the offender's list of approved visitors shall also be reported to the supervisor with a written follow-up. Any other situation where an employee may knowingly initiate a relationship with an offender or an inmate shall be reported by the employee to his/her supervisor verbally with a written follow-up requesting approval of the relationship prior to the employee making contact with the offender or inmate. Employees shall be responsible for bringing the above-cited situations or any other situation that could be considered personal to the attention of their supervisor and when in doubt about a particular situation, the employee shall be responsible for asking questions to seek clarification of their obligations under policy.

Contacts with Juvenile's Family & Close Associates

Staff shall report any relationship between a staff member and a juvenile's family that existed prior to the juvenile's admission and/or commitment immediately to the supervisor.

Staff shall not make or have contact with any member of a juvenile's family, unless assigned duties require such an association, or unless specifically authorized by the Facility Director. This includes any visits with the juvenile's family while off-duty.

A staff member shall immediately report any contact with a juvenile's family member that occurs outside of the professional responsibilities to his supervisor.

Limits to Cross Gender Viewing and Searches

The NC Department of Public Safety is required under the national standards to Prevent, Detect, and Respond to Prison Rape under the Prison Rape Elimination Act (PREA) Standards §115.15 to implement limits to cross-gender viewing and searches. If you are hired to work in a facility which houses inmates, offenders or juveniles, this standard will require the following:

a. Shall not conduct cross-gender strip searches or cross-gender visual body cavity searches (meaning a search of the anal or genital opening) except in exigent circumstances or when performed by medical practitioners.
b. Shall not permit cross-gender pat-down searches of female persons in confinements, absent exigent circumstances. Facilities shall not restrict female persons in confinements' access to regularly available programming or other out-of-cell opportunities in order to comply with this provision.
c. Shall document all cross-gender strip searches and cross-gender visual body cavity searches, and shall document all cross-gender pat-down searches of female persons in confinements.
d. Shall implement policies and procedures that enable persons in confinements to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks. Such policies and procedures shall require staff of the opposite gender to announce their presence when entering a housing unit.
e. Shall not search or physically examine a transgender or intersex persons in confinement or under supervision for the sole purpose of determining the person's genital status. If the person's genital status is unknown, it may be determined during conversations with the person's, by reviewing medical records, or, if necessary, by learning that information as part of a broader medical examination conducted in private by a medical practitioner.
f. Shall conduct cross-gender pat-down searches, and searches of transgender and intersex persons in confinements, in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs.

Hiring and Promotion Prohibition

NCDPS is prohibited from hiring and promoting persons who may have contact with offenders or juveniles under its supervision. If you have ever engaged in:

a. Sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution or
b. Been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, or coercion, or if the victim did not consent or was unable to consent or refuse, or
c. Administratively adjudicated to have engaged in the activities described, you MUST report this to your supervisor immediately.

Failure to report may result in disciplinary action up to and including dismissal and may result in criminal charges against the employee.

Disciplinary Action

Violations of this policy may result in disciplinary action up to and including dismissal and may result in criminal charges against the employee.

LIMITATION OF POLITICAL ACTIVITY

Location

http://www.oshr.nc.gov/Guide/Policies/3_Employment%20and%20Records/Limitation%20of%20Political%20Activity.pdf

Policy

G.S. 126, Article (5) clearly delineates what State employees may and may not do relevant to political activity during regularly scheduled working hours. No State employee subject to the Personnel Act or temporary State employee shall:

- Take any active part in managing a campaign, or campaign for political office or otherwise engage in political activity while on duty or within any period of time during which he/she is expected to perform services for which he/she receives compensation from the State;
- Otherwise use the authority of his position, or utilize State funds, supplies or vehicles to secure support for or oppose any candidate, party, or issue in an election involving candidates for office or party nominations, or affect the results thereof.

No head of any State department, agency, or institution or other State employee exercising supervisory authority shall make, issue, or enforce any rule or policy the effect of which is to interfere with the right of any State employee as an individual to engage in political activity while not on duty or at times during which he/she is not performing services for which he receives compensation from the State. A State employee who is or may be expected to perform his/her duties on a 24 hour per day basis shall not be prevented from engaging in political activity except during regularly scheduled working hours or at other times when he/she is actually performing the duties of his office. The willful violation of this subdivision shall be a misdemeanor.

No State employee or official shall use any promise of reward or threat of loss to encourage or coerce any employee subject to the Personnel Act to support or contribute to any political issuer, candidate, or party. Any State employee subject to the Personnel Act, probationary State employee, or temporary State employee who without probable cause falsely accuses a State employee or a person appointed to State Office of violating this section shall be subject to disciplinary action up to and including dismissal. Failure to comply with G.S. 126, Article 5 is grounds for disciplinary action which, in cases of deliberate or repeated violation, may include dismissal or removal from office.

Notification Procedure

The employee shall, prior to filing for an elective office, notify the appropriate manager in writing of an intent to seek an elective office. The manager shall review the employee's notification to determine if the elective office would create any conflict of interest for the employee and/or the Department and if the elective office would be full-time, part-time, or time-limited. The employee shall be notified in writing of approval or disapproval.

Appeal Process

Should an employee disagree with the approving managers final decision, the employee may appeal the decision to the Secretary of the Department by filing his/her grievance with the Personnel Director, 214 W. Jones Street, MSC 4203, Raleigh, NC 27699-4203 within (15) calendar days of receipt of the manager's decision.

Reporting Theft or Misuse of State Property

G.S. 114-15.1 requires that the Department Head report any information or evidence of an attempted arson, or arson, damage of, theft from, or theft of, or embezzlement from, or embezzlement of, or misuse of, any state-owned personal property, buildings or other real property to the State Bureau of Investigation (SBI) within (10) days of receipt of such information. As a result, all employees are required to adhere to the following steps when reporting information:

1. All information shall be reported to the supervisor/manager immediately or no later than 72 hours after discovery.
2. The supervisor/manager shall immediately report this information to the Facility/Section Head.
3. The Facility/Section Head shall complete a State Property Incident Report (SBI-78 Form) in entirety and email it to the Director of Internal Audit as soon as possible. The Facility/Section Head shall report suspected criminal activity concerning the misuse of state property, such as suspected theft of state property, to local law enforcement authorities immediately.
4. Internal Audit will report the incident to the SBI.

All employees shall cooperate fully with SBI officials during an investigation. Failure to comply with these procedures or knowingly reporting false information shall be considered unacceptable personal conduct and may result in disciplinary action up to and including dismissal.

Alcohol and Drug Free Workplace

Executive Leadership is currently reviewing and finalizing a DPS Policy regarding Alcohol and Drug use. Until that agency wide policy is signed in to effect, the division policies that are currently in place continue to apply related to alcohol and drug use. If you have any questions regarding alcohol and drug use, you should discuss it with your supervisor or hr staff.

