



**State of North Carolina  
Department of Correction  
Division of Prisons**

**POLICY & PROCEDURES**

Chapter: A  
Section: .1100  
Title: **Promotional Examination Policy**  
Issue Date: 07/12/07  
Supersedes: NEW

**.1101 General**

The North Carolina Division of Prisons is committed to a timely and equitable policy in regard to custody promotional examination eligibility. The following policy is established to foster this commitment.

**.1102 Promotional Examination Eligibility**

Employees seeking promotional opportunities within the custody ranks must first successfully complete custody examinations for specific classifications. Promotional examination eligibility for each level of promotion (to Sergeant, to Lieutenant) is based upon three criteria. These are time in grade, work performance and disciplinary-free service.

Extended Leave Without Pay (LWOP) which has been authorized by the Division of Prisons will not be considered as a break in service for promotional examination eligibility.

(a) Correctional Sergeant

- (1) To be eligible for the Sergeant's Promotional Examination, the employee must have completed two (2) years of continuous employment in the North Carolina Division of Prisons immediately prior to taking the examination in a Correctional Case Manager, Correctional Food Service Officer, Correctional Officer position, or any other certified State Correctional Officer job class at the same level or a level above that of a Correctional Officer.
- (2) The eligible employee shall have performed at an acceptable level in work performance, receiving at least an overall rating of "Good" on the most recent work performance appraisal.
- (3) The eligible employee shall not have received a Written Warning during the eighteen months preceding the originally scheduled promotional examination date.

(b) Correctional Lieutenant

- (1) To be eligible for the Lieutenant's Promotional Examination, the employee must have completed four (4) years of continuous employment in a certified State Correctional Officer job class in the North Carolina Division of Prisons immediately prior to taking the examination. The two (2) years immediately preceding the scheduled promotional examination shall have been at the level of

Correctional Sergeant, Correctional Program Supervisor, Correctional Food Service Manager I, Assistant Unit Manager or any other certified State Correctional Officer job class at the same level as or a level above that of Correctional Sergeant.

- (2) The eligible employee shall have performed at an acceptable level in work performance, receiving at least an overall rating of "Good" on the most recent work performance appraisal.
- (3) The eligible employee shall not have received a Written Warning during the eighteen (18) months preceding the originally scheduled promotional examination date.

### **.1203 Application Process**

#### **(a) Examination Announcement**

- (1) The Office of Staff Development and Training will announce the projected dates for all promotional examinations at the beginning of the Fiscal Year.
- (2) The Office of Staff Development will send announcement letters to each Region, Institution and Correctional Center fifteen (15) weeks prior to the scheduled promotional examination. The facility administrator shall be responsible for ensuring that the announcement letters are properly posted for reading by all eligible Division of Prisons' employees.

#### **(b) Application**

- (1) All applications must be submitted by the applicant to the facility administrator no later than six (6) weeks prior to the scheduled examination date.
- (2) The facility administrator must complete the review of the applications within two (2) weeks of receipt of the application. The completed approved applications will be forwarded directly to the Office of Staff Development and Training.
- (3) All approved applications for promotional examinations must be received in the Office of Staff Development and Training at least four (4) weeks prior to the scheduled examination date.
- (4) Signatures required on the applications include that of the applicant seeking to take the examination and that of the facility administrator.

## (c) Verification of Eligibility

It shall be the responsibility of the facility administrator to verify the applicant's eligibility (time in grade, work performance rating and absence of Written Warning) to take the examination.

## (d) Exceptions to the Application Process

- (1) Any exception to the application process must be requested in writing, outlining a justification of the exception, and be approved by the appropriate Region Director.
- (2) Exceptions of up to 60 days for the Sergeant's promotional examination and up to 120 days for the Lieutenant's promotional examination to the required time in grade for eligibility for application may be considered within the following guidelines:
  - (A) Exceptions may be considered for those employees who have served or who are currently serving in an acting capacity for the position for which the examination is being administered.
  - (B) Exceptions may be considered for those employees who have demonstrated exceptional work performance as indicated by an overall rating of "very good" on the most recent work performance appraisal.
  - (C) Exceptions may be considered for employees at facilities that do not have a reasonable potential applicant pool for the job class for which the examination is to be administered.
  - (D) Exceptions may be considered if there is a clear need to address Affirmative Action/EEO concerns as the Division continues to build its supervisory work force.
- (3) Exceptions to the application process may be considered in cases in which the employee has appealed the Written Warning and the appeal has been upheld and/or in cases in which the disciplinary action has been negated by performance ratings on subsequent work performance appraisals.
- (4) It is the responsibility of the facility administrator requesting the exception to the application process to thoroughly document and justify the exception, attaching the documentation (including the most recent work performance appraisal) to the employee's application and forwarding the request to the appropriate Region Director for review.

After review and approval, the Region Director will forward the approved application and request for exception to the Division Training Coordinator for

submission to the Office of Staff Development and Training with a copy to the Department of Correction Personnel Office.

