



*State of North Carolina
Department of Public Safety
Prisons*

Chapter: F
Section: .1600
Title: Management of Security Posts
Issue Date: 08/12/19
Supersedes: 10/26/18

POLICY AND PROCEDURE

.1601 GENERAL

- (a) NCDPS-Prisons is committed to managing safe and secure prison facilities with the understanding that the primary goal is to protect the citizens of North Carolina and provide a safe and humane environment for staff and offenders. Appropriate staffing levels, supervisory organizational structure, Correctional Officer duties, and effective management of security posts are all key factors in the success of any prison system.
- (b) Determining facility staffing requirements is not an exact science as it is not adaptable to the use of set formulas, but rather it is a subjective process that requires input from numerous stakeholders who have relevant expertise and experience in prison management. Safe staffing levels are a key component in properly managing correctional facilities. Inadequate staffing is a threat to public safety and places the general public, correctional employees and offenders at risk. Proper management of security posts is designed to determine how to deploy Correctional Officers to provide a safe and secure correctional environment.
- (c) G.S. 143B-709 Security Staffing
 - (1) NCDPS-Prisons shall conduct:
 - (A) On-site post audits of every prison at least every three years;
 - (B) Regular audits of post-audit charts through the automated post-audit system; and
 - (C) Other staffing audits as necessary.
 - (2) NCDPS-Prisons shall update the security staffing relief formula at least every three years. Each update shall include a review of all annual training requirements for security staff to determine which of these requirements should be mandatory and the appropriate frequency of the training. Prisons shall survey other states to determine which states use a vacancy factor in their staffing formula. (2002-126, s. 17.5(a); (b); 2005-276, s. 17.4(a); 2011-145, s. 19.1(H), (S).)

- (d) Prisons Rape Elimination Act (PREA)
- (3) NCDPS-Prisons shall ensure that each facility it operates shall develop, document, and make its best efforts to comply on a regular basis with a staffing plan that provides adequate levels of staffing, and, where applicable, video monitoring, to protect offenders against sexual abuse and sexual harassment. In calculating adequate staffing levels and determining the need for video monitoring, facilities shall take into consideration:
- (A) Generally accepted correctional practices;
 - (B) Any judicial findings of inadequacy;
 - (C) Any findings of inadequacy from Federal investigative agencies;
 - (D) Any findings of inadequacy from internal or external oversight bodies;
 - (E) All components of the facility's physical plant (including "blind-spots" or areas where staff or offenders may be isolated);
 - (F) The composition of the offender population;
 - (G) The number and placement of supervisory staff;
 - (H) Institutional programs occurring on a particular shift;
 - (I) Any applicable State or local laws, regulations, or standards;
 - (J) The prevalence of substantiated and unsubstantiated incidents of sexual abuse; and
 - (K) Any other relevant factors.
- (4) In circumstances where the staffing plan is not complied with, the facility shall document and justify all deviations from the plan.
- (5) Whenever necessary, but no less frequently than once each year, for each facility the agency operates, in consultation with the PREA coordinator, Prisons shall assess, determine, and document whether adjustments are needed to:
- (A) The staffing plan established pursuant subsection .1601(d)(1);
 - (B) The facility's deployment of video monitoring systems and other monitoring technologies; and

- (C) The resources the facility has available to ensure adherence to the staffing plan.
- (6) Each facility shall implement a policy and practice for Facility Heads and/or the Facility Assistants to conduct and document unannounced rounds to identify and deter staff sexual abuse and sexual harassment. Such rounds shall occur on all shifts. The policy shall prohibit staff from alerting other staff members that these rounds are occurring, unless such announcement is related to the legitimate operational functions of the facility.

The Facility Head of each prison within NCDPS-Prisons will be responsible for developing a written standard operating procedure specific to their facility that includes the guidelines and procedures outlined in this policy.

.1602 DEFINITIONS

- (a) Activity Charting involves the identification of all the activities that are required to occur and charting them over a twenty-four-hour grid at each individual institution. This information may produce previously overlooked ways to generate staffing efficiencies.
- (b) A and B Response Team refers to the designation to be assigned to an Officer based on her/his assigned response level (A for primary level, B for secondary level) in the event of an institution emergency.
- (c) Archived Post Chart refers to a post chart that had previously been approved but has been replaced by a more recent approved post chart. Archived post charts are electronically maintained on file for historical purposes and cannot be changed once archived.
- (d) Automated Roster Management System (RMS) refers to the computer application used for creating and working in post charts and security rosters.
- (e) Approved Post Chart refers to a post chart for which funded and approved positions exist, has been reviewed by the Facility Head and Region Director, and approved by the Deputy Director.
- (f) Assistant Superintendent refers to the Assistant Superintendent for Custody & Operations I, II, III, or Assistant Superintendent for Classification as designated for the facility.
- (g) Designated Housing Capacity refers to the number of offenders designated per housing areas by the division based on the following:
 - (1) Standard Operating Capacity (SOC) – The number of general population offenders with one offender per cell in single cell housing; or, for dormitory style housing, the number of offenders who can be housed in each dormitory allowing for 50 square feet of living space and 25 square feet of dayroom space per

offender, no bunks in center aisles, and at least 32 inches between bunks.