Employee Gift Ban

Location

http://www.doa.state.nc.us/pandc/documents/ExecutiveOrder24GiftBan.pdf
http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_133/GS_133-32.html

Policy

Executive Order 24 that was signed by Governor Perdue extends the provisions of General Statute 133-32 to all employees of the State of NC.

Provisions

As an employee, you are not permitted to accept gifts or favors from contractors working or seeking to work with the Department of Public Safety. Further, a violation of North Carolina General Statute §133-32 is a Class 1 misdemeanor and failure to abide by Executive Order 24 and North Carolina General Statute §133-32 will be considered unacceptable personal conduct and grounds for disciplinary action, up to and including dismissal.

Criminal Convictions with Firearms

Location

http://www.justice.gov/usao/eousa/foia_reading_room/usam/title9/crm01117.htm
http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_14/GS_14-415.1.html

Policy

The Department of Public Safety must adhere to the federal "Domestic Violence Offender Gun Ban" at 18 U.S.C. § 922(g)(9) and the North Carolina Felony Firearms Act at N.C.G.S. §14-415.1. The federal statute prohibits the possession or use of weapons by persons convicted of misdemeanors involving domestic violence and the state law prevents gun possession or use by persons convicted of a felony.

Provisions

To determine whether a misdemeanor conviction triggers the firearm prohibitions, the following definition is given in the statue at 18 U.S.C. § 921(a)(33)(A)(ii): "the term 'misdemeanor crime of domestic violence' means an offense that: (i) is a misdemeanor under federal or state law; and (ii) has, as an element, the use or attempted use of physical force, or the threatened use of a deadly weapon, committed by a current or former spouse, parent, or guardian of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse, parent, or guardian, or by a person similarly situated to a spouse, parent, or guardian of the victim."

As a result of these prohibitions, the Department may not hire individuals subject to these prohibitions into positions that in the course of duty may handle firearms.

Employees are required to report criminal offenses. If subject to these prohibitions, the prohibition may result in a re-evaluation of the employee's employment status.

Criminal Offenses and Motor Vehicle Offenses

Policy

All employees, including those employees in other pay status (i.e. exhausting vacation leave, sick leave, military leave, etc.) or on leave without pay, are required to report to his/her supervisor any civil or criminal charge(s) for which they receive formal notice, excluding minor traffic non-moving violations where the maximum possible punishment is a fine and no personal injury is involved. This applies to offenses occurring in North Carolina and any other jurisdiction, foreign or domestic, whether federal, state, territory, commonwealth, or other governmental entity. Formal notice includes, but is not limited to:

1. Arrest
2. Detention
3. Citation
4. Criminal summons
5. Civil summons
6. Permanent restraining order
7. Warrant for arrest
8. Order for arrest
9. Bill of information
10. Notice from DMV
11. Order to Show Cause

In addition, all employees are required to report to his/her supervisor any motor vehicle offense which could result in immediate suspension or revocation of the employee's driver's license if convicted of the charged offense, either individually or in combination with previous or other violations. Examples of violations that must be reported include:

- Driving While Impaired (DWI)
- Driving Under the Influence (DUI)

- Speeding over 55 mph and over 15 mph

NOTE: This is not an all-inclusive list. When employees have questions about what should be reported, they have a duty to seek clarification from the work unit supervisor/manager.

Notification Process:

Once charged, an employee must report the offense to their supervisor/manager immediately upon returning to work or within 24 hours, whichever is sooner. Failure to notify your supervisor of an arrest or criminal charge in accordance to this policy is considered unacceptable personal conduct and may result in disciplinary action up to and including dismissal. In addition, employees in positions that may handle firearms are subject to the federal "Domestic Violence Offender Gun Ban" at 18 U.S.C. § 922(g)(9) and the North Carolina Felony Firearms Act at N.C.G.S. §14-415.1. Criminal offenses that relate to these prohibitions may result in employee termination. Refer to the section in the Orientation Manual on "Criminal Convictions with Firearms Prohibitions" for more information.

Once the employee has gone to court, the employee shall submit a certified true copy of the court disposition (with original raised seal/stamp from the Clerk of Courts Office) to their supervisor/manager within 48 hours of the disposition.

Disciplinary Action

Disciplinary action may be issued based on the documented behavior and is separate and apart from the criminal proceedings. Discipline may be issued at the time of being charged or may be issued after the court disposition and is normally considered on a case-by-case basis. If you are a certified officer, it is important to be aware that any disciplinary action that is initiated by the Department does not preclude any action that may be taken by the Criminal Justice Standards Division.

Criminal Offenses for Certified Officers

Policy

Arrests and criminal offenses of certified officers are required to be reported to the Criminal Justice Standards Division. Work units report certified officer's criminal offenses to DPS Personnel and DPS Personnel reports these offenses to the Criminal Justice Standards Division.

After the employee has gone to court and a court disposition has been issued, the work unit will report the disposition to DPS Personnel and DPS Personnel will report the disposition to the Criminal Justice Standards Division. If a certified officer is convicted of a misdemeanor offense while employed as a criminal justice officer, their Criminal Justice certification may be suspended for three (3) years, based on the decision of the Criminal Justice Standards Division. Commission or conviction of a felony while employed as a criminal justice officer will result in the suspension of Criminal Justice certification.

Please note that according to the Criminal Justice Administrative Code, "Convicted" or "Conviction" means and includes:

- Verdict or Finding of Guilty or
- Plea of Guilty or
- Plea of No Contest, Nolo Contendere, or the Equivalent

In addition, if an employee is charged with an offense but it is dismissed in court, the charge still has to be reported to the Criminal Justice Standards Division. Criminal Justice will investigate the

offense and if they find that there is reason to believe that the employee committed the offense, regardless of the court disposition, they still may revoke certification.

NOTE: Although DPS Personnel notifies the Criminal Justice Standards Division of certified employee's criminal offenses, ultimately, it is the certified officer's obligation and responsibility to ensure that criminal offenses are reported to Criminal Justice Standards Division.

Domestic Violence Orders

Policy

All employees are required to report within 24 hours to his/her supervisor any domestic violence order. The employee shall be reassigned to a post not requiring the use of a firearm. The granting of any temporary reassignment of duty is subject to the availability of appropriate positions and may be to a different division. Should the order exceed a 12-month period, employment status shall be reevaluated.

NOTE: Employees in positions that may handle firearms are subject to the federal "Domestic Violence Offender Gun Ban" at 18 U.S.C. § 922(g)(9). Criminal offenses that relate to this may result in employee termination. Refer to the section in the Orientation Manual on "Criminal Convictions with Firearms Prohibitions" for more information.