(e) Withdrawal from the Examination

Employees who, after submitting an application for a promotional examination, determine that they no longer wish to take the examination shall contact the examination administrator in the office of the Curriculum Manager in the Office of Staff Development and Training to withdraw their application no later than the Friday preceding the examination. Failure to officially withdraw an application for promotional examination may negate the opportunity to sit for the next examination. Failure to officially withdraw an application and subsequent failure to appear for the examination for a second time will require that the employee not be permitted to take the next examination.

**.1104 Pre-examination Training**

(a) Study Materials

Region Directors and facility administrators are responsible for ensuring that the documents as identified in the Promotional Examination Announcement Letter that are necessary for promotional examination preparation be available to applicants for study purposes.

(b) Training

- (1) Region Directors and facility administrators are responsible for ensuring that a minimum of sixteen (16) hours of promotional examination training, consistent with the lesson plan provided by the Office of Staff Development and Training, is made available to all eligible applicants.
- (2) Participation in and completion of this training will be documented by the offering correctional facility to support its availability for eligible personnel. Documentation of the training will be on an Attendance Roster (OSDT-1), signed by each participant and forwarded to the Office of Staff Development and Training at the completion of the training.
- (3) Eligible personnel may chose not to participate in the pre-examination training and prepare for the examination on their own initiative. Such personnel must sign a statement indicating their choice and releasing the correctional facility from pre-examination training responsibility.
- (4) Eligible personnel should be advised that the promotional examination training will not be sufficient to ensure successful completion of the examination. Personnel must also study the policies on their own.

**.1105 Promotional Eligibility Following Examination**

- (a) Employees who successfully complete the promotional examination with a score of 70% or better shall be examination-eligible for promotion. The examination results will be reported as Pass/Fail. The training records in the STS subsystem of OPUS will document the date on which the employee attained a passing score on the promotional examination (course code 0002894 for the Correctional Sergeants' Promotional Examination; course code 0002895 for the Correctional Lieutenants' Promotional Examination). The OSDT web site also has a list of all employees who have passed the promotional examinations.
  
- (b) Length of Eligibility
  - (1) Those employees who were granted permanent promotional eligibility per the 1991 Director's memo will retain their permanent eligibility. (STS course code 0001214 for Correctional Sergeant Permanent Eligibility and course code 0001215 for Correctional Lieutenant Permanent Eligibility.) This will honor the division of Prisons' commitment to those employees who earned permanent eligibility under the previous procedures.
  - (2) Examination eligibility for promotional consideration shall extend for five (5) years from the date of the administration of the examination.
  - (3) Except for those employees granted permanent examination eligibility for promotional consideration in (1) above, employees must take the promotional examination prior to the expiration of 5 years from the date of the previous examination in order to maintain continuous examination eligibility for promotional consideration.
  
- (c) Separation
  - (1) Separation from a certified State Correctional Officer position for more than ninety (90) days will terminate examination eligibility for promotional eligibility. Employees reinstated after ninety (90) days separation but within 12 months of the date of separation may, upon request by the facility administrator, have the promotional eligibility reinstated. Employees reinstated after 12 months or more shall re-establish examination eligibility for promotional consideration consistent with Section II above.
  - (2) Extended Leave Without Pay (LWOP) that has been authorized by the Division of Prisons shall not be considered as separation from a certified State Correctional Officer position for the purpose of determining examination eligibility for promotional consideration.
  - (3) Separation from a certified State Correctional Officer position as a result of a reduction in force shall not be considered as separation from a certified State

Correctional Officer position for the purpose of determining examination eligibility for promotional consideration.

- (d) Examination Failure - Personnel who fail the examination three or more times shall be required to contact the local community college to determine if they have the appropriate reading comprehension level to successfully complete the examination and to enroll and complete the appropriate remedial reading comprehension courses until they demonstrate a reading level at or above the 9th grade before being permitted to sit for the examination again.
- (e) Examination Results – Test results will be distributed no earlier than three (3) weeks and no later than six (6) weeks from the date of the examination. OSDT will not release any results prior to the general distribution of the results. Test results will not be given out until all applicants have been notified.

#### **.1106 Veteran's Preference**

North Carolina Office of State Personnel policy (Section 2, page 29) reads: "State law requires that employment preference be given for having served in the Armed forces of the United States on active duty..." Consistent with this policy requiring preference in employment, no points will be added to the promotional examination scores of veterans.

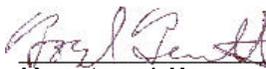
#### **.1107 Responsibility of the Office of Staff Development and Training**

The Office of Staff Development and Training (OSDT) is responsible for the design, development, announcement, administration, scoring, reporting and record keeping for the Correctional Sergeant's and Correctional Lieutenant's Promotional Examinations. OSDT is also responsible for the development of the Promotional Examination Training lesson plan for the provision of the pre-examination training.

#### **.1108 Responsibility of the Division of Prisons**

The Director of Prisons will appoint two promotional examination committees; one each for the Correctional Sergeant's and the Correctional Lieutenant's promotional examinations. These committees will meet with the appropriate staff of the office of Staff Development and Training prior to the administration of each promotional examination to provide assistance in the validation of the examination questions.

Upon request from the Office of Staff Development and Training to the Division of Prisons Training Coordinator, the Division of Prisons may provide monitors to assist in the administration of the promotional examinations.

  
Director of Prisons                      7-12-07  
Date