- (2) Expanded Operating Capacity (EOC) - The number of general population offenders with one offender per cell in single cell housing plus the number of cells that house two offenders; or, for dormitory style housing, the number of offenders in dormitories operating at varying percentages above SOC, not to exceed 130% of SOC.
- (3) Maximum Operating Capacity (MOC) – MOC includes every bed in use that is not in SOC or EOC to include segregation cells, skilled and acute medical beds, acute mental health beds, and temporary beds.
- (h) Employee refers to a NCDPS-Prisons staff member in a certified position whose job class is in a Correctional Officer classification. This includes security staff members who are in any phase of the Correctional Officer training process or on probationary status.
- (i) Facility Head refers to the ranking facility manager normally classified either as a Superintendent I, Superintendent II, Superintendent III, Superintendent IV, Administrator I, or Warden based on the designation at the individual facility.
- (j) Needs of the Agency refers to those actions which the agency must take in order to meet its mission of protecting the public, providing a safe and humane environment for staff and offenders, working in partnership with the community to provide programs and services to offenders, and supervising offenders at a level of security commensurate with the danger they present.
- (k) Officer refers to all Correctional Officers, sergeants, lieutenants, assistant unit managers, unit managers, and captains.
- (l) Office of State Controller (OSC) Integrated HR/Payroll System refers to the electronic personnel management information system utilized by the NCDPS-Prisons Personnel Office to track personnel information to include position history and tracking of all authorized positions.
- (m) Post Chart refers to an actual listing by title of all security posts that are necessary to operate a prison. The recapitulation of a post chart indicates identified posts by name, shift hours, staffing by rank, the number of five (5)-day posts, the number of seven (7)-day posts, the applicable relief factor, the number of relief positions required, designated facility security level, designated housing areas, the total number of positions required, pull post levels, and the number of positions currently authorized as indicated in BEACON.
- (n) Proposed Post Chart refers to a post chart developed to reflect future staffing needs due to new construction or containing any modifications, additions, deletions of posts, or any

other modifications needed at existing or planned facilities.

- (o) Pull Posts refers to the designation of a post as Pull Post Level I, Level II, or Level III to assist supervisors when determining which posts must be temporarily collapsed or closed due to emergencies, staffing shortages, overtime reduction efforts or other reasons deemed necessary by the shift supervisor or facility management. Pull post are prioritized to allow certain post to shut down first. Additional information is provided in section .1607 (d).
- (p) Region Director refers to the ranking manager assigned to a region office with responsibility for supervising or managing Facility Heads and providing management oversight of all facilities within the designated geographic region.
- (q) Region Operation Manager refers to the manager assigned to a region office with responsibility for supervising Facility Heads of some of the smaller prison facilities and assists the Region Director in providing management oversight of all facilities within the designated geographic region.
- (r) Relief Factor refers to the formula utilized to figure the relief manpower needed for all posts. Additional information is provided in section .1607 (e).
- (s) Review Process refers to the levels of review and approval of the security post chart.
- (t) Security Staffing Levels refers to the priority for posting designations given to each five (5)-day and seven (7)-day posts.
- (u) Shift refers to an employee's regular daily work period.
- (v) Special Assignment refers to the reassignment of a position designated/assigned to a specific post to perform the duties of another established or temporarily created post.
- (w) Supervisory Staff refers to sergeants, lieutenants, assistant unit managers, unit managers, and captains.

.1603 RESPONSIBILITIES

- (a) The Director of Prisons will ultimately be responsible for determining the number of security staff required to provide a safe and secure environment at each prison facility.
- (b) The Deputy Director serves as the Director's designee for providing central oversight and coordination of security staffing to include the staffing analysis process, tracking, monitoring and transferring of all security positions within the division to ensure efficient and equitable distribution of security staffing resources.

- (c) A Division Operations Manager, reporting to the Deputy Director will be responsible for conducting on site post reviews of each prison at least once every three years, conducting regular reviews of post charts through the automated post-audit system, and conducting other staffing reviews as necessary. The Operations Manager will be responsible for tracking changes made in post charts, tracking identified staffing deficits, and training of all Facility Heads and Assistant Superintendents in security staffing practices and concepts. The Operations Manager will maintain an automated post staffing chart on each facility. This will include ensuring that the number of Officer positions assigned to a prison is consistent with the number of positions identified in BEACON.
- (d) Region Directors and Region Operations Managers will provide management oversight in the identification of posts manned by Correctional Officers to ensure the proper and efficient operations. Operations will include direct supervision of offenders, loading, unloading, feeding, yard time, visiting, program services, recreation, and emergency procedures. The Region Director/Operations Manager will ensure that subordinate supervisory staff has properly instructed Officers regarding specific operations of security posts under routine and emergency conditions. Region Directors/Operations Managers will be responsible for monitoring payment for overtime at facilities under their command, ensuring that all overtime payments are reasonable and necessary.
- (e) Facility Heads will make sure that the Officer in Charge of each shift supervises all established posts as frequently as may be necessary to ensure staff alertness and appropriate execution of post orders and standard operating procedures. Facility Heads will be responsible for monitoring overtime, ensuring that overtime is properly managed by supervisors and all overtime earned is reasonable and necessary.
- (f) The Assistant Superintendent or designee is responsible for developing a security roster designating the following:
 - (1) assigning the applicable security staffing level designation to each post of the security roster;
 - (2) placing the normal workdays, normal days off onto the security roster;
 - (3) designating posts as gender specific posts to include the minimum number of gender specific security staff required on a daily basis;
 - (4) completing a revised security roster each time there is a change made to the existing "Approved Post Chart;"
 - (5) approving the current security roster; and
 - (6) submitting the security roster for quarterly review by the Facility Head.