Providing Cell Phones to Inmates

Effective December 1, 2014 any person who knowingly gives or sells a mobile telephone or other wireless communications device, or a component of one of those devices, to an inmate in the custody of the Division of Adult Correction of the Department of Public Safety or to an inmate in the custody of a local confinement facility, or any person who knowingly gives or sells any such device or component to a person who is not an inmate for delivery to an inmate, is guilty of a Class H felony.

State Vehicle Use

Location

http://www.ncmotorfleet.com/documents/mfmregs.pdf

Provisions

Below is a summary of the provisions set forth by the Department of Administration, Motor Fleet Management division.

State-owned passenger-carrying vehicles shall be driven only by state employees and used for official state business only. It shall be unlawful for any state employee to use a state-owned vehicle for any private purpose whatsoever.

Parking citations are the responsibility of the assigned driver or the driver's agency at the time of issue. If a parking citation is not paid within a two-week period, a notice is sent to MFM and forwarded to the assigned driver. Excessive unpaid parking citations may constitute vehicle abuse.

It is the responsibility of the individual driver to observe all state motor vehicle laws and ordinances. All violations and fines shall be the responsibility of the driver or agency. Abuse of motor vehicle laws and ordinances may result in denial of the use of a State vehicle.

The possession of firearms and weapons, concealed or otherwise, is prohibited in state-owned vehicles except by sworn law enforcement officers.

Under no circumstances may a state employee operate a state-owned vehicle while under the influence of intoxicating beverages, drugs or substances, or transport (except in performance of law enforcement duties) these items in a state owned vehicle.

Hitchhikers are not allowed to ride in any state-owned vehicle.

Spouses and children are permitted to accompany state employees on trips in state-owned vehicles when sufficient space is available and when all travel is strictly for official state business. Family pets are not permitted in state-owned vehicles. Leader dogs for blind persons and other officially certified assistance dogs are excluded from this restriction.

When an employee is required to use a state-owned vehicle for travel while away from his/her work station, the vehicle may be used for travel to obtain meals and other necessities, but not for entertainment or any personal purposes. A state employee may not use a state-owned vehicle for obtaining meals and other necessities unless he/she is in travel status, approved commuter status, or approved office-in-home.

In accordance with the General Statutes of North Carolina and Motor Fleet Management regulations, the driver and all passengers must wear seat belts (lap and shoulder belt even if the vehicle is equipped with an air bag) whenever the vehicle is in motion. The General Statutes of North Carolina also requires children to be protected by safety restraints. All children less than age 8 or who weigh less than 80 pounds, must be in a child restraint system that meet federal standards when riding in passenger vehicles. The law covers all persons, not just parents, who operate a vehicle in which a child is a passenger.

In accordance with North Carolina General Statute; GS130A-493, smoking is prohibited in state-owned vehicles.

In according with North Carolina General Statute GS20-137.3(a)(1), using additional technology (ie, text messaging, etc.) while operating a vehicle. It is unlawful.

TRAVEL POLICY

Location

https://www.ncdps.gov/emp/Policies/Controller/DPSTravelPolicywithnewrates01282015.pdf

Provisions

This policy incorporates state and federal regulations related to travel reimbursement rates and subsistence allowances and shall be consistently applied in conjunction with the Office of State Budget and Management (OSBM) policies. As travel regulations change depending on budgetary restrictions, any employee who may need to travel for work related reasons should consult with their supervisor and the link above for current travel requirements, processes, forms, and restrictions.

INTERACTING WITH THE MEDIA

Responding to news media inquiries promptly is good customer service. In order to provide accurate and comprehensive response, all media inquiries should be handled through coordination with the DPS Communications Office. DPS staff should always inform their supervisor of media inquiries and work with the appropriate communications officer before responding.

Performance Management

Performance Management

The Performance Management program recognizes all employees as essential to the department's overall success. This success is achieved by fostering a work environment in which employees are empowered to perform to the best of their abilities. To facilitate such an environment, DPS is committed to a performance management system that links individual and group objectives to our organizational mission and goals. It is a collaborative, on-going process between a supervisor and an employee to plan for, monitor, develop, and evaluate an employee's work

Plan

Set goals and expectations
Workplan discussion

Review and evaluate performance

Appraise

Monitor and track progress.
Coaching and feedback

Manage

Three Phases of Performance Management

Planning: Setting performance expectations

- Supervisor and employee establish performance goals and expectations that align with and support the organizational goals.
- Performance standards and measures shall be identified to help determine how success will be accomplished.
- Development goals are set to ensure performance growth and success.

Managing: Maintaining ongoing performance dialogue to keep performance on track

- Employees are responsible for meeting or exceeding performance expectations.
- Supervisors are expected to observe performance, monitor progress and provide feedback.
- Performance progress is tracked on a performance tracking log.
- Employees are encouraged to track their own progress toward their goals.

Appraising: Evaluating and reviewing actual results

- The supervisor reviews, evaluates and fairly rates the employee's actual performance results for the entire performance cycle.
- Employees are encouraged to complete a self-evaluation of their accomplishments relative to their performance expectations and goals.

- Plan for the next performance cycle.

Each phase of the performance management process is equally important and dependent on the next to be successful. The goal of our performance management process is to bring out the best in our employees and demonstrate our commitment to the organization's success and our employee's professional growth.

5 Rating Scale

The Department of Public Safety currently uses the North Carolina five (5) level performance rating scale. The five rating levels are:

- Outstanding (O)
- Very Good (VG)
- Good (G)
- Below Good (BG)
- Unsatisfactory (U)

Changes to the Performance Management System

Effective July 1, 2015 the State of North Carolina will begin a new Performance Management System called Valuing Individual Performance (VIP). More information can be found on this new system at: http://www.oshr.nc.gov/Guide/PerformanceMgmt/index.htm

Below is a summary of the changes to the new process:

1. The rating scale will now be a 3-level rating scale:
    - Exceeds Expectations
    - Meets Expectations
    - Does not Meet Expectations
2. A Performance Management Technology tool will be used for the administration of the Performance Management Process.
3. Every employee's work plan will be comprised of 3-5 goals related to their job and position responsibilities. There will also be specific tasks documented related to the employee's goals. Goals will comprise 50% of the overall performance rating.
4. Every employee will have values as part of their work plan. 2-4 values will be determined and assigned by the Office of State Human Resources to all state employees. Up to 5 additional values will be assigned by DPS executive leadership to all DPS Employees. These values will comprise 50% of the overall annual performance rating.
5. The performance cycle will begin on July 1 and end June 30 of each year, beginning July 1, 2015.

More information is being distributed through DPS Human Resources as this project is being implemented.

Note:

Teachers utilize the Local Education Agency (LEA) work plan and Performance Management System.

Disciplinary Action and Grievances

Disciplinary Action and Grievances

Location

https://www.ncdps.gov/emp/HR/AdministrativeMemos/DPS_Disciplinary_Policy_010115.pdf

Policy

Any employee, regardless of occupation, position, or profession may be disciplined in accordance with this policy by the Commissioner or designee. The Department of Public Safety (DPS) Disciplinary Process ensures all employees receive fair and consistent treatment relative to addressing job performance and personal conduct issues in the workplace. Adherence to this policy and the procedures will assure compliance with current State Human Resources Commission (SHRC) rules, Office of State Human Resource (OSHR) policies and further ensure that disciplinary actions are administered in a fair and equitable manner.

Covered Employees

This policy applies to State employees who have career status as defined by N.C.G.S. § 126-1.1.

- Is employed in a permanent position; and
- Has been continuously employed by the State of North Carolina or a local entity as provided in N.C.G.S. §126-5(a)(2) in a position subject to the State Human Resources Act for the immediate 24 preceding months.

This policy does not apply to the following employees:

- Non-career state employees.
- Employees occupying positions that have been designated as exempt policymaking, exempt managerial, confidential assistant/secretary or as a chief deputy.
- Employees who are subject to N.C. General Statute 115C-325, System of employment for public school teachers.

Reasons for Discipline

Just cause for disciplinary action falls into two categories:

- Discipline issued based on unsatisfactory or grossly inefficient job performance, and
- Discipline issued based on unacceptable personal conduct.

Unsatisfactory Job Performance

Work-related performance that fails to satisfactorily meet job requirements as set out in the relevant job description, work plan, or as directed by the management of the work unit or DPS.

Grossly Inefficient Job Performance

Failure to satisfactorily perform job requirements as defined in the job description, work plan, or as directed by the management of the work unit or DPS; and, the act or failure to act causes or results in:

- Death or serious bodily injury or creates conditions that increase the chance for death or serious bodily injury to an employee(s) or to members of the public or to a person(s) for whom the employee has responsibility; or,
- The loss of or damage to State property or funds that results in a serious adverse impact on the State and/or work unit.

Unacceptable Personal Conduct

All employees of the DPS shall maintain personal conduct of an acceptable standard as an employee and member of the community. Unacceptable personal conduct includes, but is not limited to:

- Conduct for which no reasonable person should expect to receive prior warning; or
- Job-related conduct which constitutes a violation of State or federal law; or
- Conviction of a felony or an offense involving moral turpitude that is detrimental to or impacts the employee's service to the State; or
- The willful violation of known or written work rules; or
- Conduct unbecoming a State employee that is detrimental to State service; or
- The abuse of client(s), patient(s), student(s) or person(s) over whom the employee has charge or to whom the employee has a responsibility or of an animal owned by the State; or
- Absence from work after all authorized leave credits and benefits have been exhausted; or
- Falsification of a State application or in other employment documentation.

The categories are not mutually exclusive. Some actions by employees may fall into both categories depending upon the facts of each case. No disciplinary action shall be invalid solely because the disciplinary action is labeled incorrectly.

Types of Disciplinary Action

When just cause exists, the disciplinary actions that can be issued are:

- Written Warning
- Disciplinary Suspension without Pay
- Demotion or
- Dismissal

Requirements for Disciplinary Action for Unsatisfactory Job Performance

Before disciplinary action for unsatisfactory job performance may be issued, the following must occur for each respective type of disciplinary action. The employee must have:

Written Warning:

- a current unresolved incident of unsatisfactory job performance.

Disciplinary Suspension without Pay:

- a current unresolved incident of unsatisfactory job performance, and
- at least one (1) active disciplinary action, and
- a Pre-Disciplinary Conference.

Demotion:

- a current unresolved incident of unsatisfactory job performance, and
- at least one (1) active disciplinary action, and
- a Pre-Disciplinary Conference.

Dismissal:

- a current unresolved incident of unsatisfactory job performance and
- at least two (2) active disciplinary actions, and
- a Pre-Disciplinary Conference.

Requirements for Disciplinary Action for Grossly Inefficient Job Performance

No prior discipline is required to suspend, demote or dismiss an employee for grossly inefficient job performance. Before an employee may be suspended, demoted or dismissed for grossly inefficient job performance, the following must occur:

- a current unresolved incident of grossly inefficient job performance and
- a Pre-Disciplinary Conference.

Requirements for Disciplinary Action for Unacceptable Personal Conduct

Before disciplinary action for unacceptable personal conduct may be issued, the following must occur for each respective type of disciplinary action:

Written Warning:

- Current unresolved incident of unacceptable personal conduct.

Disciplinary Suspension without Pay:

- Current unresolved incident of unacceptable personal conduct, and
- Pre-Disciplinary Conference.

Demotion:

- Current unresolved incident of unacceptable personal conduct and
- Pre-Disciplinary Conference.

Dismissal:

- Current unresolved incident of unacceptable personal conduct, and
- Pre-Disciplinary Conference.

Investigatory Placement

An employee may be placed on Investigatory Leave with Pay (ILWP) per approval from the Human Resources Director or designee(s), or in appropriate circumstances, without prior approval, but with notification to the OSHR Director or designee the following business day. Investigatory leave shall be with pay (i.e. no charge to the employee's accrued leave) and may be used to temporarily remove an employee from work status. Investigatory leave does not constitute a disciplinary action, and therefore, may not be appealed.

An employee may be placed on ILWP only:

- To investigate allegations of performance or conduct deficiencies that would constitute just cause for disciplinary action;
- To provide time within which to schedule and conduct a pre-disciplinary conference; or
- To avoid disruption of the work place and/or to protect the safety of persons or property.

Temporary Placement

In lieu of ILWP, a manager may consider temporarily placing an employee within the work unit or to another work unit if applicable and based on business need. Employees temporarily placed shall be given written notification of the temporary placement when the placement results in a change of work locations or if there are any specific instructions. Such actions are for the benefit of the employee(s) and DPS to ensure a fair and objective investigation. For that reason, temporary placements are not grievable and do not carry appeal rights.

Inactive Disciplinary Action

A disciplinary action becomes inactive, i.e., cannot be counted towards the number of prior disciplinary actions that must be issued before further disciplinary action can be issued for unsatisfactory job performance when:

- The manager or supervisor notes in the employee's personnel file that the reason(s) for the disciplinary action has/have been resolved or corrected; or
- For performance-related disciplinary actions, the performance evaluation process documents a summary rating that reflects an acceptable level of performance overall and satisfactory performance in the area cited in the warning or other disciplinary action, or
- Eighteen (18) months have passed since issuance of the warning or disciplinary action and the employee does not have another active warning or disciplinary action occurring within the last eighteen (18) months. If a warning, demotion or disciplinary suspension occurs within the eighteen (18) months of prior disciplinary warnings, demotions or suspensions, the disciplinary action will remain active until the end date of the most recent disciplinary action

Right to Appeal

All employees who have attained career status as that term is defined in law may have appeal rights as allowed by the State of North Carolina Employee Grievance Policy. An employee as identified above may appeal the following disciplinary actions:

- Demotion;
- Disciplinary Suspension without Pay;
- Dismissal.