.1604 SECURITY POSTS

- (a) Medium and Close custody offenders will be under the control of unarmed Correctional Officers while inside the secure perimeter of the facility. The use of such Officers may vary consistent with custodial requirements. Offenders in medium and close custody will be under armed perimeter security provided through the use of an electronic intrusion perimeter patrol system or towers. Medium and close custody offenders will be under the control of armed Correctional Officers while outside the secure perimeter of the facility. The use of such Officers may vary consistent with custodial requirements.
- (b) Minimum custody offenders will be under the immediate supervision of unarmed Correctional Officers and/or agents of the Secretary of Public Safety. The number of such Officers may vary consistent with custodial requirements to insure an appropriate level of control. Visual checks and counts will be routinely made to ensure that all offenders are accounted for.
- (c) All medium and close custody offender housing areas will be staffed for direct supervision of offenders. Minimum custody offender housing areas will be staffed for direct supervision of offenders during second shift duty hours. Correctional Officer posts will be located in or immediately adjacent to offender living areas to permit Officer to hear and respond promptly to emergency situations. Correctional Officers assigned to any security post will maintain constant surveillance of the designated post area and offenders that may be in the area. Correctional Officers will position themselves so that they can maintain direct and constant observation of offenders. Unless assigned to a secured control room or other posts in areas that are off limits to offenders, all posts should be established in locations that facilitate personal contact and interaction between staff and offenders. No material or device which could distract the attention of the Officer will be allowed on the post. Unauthorized items include newspapers, magazines, books, non-state issued cell phones, I-Pods, electronic devices and non-division issued radios.
- (d) The operation and maintenance of the security post and other security components are considered confidential information and shall not be discussed, reviewed, or talked about in the presence of offenders or the general public or in any way made known to offenders or the general public. Offenders are absolutely prohibited from working on or in any way assisting with the repair of any and all security equipment without authorization of the facility head of designee.
- (e) Each facility will maintain a control or operations center to provide order and security. The control/operations center should be staffed 24 hours a day and should be the center of communication and security for the facility to include monitoring or alarm systems. Each facility should establish standard operating procedures describing action to be taken when an alarm or alert occurs. All alarms and alerts are to be investigated immediately by a Correctional Officer or other staff as available and designated. Standard procedures should be developed to require the mobilization of staff as appropriate to respond to an alarm.

- (f) Each shift will be staffed with sufficient trained personnel to fill critical security posts and to act as back-up and relief Officers for these posts. Security staff will be provided sufficient training concerning security systems and post assignment responsibilities prior to assuming responsibility for any post assignment alone. Each Assistant Superintendent or designee is responsible for ensuring that all new Officers have received sufficient orientation prior to placement on any post. This orientation should include a thorough briefing on all-basic security functions, departmental rules, procedures and post orders. All training related to security and specific post assignment will be documented in facility records. All Officers will have secured backup staff to observe staff activity in the Restrictive Housing Unit or Security Room (time limited cell). Control room or secured backup Officer must have communication capability with another location from which support staff can be dispatched. All Officers will secure backup staff prior to unlocking the door to the Restrictive Housing Cell or Security Room. Officers will never unlock the cell door without at least one other custody staff as backup.
- (g) Each Officer, inclusive of probationary Officer, must fully read the applicable post order(s) for the post(s) that he/she will be assigned. Officers will acknowledge such by signing the designated acknowledgement form. (In light of the many post areas where the same post order will be maintained, the Assistant Superintendent or designee may maintain a “master” binder where he/she can track and maintain the signed [original] forms for each Officer.)
- (h) When revisions to post order(s) occur, Officers will sign and date the section of the designated form acknowledging he/she reviewed the revision(s).
- (i) Each facility will establish procedures to document security operations to include specific activities and unusual occurrences related to security. Standards require documentation of system tests, failures, all alarms, and other security emergencies. Each facility will also be responsible for maintaining documentation of system tests, failures, all alarms, and other security emergencies for a period of 36 months.
- (j) A system for checks and reporting on all posts should occur at regular intervals to determine that the post remains secure. Correction Officers are required to maintain a permanent log and prepare shift reports that record routine information, emergency situations, and unusual incidents. Correctional Officers assigned to perimeter security posts, yard posts and posts designated by the facility head will report routine information, emergency situations, and unusual incidents to the control/operations center.
- (k) Checks of windows and bars in offender housing units for broken glass, damaged screens, and weakened security locks should occur daily on each shift.
- (l) Supervisory staff are to conduct a daily patrol, including holidays and weekends, of all areas occupied by offenders and submit a daily written report to their supervisor. Unoccupied areas are to be inspected weekly.

- (m) The Facility Head or designee, and designated department heads are to visit the institution's living and activity areas at least weekly to encourage informal contact with staff and offenders and to informally observe living and working conditions.
- (n) The Officer in Charge of each institution/facility or qualified designee conduct at least weekly inspections of all security devices needing repair or maintenance and report the results of the inspections in writing. The purpose of this inspection is to ensure that all bars, locks, windows, doors, and other security devices are fully operational. The results of this inspection should be submitted in writing to the associate warden for custody/assistant superintendent for operations.
- (o) Shift briefings will be held fifteen (15) minutes prior to the time security posts are to be relieved. The Officer-in-Charge (OIC) of the incoming shift will inspect all Officers to determine that they are appropriately attired and prepared for duty.
- (p) Work areas, including housing units, offices, control rooms, etc., are inspected for order and cleanliness on a daily basis by supervisory staff and/or the OIC. These inspections will be documented on the daily activity log.

.1605 DUTIES OF CORRECTIONAL OFFICER

- (a) Correctional Officers are responsible for the control, custody, and welfare of offenders within their assigned areas. Duties are to be performed adequately. Discipline and security are to be maintained, and policies relating to the welfare of offenders implemented daily.
- (b) Key Performance Indicators. Each assigned post within all facilities of Prisons will have written, posted, detailed orders designating the control and safety rules at that station. Every Correctional Officer shall know the proper procedures and techniques for searching individuals, buildings, and vehicles for contraband and for making thorough security inspections and conducting counts. Correctional Officers must be able to remember names and faces and to understand and react in accordance with policies developed to ensure discipline and care of offenders. They must be able to write accurate and concise reports. They shall have a thorough knowledge of policy to provide effective supervision of offenders. Correctional Officers must be capable of acting reasonably and efficiently in emergencies in accordance with established policies and procedures. All correctional Officers shall be thoroughly familiar with emergency operating procedures and the operation of standard firearms. Each correctional Officer shall have a working knowledge of the proper care and use of standard weapons in the facility arsenal. Standard weapons shall be fired for qualification on an approved firing range annually. Training in CPR and CRDT shall be satisfactorily completed.
- (c) Correctional Officers shall follow supervisor's instructions regarding security precautions necessary for control of an offender or offenders. Accountability for each assigned

offender is the responsibility of the supervising Officer. The Officer shall keep each assigned offender under visual observation at all times. When conditions make this impossible, periodic checks, as defined by facility Standard Operating Procedures, shall be made to insure the presence of all offenders. When outside the confines of a prison unit, offenders other than those classified in minimum custody shall be kept under appropriate restraint and under armed supervision at all times.

- (d) Protection of the offenders under the supervision of a Correctional Officer is the responsibility of that Officer. Accident hazards that are observed must be corrected. If they cannot be corrected immediately, they shall be reported in accordance with facility Standard Operating Procedures to the supervisor. When the Officer observes conflict between offenders an immediate effort will be made to control the situation and a report shall be made immediately to the Officer-in-Charge.
- (e) The health of each offender shall be safeguarded. The cleanliness and sanitation of each post is the responsibility of the Officer assigned to the post, no offender shall be unnecessarily exposed to conditions which will endanger the health of the offender. No offender shall be permitted or forced to attempt to perform work that the offender is physically or mentally incapable of performing. The superintendent/warden of each facility shall insure that subordinate staff are informed of the physical or mental limitations of offenders under their supervision. Whenever an offender becomes ill or is injured, the correctional Officer In Charge shall take necessary steps to provide access to medical attention. A prompt and accurate incident report, in accordance with facility Standard Operating Procedures, shall be submitted by the Correctional Officer whenever an offender is injured.
- (f) Offenders shall be clothed in clothing that affords adequate protection against the elements and is suitable for work. Where clothing is inadequate, the Correctional Officer shall take necessary steps to obtain adequate clothing.
- (g) Observed violations of order and discipline, and other disciplinary difficulties shall be reported to supervisors as specified in disciplinary procedures. When an observer of apparent misconduct by an offender concludes that counseling will not be sufficient action because the suspected offender does not appear responsive or because of the seriousness of the suspected offense, the Officer shall report the matter to his supervisor.
- (h) The Correctional Officer should communicate prison rules and regulations to offenders. Advice and counsel on problems not within the Officer's sphere of responsibility should be referred to the Officer-In-Charge or other appropriate staff of the facility.
- (i) Correctional Officers shall maintain a professional objective relationship in their dealings with employees, offenders, individuals under the supervision of the Department of Public Safety (i.e., probationers/parolees), visitors, and members of the general public. Situations where correctional staff are unable to strictly comply with this requirement, staff will immediately report the matter to supervisory staff in writing within forty-eight

(48) hours.

- (j) Correctional Officers shall maintain appropriate logs and complete written reports in a timely and proper manner.
- (k) Performance of Duties. Correctional Officers shall be guided in the performance of their duties by applicable law, prison policy, standard operating procedures, post orders, and daily orders issued by the Officer-In-Charge of the facility. Correctional Officers shall be issued instructions for the performance of their duties by supervising Officers who are responsible for the maintenance of established standards.
- (l) Receiving Custody. The Officer-In-Charge of each facility shall make adequate provision for receiving and keeping in custody, all offenders properly committed or assigned until discharged by law. Before any Officer of Prisons accepts custody of a committed offender, the receiving Officer shall carefully check the commitment papers. When a Correctional Officer is in doubt about the correctness of commitment papers, the immediate supervising Officer shall be consulted before accepting custody of the offender. Each correctional Officer with responsibility for receiving new offenders shall ascertain that the person being delivered is the person described in the commitment papers.
- (m) Surrender of Custody. No Correctional Officer having custody of offenders shall surrender custody under any circumstances except to another duly authorized representative of Prisons or in accordance with an order of a court of competent jurisdiction or by other due process of law. No Correctional Officer shall allow any offender to leave the facility or be given an assignment outside the facility except in accordance with established written policy.
- (n) Judgment. The importance of daily decisions made in reacting to prison situations should be emphasized by the Officer-in-Charge of each facility. Emergency procedures and alternative methods of handling critical situations under varying circumstances shall be reviewed by Correctional Officers as required. Instances of faulty judgment, overreaction, inappropriate use of force, inappropriate use of weapons, and negligent failure to protect or control offenders shall subject responsible Correctional Officers to appropriate disciplinary action.
- (o) It is the responsibility of each Correctional Officer to be thoroughly familiar with each relevant Post Order, Standard Operating Procedures, Emergency Plans, and applicable policies. Officers shall read relevant documents as often as necessary to be current and knowledgeable.
- (p) Correctional Officers shall remain alert and in full possession of their faculties at all times while on duty. Failure to remain alert is unacceptable personal conduct and shall be cause for discipline consistent with the NCDPS-Prisons Disciplinary Policy and Procedures. Post orders shall specify activities that may occur on that specific post, i.e., review of

Prisons' Policies and Procedures. If an activity is not specified it shall not occur (i.e., reading, meditating, listening to radio, etc.) A Correctional Officer shall not leave an assigned post until properly relieved.