The time for filing an appeal does not start until the employee receives a written notice of any applicable appeal rights. If the employee fails to timely appeal the disciplinary action, the employee is deemed to have waived the right to appeal the disciplinary action.

Refer to the State of North Carolina Employee Grievance Policy for further information.
http://www.oshr.nc.gov/Guide/Policies/7_Discipline,%20Appeals%20and%20Grievances/Employee%20Grievance%20Policy.pdf

Transfer of Disciplinary Action

When an employee transfers to or from another department or unit, any active disciplinary actions will transfer with the personnel file of the employee and will remain in full force at the new work unit until removed by the new employer or made inactive by operation of this policy.

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GRIEVANCES

Locations:
http://www.oshr.nc.gov/Guide/Policies/7_Discipline,%20Appeals%20and%20Grievances/Employee%20Appeals%20and%20Grievances.pdf

Forms:
https://www.ncdps.gov/emp/Forms/HR555Step120140123LC(2)Rights.pdf
https://www.ncdps.gov/emp/Forms/HR556Step220140123LC(2)Rights.pdf
https://www.ncdps.gov/emp/Forms/HR556aWitness20140117LCRights.pdf

Purpose
It is the policy of North Carolina State government that a grievance process exist to allow for prompt, fair and orderly resolution of grievances arising out of employment.

Grievable Issues
Examples of issues that may be grieved are listed below:

- Dismissal, demotion or suspension without pay for lack of just cause
- Denial of promotion due to failure to post
- Failure to give priority reemployment rights after a reduction in force
- Failure to give employees in exempt policy-making or exempt managerial status priority reemployment consideration or reassignment after removal from an exempt position
- Denial of request to remove inaccurate or misleading information from personnel file
- Denial of veteran's preference regarding reduction in force, and other employment events including subsequent hirings, promotions, reassignments, and horizontal transfers
- Any retaliatory personnel action for reporting improper government activities
- Violation of the Fair Labor Standards Act(FLSA), Age Discrimination in Employment Act (ADEA), Family and Medical Leave Act (FMLA), or Americans with Disabilities Act (ADA)
- Unlawful workplace harassment based upon age, sex, race, color, national origin, religion, or disabling condition, including both quid pro quo and hostile work environment.

For a complete list of grievable issues, please use the policy link above.

Grievance Process for all Grievable Issues
A grievance or compliant must be filed within 15 calendar days of the alleged event or action that is the basis of the grievance. Unlawful discrimination, harassment or retaliation complaints must be filed under the Equal Employment Opportunity (EEO) Informal Inquiry process before proceeding to the formal internal grievance process.

All other grievable issues must first be discussed with the immediate or other appropriate supervisor in the employee's chain of command prior to filing a formal grievance with the exception of disciplinary action grievances.

Disciplinary action grievances shall proceed directly to the formal internal grievance process.

Informal Discussion with Supervisor
This informal process must be completed within the 15 calendar day timeframe, unless the employee and the agency mutually agree in writing to extend the time due to occurrences that are unavoidable or beyond the control of either party. The employee must clearly declare to the supervisor or other appropriate personnel that the Informal Discussion request is regarding an

alleged event or action that is the basis of a potential grievance. The supervisor or other appropriate personnel shall confirm the intention of the requested Informal Discussion with the employee before beginning discussions. The outcome of the informal discussion must be communicated to the employee and Human Resources by the supervisor in writing. If the informal discussion is unsuccessful in resolving the grievable issue, the employee may choose to file a formal grievance. If no written response is provided by the supervisor within the 15 calendar day timeframe, the employee may proceed by filing a formal grievance. Time spent in the Informal Discussion with Supervisor is not a part of the formal internal grievance process.

Formal Grievance Process

The employee must begin the formal internal grievance process by filing a grievance within the agency in accordance with the Employee Grievance Policy. The employee must complete any of the required informal processes and file within 15 calendar days of the alleged event or action that is the basis of the grievance. Mediation is Step 1 in the internal grievance process.

Step 1: Mediation

Mediation is the process in which a grievant and an agency respondent use a neutral third party(s) to attempt to resolve a grievance. Mediation provides the grievant and the agency respondent an opportunity to openly discuss the grievance in a neutral environment with the goal of reaching a mutually acceptable resolution. If mediation does not result in a resolution at Step 1, the grievant is entitled to proceed to Step 2 of the internal grievance process.

Step 2: Employee Advisory Committee

Human Resources will notify the grievant of the opportunity to present the grievance orally to a reviewer(s) outside of the grievant's chain of command, e.g., Employee Advisory Committee. The hearing process shall be concluded within 35 calendar days of filing Step 2 of the grievance process unless the grievant and the agency mutually agree to extend the time due to occurrences that are unavoidable or beyond the control of either party. The agency shall issue the Final Agency Decision to the grievant within 5 calendar days of receipt of the Office of State Human Resources review of the proposed recommendation. The Final Agency Decision shall be issued in writing within 90 calendar days of the initial filing of the grievance. The FAD shall include information about applicable appeal rights. If the FAD is not issued to the grievant within the 90 calendar day timeframe, the grievant may file a Petition for a Contested Case Hearing with Office of Administrative Hearings in cases where the grievable issue may be appealed.

Appeal to Office of Administrative Hearings

If the grievant has completed the internal grievance process and is not satisfied with the Final Agency Decision, the grievant may file a Petition for Contested Case Hearing in the Office of Administrative Hearings in cases where the grievable issue may be appealed. An Administrative Law Judge will conduct a hearing and render a Final Decision. A Petition for Contested Case Hearing must be filed within 30 calendar days after the grievant receives the FAD. The grievant may file the appeal at:

Office of Administrative Hearings
1711 New Hope Church Road (Physical Address)
Raleigh, NC 27609
6714 Mail Service Center (Mailing Address)
Raleigh, NC 27699-6714
(919) 431-3000

Hearing procedure requirements and filing form (OAH Form H-06A) can be obtained from the Office of Administrative Hearings at: http://www.ncoah.com/hearings/ or by calling (919) 431-3000.

Workplace Safety and Health

Workplace Safety & Health

Location
http://www.oshr.nc.gov/Support/Safety/safetyhandbook.pdf

Provisions
The Department of Public Safety strives to provide a safe and healthy work environment for its employees and the general public.