.1606 ROSTER MANAGEMENT

(a) DAILY SECURITY ROSTERS:

- (1) Security rosters will be used to list all security personnel and where they were actually working on a given day. Each daily security roster will also contain identification of A and B response teams, cell extraction team designations, and **Self Contained Breathing Apparatus** (SCBA) approved staff.
- (2) All staff working on a scheduled off-duty day will be identified on the daily security roster.
- (3) All staff on leave will be listed in the "Leave" section with the indication of the type of leave used.
- (4) All staff attending training will be listed in the "Training" section of the daily security roster with an indication of the type of training and the amount of time spent away from her/his post.
- (5) All staff working but assigned to a post away from the facility identified on the daily security roster.

(b) STAFF POSTING/ASSIGNMENTS

- (1) Each shift supervisor will maintain a list of security staff assigned to her/his shift. This list will be used to assign security staff to posts as they report for duty to ensure that all Pull Post Level II and III posts are staffed.
- (2) The Assistant Superintendent or designee and the shift supervisor should make every effort when possible to familiarize each Officer with as many security posts as possible to allow greater flexibility in post assignments.
- (3) Shift supervisors will ensure that days off are evenly distributed among staff. Particular attention should be afforded the weekends, ensuring that they are sufficiently staffed. Any manpower variations will be reported to the Assistant Superintendent or designee by the next business day so that proper revision may be made to the master security roster.
- (4) The Assistant Superintendent or designee will make every effort to maintain a balance of experience between shifts at the institution and between operations and housing teams.

- (5) Shift supervisors will ensure that each daily security roster is completed, reviewed, and updated prior to the end of their shift. The daily security roster will be reviewed by the Assistant Superintendent or designee the next business day.
- (6) Daily security rosters (hardcopy or electronic filing) will be maintained for a three (3)-year period and then may be purged accordingly.

(c) **ANNUAL LEAVE (Refer to DPS-HR-300-01 Approved Leave policy for additional information regarding annual leave.)**

- (1) Each facility will establish a method whereby Officers may request leave based on an established process. In scheduling annual leave, each shift supervisor must be mindful of the amount of relief available so as not to be forced into overtime situations. The shift supervisor must consider Officers' training needs and/or military commitments when approving annual leave.
- (2) Officers will submit their leave requests by utilizing a "Request for Leave" form.
 - (A) The request must be submitted to the shift supervisor.
 - (B) Approval/denial of these requests will be based upon date availability, other needs of the institution, and a system to ensure fairness to all employees.
 - (C) Shift supervisors should review these requests as soon as possible and provide the employee with a written decision within five (5) working days from the date of receipt.
 - (D) In the absence of the assigned shift supervisor, the relief shift supervisor or higher authority will assume this responsibility.

(d) **REQUESTS FOR SHIFT OR POST ASSIGNMENT CHANGE**

Each facility will develop a formal process for allowing employees to request shift changes or post assignment changes. The request must be submitted in writing to the Facility Head or designee. Approval/denial of these requests will be based upon needs of the institution, and a system to ensure fairness to all employees. The Facility Head or designee should review these requests as soon as possible and provide the employee with a written decision.

.1607 POST CHARTS

- (a) **Post Charts:** A central automated post chart on each facility detailing identified posts by name, number of hours of operation, and applied relief factor for each post will be maintained at the division level on a Web-based computer program. Access to viewing

the current approved post chart for each facility will be available to all Region Directors and Facility Heads. Annual reviews (Post Chart Summary Review Form) of the post charts will be conducted by the Facility Head and submitted to the Prisons Operations Manager via their Region Director. Recommended Post Changes will be documented on the Recommend Post Modification Form. The annual review of all post charts and a report of changes to security staffing will be conducted by the Division Operations Manager.

Current post charts will be based approximately on the total number of authorized and funded security positions, ensuring that the number of assigned security staffing positions assigned to a prison is consistent with the number of positions identified in BEACON. Copies of previous post charts will also be maintained on the computer program for historical purposes. Minor variances may be authorized by the Deputy Director with proper justification.

- (b) **Post Hours:** All post charts will clearly state the hours of duty for each specific post. The standard scheduled hours for any specific post will normally be either 8, or 12 hours for one shift. Facilities may request by memorandum and be granted exceptions to the 8 or 12-hour schedule by the Deputy Director, (e.g., 10-hour / 4-day workweeks).
- (c) **Post Days:** All post charts will clearly state the number of days each post is designated to be manned. The standard number of days for any specific post will normally be either 5 or 7 days. Duties requiring less than 5 days are normally considered to be tasks, not posts, and will be considered when assessing the overall posting needs of the facility. Facilities may request by memorandum and be granted exceptions to the 5 or 7-day schedule by the Deputy Director.
- (d) **Pull Posts:**
 - (1) Pull Post Level I: The first posts pulled in order to provide coverage elsewhere in the facility, reduce overtime, or designated as a first responder. Pulling a Level I post should still allow for full delivery of services, programs, and facility operations. Overtime is normally never authorized to fill these posts.
 - (2) Pull Post Level II: The second priority post to be pulled if coverage is needed in another area. The facility should be able to maintain minimal normal operations. Programs, education, and work activities may be scaled back as necessary. Post assignments should be prioritized with overtime authorized based on population requirements and duration of reduced staff availability. Pull Post Level II are essential posts that should be filled to meet the facility's Standard Operating Procedure. The post should only be pulled in emergency situations.
 - (3) Pull Post Level III: Level III posts are considered critical posts and are almost never pulled unless there is a riot or emergency. Pulling a Level III post would normally require minimal or no program and restrictive/lockdown operational

characteristics necessary to meet custody and control, staff and offender safety, and public protection requirements. Overtime for Level III posts will normally be authorized. These posts are considered critical to the safety and welfare of the general public, staff and offenders.

- (e) **Post Relief Factor:** A standard division wide security staffing relief factor formula is the calculated numerical multiplier applied to the number of posts identified to produce the numbers of staff needed to ensure coverage. The relief factor is a formula based on staff absences for vacations, holidays, personal days, sick leave, workers' compensation leave, training days, military leave, and other factors. The relief factor formula shall be updated at least every three years. All post charts will clearly state the relief factor for each designated post, determined by the number of hours per day, the number of days per week, and the actual need to replace the post when the assigned Officer is unavailable. Current security staffing relief factors are as follows:

| POST HOURS | NO RELIEF | 5 DAY POST | 7 DAY POST |
|------------|-----------|------------|------------|
| 8 HOUR | 1.00 | 1.24 | 1.73 |
| 12 HOUR | 1.00 | N/A | 2.60 |

- (f) Permanent changes to facility post charts must be approved by the Deputy Director. The Deputy Director or designee will ensure approved post chart changes are entered in the automated post chart system and that the Facility Head and the Region Director are notified of any changes. A record of all post chart changes, identified position needs, and unallocated positions will be maintained by the Division Operations Manager and must not exceed the number of funded security positions.
- (g) Temporary changes to the facility post chart staffing pattern or creation of additional posts to meet short term operational needs may be approved by the Facility Head or Region Director as follows. Facility Heads may approve short term post chart changes for a period not to exceed 30 days. Region Directors may approve short term changes that exceed 30 days but not to exceed 90 days. All short term changes exceeding 90 days must be approved by the Deputy Director, and should not exceed a total of 12 months from the original date the change was initially identified. Written justification detailing the need, post hours, and expected duration of the temporary post should be submitted through the chain-of-command to the appropriate approving authority and maintained on file for a period of three years.
- (h) Proposed post charts are prepared by the Division Operation Manager at the request of the Director of Prisons, Region Director, or Facility Head and reviewed by the Deputy Director. Proposed post charts will be submitted to the Facility Head for review and then through the Region Director for concurrence prior to submission to the Deputy Director for final approval. Rosters will not be changed to reflect these modifications until the post chart has been approved.

.1608 STAFFING LEVELS

- (a) The Division Operations Manager will be responsible for maintaining a current division-wide “staffing level” chart designating all levels of security staffing. Review and revision to this chart will be made on an as needed basis each time a revised or new post chart is generated.
- (b) The Division Operation Manager will also be responsible for tracking identified staffing deficits, surpluses, and all changes to the initial post audit.
- (c) After review and recommendation by the Division Operations Manager, the Deputy Director, will approve all revisions to security staffing levels.

.1609 GENDER SPECIFIC POSTS

The Department of Public Safety is committed to ensuring that each employee has equal opportunity in agency employment practices. In doing so, adequate provisions will be incorporated into the designation of security posts and assignments to provide for the offenders’ right to privacy to the extent that such privacy safeguards do not impede the department’s ability to insure the operation of safe and secure correctional facilities.

Internal guidelines have been established by which gender specific security posts and assignments are designated and utilized based on balancing the security and privacy interests of staff, offenders and the general public. Gender specific posts and assignments apply only to security staff at the Correctional Officer level. No supervisory post will be designated as gender specific. These standards apply to male facilities. Female facilities may use these standards as a general guide but may have to specify more gender specific posts based on operational needs.

- (a) Housing:
 - (1) Small minimum security facilities with a capacity generally less than 150 offenders, may utilize one gender specific post per shift.
 - (2) Larger minimum security facilities are typically staffed with one Officer for two dormitories on first shift and one Correctional Officer per dormitory on second shift. One gender specific post for every two dorms may be designated.
 - (3) Medium security dormitories may post one gender specific post in the housing area of each dormitory for conducting complete searches, leaving one or two post non-gender specific.
 - (4) Close security single cell housing facilities for regular population offenders may post one gender specific post in the housing area of each unit for conducting complete searches, leaving two or more post non-gender specific.
 - (5) Offenders will not be supervised by Officers of the opposite gender while

offenders are showering or in the toilet area unless appropriate privacy screening is provided to obscure the view of breasts, genitalia and buttocks.