The protection of our fellow state employees and the public on state property is a responsibility we all share. If you know of any unsafe working conditions or improperly operating equipment that could result in an accident, injury, illness or property loss, contact your supervisor or agency safety and health coordinator immediately. Inform your supervisor immediately about every accident, injury, or near miss incident on the job.

For certain jobs, personal protective equipment must be worn. A hazard assessment of the workplace and of job duties will identify these positions and the types of personal protective equipment required. If you are required to use personal protective equipment, your supervisor will discuss its proper use, care, maintenance and storage.

HIV/AIDS

Location
http://www.nctraining.ncgov.com/aids/

Provisions
Another work environment issue is AIDS. There is concern for employees who may be exposed as a part of their job responsibilities and for employees who may have HIV or AIDS. The employment related rights of all employees must be protected.

HIV and AIDS are considered disabilities under the Americans with Disability Act. Therefore, the state has adopted a policy that guides supervisors and employees in dealing with HIV and AIDS in the workplace. The state recognizes the rights and concerns of employees who may be infected with HIV or AIDS. It wants to ensure that all employees receive confidential, fair and equal treatment.

North Carolina State Government and the Department of Public Safety does not discriminate against applicants or employees who have or are suspected of having the HIV virus or AIDS; however, managers will respond to employees concerned about their own safety.

Information Technology/MIS

Information Technology Policies

Internet Acceptable Use

Location

https://www.ncdps.gov/emp/Policies/ITPolicies/InternetAcceptableUse.pdf

Policy

Access to the Internet through the Department of Public Safety (DPS) network and computer systems opens a wide array of new resources and new services for its employees. However, these new opportunities also bring new risks. The Department controls Internet access to safeguard against a multitude of threats and grants access only to those employees who have a legitimate need for it. The ability to surf the web and engage in other Internet activities is not a fringe benefit to which all employees are entitled.

Provisions

Personal Use

Employees are responsible for exercising good judgment regarding the reasonableness of personal use of the Internet. Moderate personal use of the Internet will be tolerated but excessive personal use is prohibited. Department of Public Safety policy does not allow for unrestricted personal use of the Internet. Users must adhere to other Department of Public Safety and State acceptable use polices which prohibits employees from visiting certain web sites at any time.

Prohibited Activities

With the exception of an authorized task or assignment, Department of Public Safety employees are strictly prohibited from visiting certain types of websites. The items listed below are by no means exhaustive, but attempt to provide a framework for activities which fall into the category of unacceptable use:

- Pornography Sites. Any site containing either graphic or text depicting, describing or otherwise endorsing explicit sexual acts, sex crimes, deviant sexual behavior, rape, sexual products or services, sexually provocative attire and gratuitous or full/partial nudity.
- Adult Sites. Any site containing profane and vulgar language, expletives, revealing attire, nudity, adult situations, or criminal activity.
- Violence Sites. Any site portraying or promoting injury, death or torture of human beings or animals, cult or ritual violence, suicide, malicious property destruction, and any site providing instructions on how to carry out these acts.
- Hate Sites. Any site that contains defamatory speech or activity directed towards a particular group based on race, ethnicity, religion, gender, or social status including sites operated by militant groups.
- Illegal Activity Sites- Under no circumstances is any employee, contractor or consultant authorized to engage in any activity that is illegal under local, state, federal or international law while utilizing Department of Public Safety owned resources

Unauthorized Downloaded Software

Bringing software from home or downloading unauthorized software and installing it on a Department of Public Safety personal computer or network is strictly prohibited. However, if a legitimate business

need exists for a particular file or piece of software, it must be approved and installed by appropriate IT personnel.

Unauthorized Uploaded Software
No software shall be uploaded which has been licensed from a third party, or which has been developed by the Department to any other computer via the Internet. If a legitimate business need exists, it must be approved by the department.

Blogging
Blogging by employees (e.g. Twitter) is also subject to the terms and restrictions set forth in this Policy. Limited and occasional use of department systems to engage in blogging is acceptable, provided that it is done in a professional and responsible manner, does not otherwise violate department policy, is not detrimental to the department's best interests, and does not interfere with an employee's regular work duties. Employees may also not attribute personal statements, opinions or beliefs to the department when engaged in blogging. If an employee is expressing his or her beliefs and/or opinions in blogs, the employee may not, expressly or implicitly, represent themselves as an employee or representative of the department. Employees assume any and all risk associated with blogging. Blogging from department systems is also subject to monitoring.

External Access
With supervisory authorization and appropriate authentication, Department of Public Safety employees wishing to establish a connection with the Department's network from an outside source such as an Internet Service Provider (ISP) via the Internet is acceptable.

Reporting Problems
Immediate reporting of Internet security violations or problems to the Information Security Office is essential in order to affect prompt remedial action. Immediate reporting is necessary to limit losses from system penetrations and other potentially serious security problems. Delays in reporting can mean massive additional losses for the Department.

- Should sensitive material or data become lost, stolen, or disclosed to unauthorized parties, or is suspected of being lost, stolen, or disclosed to unauthorized parties, the user must contact the Information Security Office immediately. If passwords or other system access control mechanisms are lost, stolen or disclosed, or are suspected of being lost, stolen, or disclosed, the password must be immediately changed. The Information Security Office shall also be immediately contacted.
- Unusual system behavior, such as missing files, frequent system crashes, misrouted messages or other indications that the system has a computer virus infection shall be reported to the appropriate Helpdesk or the Information Security Office immediately.

Violations
Violations of this policy may result in revocation of privileges, restricted access to network systems, and/or other appropriate disciplinary action, up to and including dismissal. The Department of Public Safety reserves the right to monitor all network assets, including employee Internet usage.

EMAIL ACCEPTABLE USE

Location
https://www.ncdps.gov/emp/Policies/ITPolicies/EmailAcceptableUse.pdf

Policy

Email is a business communication tool, and users are obligated to use this tool in a responsible, efficient, and lawful manner. Although by nature Email appears to be a less formal means of communication, the same professional standards apply to Email as to other more formal written communication.

Provisions

Email Usage

Any Department of Public Safety Email System should be used primarily for business purposes only. Employees and the department can be held liable for illegal or improper use.