- (6) Staff of the opposite gender shall be required to announce their presence when entering a housing area. Such announcement shall be made at a minimum of once upon the shift change by an “opposite gender” employee assigned to the housing area. This announcement shall be documented in the shift log. Any other opposite gender employee must announce when entering a housing area and document in the shift log.
 - (7) Offenders will be required to cover themselves appropriately in accordance with local rules and requirements when not in the shower or not utilizing toilets and while in route to and from these areas.
- (b) Control Housing: Posts involving the direct supervision of offenders in restrictive housing for administrative purposes (RHAP), restrictive housing for disciplinary purposes (RHDP), or any control status to include protective control (PCon) will be gender specific to the offenders being supervised.
- (1) Direct supervision in these areas refers specifically to the duties of supervising offenders while showering and/or the performance of strip searches.
 - (2) Strip searches associated with escorted movement may be performed by the staff providing direct supervision, i.e. assigned housing unit Officers and not necessarily by escort staff unless the escort staff is of the same gender as the offender.
 - (3) Control room assignments, offender escort Officers and other posts not requiring the performance of the specific tasks referred to above are not to be designated as gender specific to the offender being supervised.
- (c) Special-use housing areas including mental health units, transitional care units, and medical infirmaries require additional gender specific assignment consideration in keeping with any specific conditional requirements for such housing that may conflict with staff’s ability to effectively address privacy concerns for offenders housed there. Such requirements include the following:
- (1) Offenders are frequently on some type of enhanced supervision ranging from every fifteen (15) minutes to constant one-on-one observation. Such observation is required by medical/mental health staff. and many times involves offenders who either refuse or are incapable of keeping their genitalia, buttocks and breasts covered appropriately.
 - (2) Offenders on one-on-one constant “watch” status must be observed at all times including when they are utilizing the toilet and bathing or showering.

- (3) Cell extraction teams should be gender specific in such settings when time and circumstances allow. This would also apply to teams responsible for applying medical restraints in those cases where resistance by the offender is anticipated.
 - (4) Assignments/posts within these special units that do not require participation in any of the required activities listed above are not to be gender specific.
- (d) Transportation of Offenders:
- (1) When two or more Officer are utilized during transportation of medium and close custody offenders, there should be at least one (1) Officer of the same gender as the offender(s). When transporting medium custody offenders between facilities and only one Officer is present, there is no gender restriction required unless there is reason to believe that the transporting Officer may have to conduct a complete search of the offender.
 - (2) There will be no gender restrictions regarding the transport of minimum custody offenders.
- (e) Outside Work Squads:
- Outside Work Details on Facility Property: Outside work detail Officers, the department non-security supervisors, and non-department supervisors may be the opposite gender as the offender(s) being supervised.
- (f) Vocational and Enterprise Buildings:
- If the program involves tools or materials with the potential to make a weapon and offenders are stripped searched at the conclusion of the class / shift, one gender specific post per shift may be authorized.
- (g) Receiving:
- If one position is assigned to receiving of new or transferred offenders, the post may be gender specific. If multiple positions are assigned to receiving, and post involved in conducting complete searches of offenders will be gender specific. Offenders received at male facilities will be strip searched by male Officers and female offenders received at female facilities will be strip searched by female Officers.
- (h) Gatehouse:
- A gender specific post may be established at the gatehouse of minimum security facilities where complete searches of large numbers of offenders are conducted.

(i) Visiting:

One or more gender specific post may be established at higher security facilities which conduct complete searches for visiting in a holding area and other security staff cannot be readily pulled for this activity.

(j) Search of Offenders:

(1) Routine, **clothed (pat/frisk)** searches of male offenders may be conducted by Correctional Officers of either **gender**.

(2) Routine, **clothed (pat/frisk)** searches of **offenders housed in female facilities will be conducted by female Correctional Officers**. Routine, **clothed (pat/frisk)** searches of offenders housed in female facilities will **only be conducted by male staff during an exigent circumstances as determined by the shift supervisor**. **In such cases, the staff conducting the search will thereafter submit a statement by witness form explaining the exigent circumstances that justified the search exception. A supervisor will be responsible for completing an Incident Report.**

(3) **Absent exigent circumstances, complete (strip) searches of offenders housed in a female facility will be conducted by female Correctional Officers and complete (strip) searches of offenders housed in a male facility will be conducted by male Correctional Officers. Complete (strip) searches may be conducted by Correctional Officers of a different gender from the offender only under exigent circumstances as determined by the shift supervisor. In such cases, the staff conducting the search will thereafter submit a statement by witness form explaining the exigent circumstances that justified the search exception. A supervisor will be responsible for completing an Incident Report.**

(4) Searches of offenders shall not be conducted for the purpose of determining the person's genital status as if relates to transgender or intersex.

(5) All searches of offenders will be in accordance with Division of Prison Policy F .0100 Operational Searches.

(6) All positions, posts, shifts and assignments not specifically addressed herein and/or for which a specific exception has not been obtained from the Secretary will be equally available to all security staff without regard to gender.

.1610 TRAINING

The Division Operations Manager will provide training for all Facility Heads, and Assistant Superintendents, to include the purpose of post charts, how post charts are formatted, how the relief factor is calculated, how pull posts are designated and utilized,

the use of activity charting, and how the determinations are made to deploy the right number of Officers, on the right shifts, at the right place and at the right time to maximize strength.

.1611 POST REVIEWS

- (a) Each Facility Head should conduct an annual review of the facility post chart to ensure all post are necessary and are being utilized as authorized. The number of security staff required on the post chart should be compared with BEACON records to assure the appropriate number of security staff positions are assigned to the facility. Annual facility reviews should include a record of the following information.
- (1) In the event that a position has been approved to be “loaned” (to or from) as a work against position, the position number and the location the position has been loaned to or from will be forwarded to the Division Operations Manager.
 - (2) Positions on “special assignment” will be denoted with the position number identified and the reason for the special assignment.
 - (3) The Facility Head will approve the annual review and forward the (Post Chart Summary Review Form) to the Region Director who will review and approve the document before forwarding to the Division Operations Manager detailing the accuracy of the existing post chart, changes that are requested (Recommended Post Modification Form), and any information detailed in numbers 1 and 2 above.
- (b) The Division Operations Manager will be responsible for conducting on site post-reviews of every prison at least once every three years; conduct annual reviews of post-review charts through the automated post-audit system; and conduct other staffing reviews as necessary.

.1612 SECURITY STAFFING PLANNING

- (c) Prior to the opening of a new facility, the Department of Public Safety, Prisons, will establish a Security Staffing Plan for the new facility in accordance with the standards of the Federal Prison Rape Elimination Act, NC General Statutes and guidelines provided by the National Institute of Justice, Security Staffing Training, as well as, NC Department of Public Safety, Division of Adult Correction and Juvenile Justice and Prisons policy and standard operating procedures.
- (d) If the new facility is a prototype design of another Prison’s facility with the same mission, custody, and security, then the agency may apply the same staffing plan from the prototype facility to the new construction facility.



Director of Prisons
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08/12/2019

Date

Management of Security Posts

| Post Functions Column | |
|---------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| MG/ | Management (Capt. and Unit Mgrs.) |
| SUP | Supervisory (Asst. Unit Mgr., Sergeants and Lead Correctional Officers) |
| IS | Internal Support for areas other than Housing Areas inside Complex (Kitchen, Vocational, Education, Programs, Hospital, etc.) |
| ES | External Support for areas outside Housing Areas or Complex (Mailroom, Arsenal, Galben, Clotheshouse, Warehouse, PPV, Towers, etc.) |
| SP | External Operations (Visitation, Road Squads, Litter Crews, Transportation, Transfer Bus, etc.) |
| ADM | Administrative and Fiscal Support (Policy, Standard Operating Procedures, Post Orders, Investigation, Cycle Counts and etc.) |
| RP | Standard Duty Post (Dorm Officer, Floor Officer, Control Center Officer) Standard Duty Post |
| Priorities Column | |
| CRI | Critical post to the safety and security of facility (Mandatory filled) |
| ESS | Essential post for normal operations to be maintained at the facility without significant impact. |
| IMP | Important (Post part of normal operations but periodic pulling of post does not pose immediate threat to safety and security of facility) |
| Pull Posts Column – Should be same as Priorities or Post Should be assessed | |
| Level 1 | IMP – Important Posts that can be routinely be pulled without immediate threat of safety and security of facility. |
| Level 2 | ESS- Essential Post that when pulled effects the normal operation of the facility. |
| Level 3 | CRI – Critical Post that when pulled may cause an immediate threat to the safety and security of the facility |
| Officers Per Shift – Total number of posts assigned to that job assignment per shift | |
| Relief Required – Yes or No Answer. 1.00 Relief Factor = No Everything else = Yes | |
| Total Positions – Total positions per 24 hour total multiplied by Relief factor. | |
| Post Description Key | |
| Control Station Housing Area | Post within a housing area where the officer must be stationed. Locked physical station with electronic door controls. |
| Dorm Officer | Post observing dormitory area. (For example: 104 or 208 dorms) |
| Block/Pod Officer | Post assigned to work inside cell block or pod area. (For example: Single cell housing at Medium/Close) |
| Gate Officer | Post assigned to search vehicles making deliveries or pickups to/from certain prisons. (i.e. dining hall, enterprise) |
| Gatehouse Search Officer | Post created by new Entrance/Exit Policy |
| Corridor Officer | Post assigned to certain large facilities for hallway control. |
| Hospital Officer | Post assigned to work Medical Clinic or one of prisons medical facilities. |
| Kitchen | Post assigned to correctional officer supervision over the food preparation area. |
| Mailroom | Post assigned to correctional officers picking up, sorting and distributing mail. |
| Support Officer | Special full time assignment post for correctional officer for specified duty required for facility. (i.e. landscaping inmate supervision, Shore Building assignment, Western Governor Residence, and etc.) |

Superintendent/Administrator

Date

Region Director

Date

Management of Security Posts

DPS-101

Recommended Post Modification

Effective 2012

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|--------------------|-----------------|-----------------|------------------------|-----------------|-----------------|-----------------------------|-----------------------------|----------------------------------|-------------------|---------------------|------------------------------|---------------------------------|----------------------|-----------------------------------|--|
| | | | | | | | | | | | | | | | |
| DOP Region: | | | | | | | | Facility Name: | | | | | | | |
| Date: | | | | | | | | Superintendent Signature: | | | | | | | |
| Post | | | | | | | | | | | | | | | |
| | | | Attributes | | | Officers Per Shift | | | | | | Computation | | | |
| | Function | Priority | Pull Post Level | 8hr 5day | 8hr 7day | 1st 8hour | 2nd 8hour | 3rd 8hour | Day 12hour | Night 12hour | Shift Relief Required | Total Staff per 24 hours | Relief Factor | Total Position(s) Proposed | |
| From: | | | | | | | | | | | | | | | |
| To: | | | | | | | | | | | | | | | |
| Comments: | | | | | | | | | | | | | | | |
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