- Users shall not send or forward Email containing libelous, defamatory, or obscene remarks.
- Users shall not use Department Email to vent negative emotions, or to send harassing, embarrassing, indecent, intimidating, or other unethical, immoral, or unlawful material.
- Users are prohibited from sending or forwarding messages that are likely to offend on the basis of race, gender, religion, national origin, age, or disability.
- Users may not send chain letters, junk mail, or personal files that utilize high bandwidth.
- Users are not allowed to use Email for private business activities.
- DPS managed email systems shall retain email records for a 10 year period.
- Unless authorized by DPS management, users shall not routinely use third party web mail accounts (e.g. Yahoo, Hotmail, Gmail, etc.) or other non-DPS email accounts to conduct DPS business. Users are responsible for retaining any email messages from web mail and/or personal email accounts that are used for state business. Users shall ensure that the aforementioned personal/web email messages are retained for a 10 year period.
- Users shall not attempt to forge or disguise their identity when sending Email.
- Users are prohibited from sending Email messages using another person's Email account unless they are a Proxy for a user that has granted them permission to send Email from their account.
- Users may not utilize an unauthorized method to encrypt an Email message without first obtaining written permission to do so from the IT/ MIS Section. Confidential or sensitive information shall not be transmitted via Email without the proper encryption enabled.
- Confidential or sensitive information shall not be put in the subject line of an Email (e.g. social security numbers). Email users should check with their supervisors if they are unsure about what to put in the subject line.
- Employees shall refrain from selecting unknown/untrusted Email links and /or opening untrusted/unexpected email attachments.
- Employees are reminded that the use of Department resources, including Email, should never create either the appearance or the reality of inappropriate use.

Personal Use

While minimal personal use of email will be tolerated, excessive personal use of email is prohibited.

Privacy

All messages distributed by any of the department's email systems shall become the property of the Department of Public Safety. Users expressly waive any right to privacy in anything they create, store, send, or receive via Email.

Violations

Violations of this policy may result in revocation of privileges, restricted access to network systems, and/or other appropriate disciplinary action, up to and including dismissal. The Department of Public Safety reserves the right to monitor all network assets, including employee Internet usage.

LAPTOP AND MOBILE DEVICE USE

Location

https://www.ncdps.gov/emp/Policies/ITPolicies/LaptopMobileDevice.pdf

Provisions

Due to the greater likelihood for theft or loss, users should avoid storing confidential information on laptops or other portable media and devices whenever possible. All Department of Public Safety (DPS) laptops shall have full disk encryption enabled and the encryption feature will be managed by the appropriate MIS personnel.

Backup media which is to be stored offsite shall be encrypted prior to delivery to the offsite storage facility and/or the offsite vendor.

Any mobile device (including a personally owned device such as a smartphone) that contains confidential information, DPS email, or other sensitive data, shall have the device and/or information encrypted using a department approved encryption method. If encryption is not feasible, other access controls (such as PINs, passwords, etc.) must be used. Additionally, mobile devices used to conduct DPS business must adhere to the following measures:

- When using password protection and if feasible, the password should contain a combination of letters, numbers, and special characters and have a minimum length of eight characters.
- Attachments should not be opened from untrusted sources.
- Links from untrusted sources should not be followed, especially from unsolicited email or text messages.
- Bluetooth functionality should be disabled if it is not in use.
- Data shall be removed before disposing of the device. The data removal method shall meet state standards when feasible.

Laptop and mobile device users will adhere to all relevant and applicable desktop security policies which include, but are not limited to, the following:

- Utilizing a timeout period for inactivity
- Logging off when systems are not in use
- Performing periodic backups of critical data
- Using only authorized software and programs (DPS owned devices)
- Complying with the DPS Remote Access policy
- Configuration and maintenance by authorized MIS staff (DPS owned devices)
- Vendor-supplied default and/or blank passwords shall be immediately identified and reset.

Mobile devices that have excessive storage capacity (e.g. external hard drives) shall adhere to the following guidelines:

- Network storage (e.g. SAN) shall be used in lieu of these devices when possible
- The DPS MIS personnel must review/approve the requisition for these devices
- Data encryption must be enabled – no exceptions

Laptop and mobile device users will take reasonable steps to physically secure unattended systems or media. Users will ensure that all laptop systems are updated and patched, at a minimum, on a monthly basis.

The use of wireless devices to access the DPS network must be authorized by the DPS MIS division. Wireless device access must adhere to any state and/or DPS wireless security requirements.

Mobile devices such as Blackberries, smartphones, PDAs, etc. that are managed by the DPS MIS division or personal devices that store confidential DPS data will have the following controls enabled when possible:

- A maximum timeout interval of 10 minutes
- Password protection with the syntax rules requiring a combination of letters, numbers, and special characters
- Encryption of stored data
- Device location enabled
- Remote wiping enabled

In the event of theft or loss, DPS employees shall notify their management and the Information Security Office as soon as the theft is detected. Also, employees shall adhere to DPS policy for reporting misuse and/or theft of State property.

Before a thumb/flash drive is connected to a DPS device, employees shall ensure that the appropriate security software (e.g. antivirus, antispyware, etc) is installed and current on the affected DPS device. Thumb/Flash drives with unauthorized/unapproved virtual operating systems are prohibited.

COPYRIGHT INFRINGEMENT

Location

https://www.ncdps.gov/emp/Policies/ITPolicies/CopyrightInfringement.pdf

Provisions

Unauthorized use of copyrighted computer software is a violation of federal copyright law, and a likely breach of this Department's license agreement with the software supplier. As a result, employees shall obey licensing agreements and shall not install unauthorized copies of commercial software on agency technology devices.

Copying software for any purpose other than making a back-up or archival copy is strictly prohibited unless prior written authorization has been obtained from the software manufacturer and appropriate Department of Public Safety officials.

Some license agreements restrict the use of software to certain equipment or devices. Unauthorized use of this software will be considered as unauthorized copying.

The department does not require, request or condone unauthorized copying of computer software by its employees and violation of this policy may subject employees to disciplinary and/or legal action.

SOCIAL MEDIA POLICY

Location

https://www.ncdps.gov/emp/Policies/Communications/SocialMediaPolicy_08132013.pdf

Provisions

NCDPS recognizes the value of using social media, also known as new media or Web 2.0, as a way to communicate with stakeholders, media, its employees and the public at large. Tools such as Facebook, Twitter, YouTube and others are rapidly changing the way information is exchanged and governments are expected to engage the public using these Internet-based channels.

This policy will establish the following: 1) NCDPS position on the use of social media as part of its communication and customer service strategy; 2) guidelines and expectations for development and use of social media services in an official capacity; and 3) guidelines for employee's personal use of social media. These guidelines are applicable to NCDPS employees or contractors creating or contributing to blogs, microblogs, wikis, social networks, virtual worlds or any other kind of social media housed both on and off state-owned or operated servers. Any employee or contractor who participates in social media in an official capacity on behalf of NCDPS must follow these guidelines. These guidelines will likely evolve as new technologies and social networking tools emerge, so any employee or contractor who participates in social media in an official capacity on behalf of NCDPS must regularly check this policy to ensure compliance with it in its current form.

Use of Social Media to Represent Divisions/ Offices/Programs

NCDPS maintains official departmental social media sites and some of its subsidiary agencies also maintain their own separate social media sites. The Communications Office encourages subsidiary agencies to disseminate information by contributing to existing sites, as opposed to creating new social media sites. A few properly maintained sites that deliver consistently strong content are more effective than a diluted message delivered by a larger number of sites. Subsidiary agencies seeking to create new social media sites must have advance approval from the NCDPS Communications Office before launching a new site.

Creation and maintenance of all authorized social media sites will be conducted as part of a communications plan and strategy, as well as that of NCDPS. The NCDPS Communications Office will:
I. Oversee decisions regarding social media sites including authorization of new sites;
II. Verify staff being authorized to use social media tools;
III. Maintain a list of social media domains, active account logins and passwords for every social media account authorized in NCDPS; and
IV. Change passwords when an employee is removed as an administrator to maintain agency control.

Once a social media site has been authorized by the NCDPS Communications Office, agency communication officers or PIOs must monitor the site's establishment, content creation and maintenance to ensure that the mission and message are being appropriately articulated. At least two communications officers or PIOs from the communications office staff must have administrator rights on each NCDPS social media site. NCDPS social media sites must allow for public comment on the sites to promote open government, transparency, dialogue between constituents and to take full advantage of the benefits of social media.

Professional Use Guidelines

1. NCDPS related communication through social media outlets should remain professional in nature and should always be conducted in accordance with the agency's policies and expectations.
2. Creators, contributors and bloggers should stick to their area of expertise and provide unique, individual perspectives on what is going on at their divisions, and in other larger contexts.
3. Posts should be meaningful and comments should be respectful.
4. Spam or offensive remarks are not permitted. Communication should not include any forms of profanity, obscenity or copyright violations. Site administrators should remove comments that violate these rules as soon possible after they are noticed.
5. When a response is appropriate, comments will be responded to in a timely manner. A respondent should pause and think before posting a response. Generally, it is not appropriate to post personal opinions or discuss areas outside of one's expertise on a NCDPS social media site. An employee should always consider whether it is appropriate to commit oneself or one's

agency to a course of action. If there is any question or hesitation regarding the content of a potential comment or post, it is better not to post.

6. Contact the Communications Office for guidance when responding to a sensitive or controversial post or when responding to comments that are critical of NCDPS.
7. Keep interactions appropriate and polite when it is necessary to disagree with others' opinions on NCDPS social media sites.
8. Proprietary information, content and confidentiality will be respected. Do not share confidential or non-public information.
9. Disclaimers addressing third-party ads and inappropriate content should be clearly visible on official sites where applicable.
10. Employees must not use agency social networking sites for political purposes, to conduct private commercial transactions or to engage in private business activities. Employees should be mindful that inappropriate use of social media can be grounds for disciplinary action. If an account is used for business, the entire account, regardless of any personal views, is subject to these best practices guidelines, including the collection and preservation provisions.

Employee Use of Social Media

NCDPS recognizes that its employees may use social media on a personal basis outside of their professional activities and that such use may include the right to exercise freedom of speech. However, NCDPS encourages its employees to use good judgment when posting to a social media site as a private citizen, especially if the employee refers to anything related to NCDPS business. Employees must be mindful that they could blur their personal and professional lives when using social media. Even when acting away from the office in a private capacity, an employee must remember that he or she may be perceived by the public as representing the agency and state government as a whole when discussing NCDPS activities.

A NCDPS employee who posts work related information on a social media site is still subject to the terms of this policy. Employees must clearly label and distinguish a personal opinion when it is publicly stated about NCDPS related matters.

Personal Use Guidelines

It is recognized that many NCDPS employees have personal social networking sites. These sites should remain personal. Employees should not conduct NCDPS business by way of any personal account. This helps to ensure a distinction between personal and agency views. Employees must not use their state e-mail account or password in conjunction with a personal social networking site. Employees may use personal social networking for limited family or personal communications while at work. Those communications should occur on break times and must not interfere with their work.

North Carolina Department of Public Safety

NEW EMPLOYEE ORIENTATION ACKNOWLEDGEMENT AND STATEMENT OF UNDERSTANDING

By my signature below, I certify that I have been provided with a New Employee Orientation Manual or have been advised how to access the manual online. I understand that it is my responsibility to read, understand, and adhere to the policies, provisions, and processes contained in the New Employee Orientation Manual. Further, I understand that it is my responsibility to contact the appropriate manager at my work location for an explanation if I have questions concerning any of the information contained in the New Hire Orientation Manual.

Organizational Structure
Organization Vision, Mission, Goals, & Values
The HR Payroll System
- Position Settings
- Weekly Time Reporting for NON ESS/MSS
- Weekly Time Reporting for ESS/MSS
- Leave Quotas
- Pay

Leave
- Vacation Leave
- Sick Leave
- Bonus Leave
- Holidays/Holiday Leave
- Compensatory Leave
- Community Service Leave
- Civil Leave
- Military Leave
- Adverse Weather Leave
- Family and Medical Leave (FMLA)
- Family Illness Leave (FIL)
- Voluntary Shared Leave
- Leave Without Pay

Longevity Pay
Retirement Benefits
Supplemental Retirement Options
Disability Income Plan of NC (Short/Long Term)
Worker's Compensation
Death Benefit
Health Insurance Benefit
NC Flex Benefits
Enrollment Information
Affordable Care Act
Law Enforcement Specific Benefits
Employee Assistance Program
WeCare
Performance Management
Disciplinary Action and Grievances

Employment Policies & Information
- Appointment Types
- Merit-Based Hiring and Selection
- Equal Employment Opportunity
- Americans with Disabilities Act
- Employment of Relatives
- Secondary Employment
- Salary Adjustment

Records and Release of Information
- Personnel Records
- Records Open for Inspection
- Procedures for Release

Professional Standards and Conduct
- Personal Appearance
- Workplace Violence
- Unlawful Workplace Harassment
- Prison Rape Elimination Act (PREA)
- Personal Dealing with Offenders
- Limitation of Political Activity
- Reporting Theft /Misuse of State Property
- Alcohol and Drug Free Workplace
- Employee Gift Ban
- Criminal Convictions with Firearms
- Criminal & Motor Vehicle Offenses
- Criminal Offenses for Certified Officers
- Domestic Violence Orders
- Providing Inmates with Cell Phones
- Travel Policy
- State Vehicle Use
- Interacting with the Media

Workplace Safety & Health
- HIV/AIDS

Information Technology Policies
- Internet / Email Acceptable Use
- Laptop and Mobile Device Use
- Copyright Infringement
- Social Media

_____
Employee **PRINTED** Name

_____
Employee Signature Date

_____
Trainer/Witness/Supervisor Signature Date