

Security Staffing Assessment of SCDC (Redacted)

Included in the Department of Corrections' (SCDC) January 16, 2020 letter to the House Legislative Oversight Committee (LOC). This information was provided in response to the following question in LOC's December 20, 2019, letter to the Department of Corrections: "2. Please provide the security staffing report prepared by Dr. Roth."

In addition to providing the information in this document, SCDC provided the following response:

- The full Roth Report is not a public document; therefore, I am attaching a redacted version of this report for the committee. The complete unredacted version is protected by a confidentiality court order. Portions that are redacted were done so for protection of security protocol.



SECURITY STAFFING ASSESSMENT

South Carolina Department of Corrections

A review of thirteen Department of Corrections facilities to determine the required security staffing levels necessary to meet established responsibilities

Submitted for the South Carolina Department of Corrections

Columbia, South Carolina

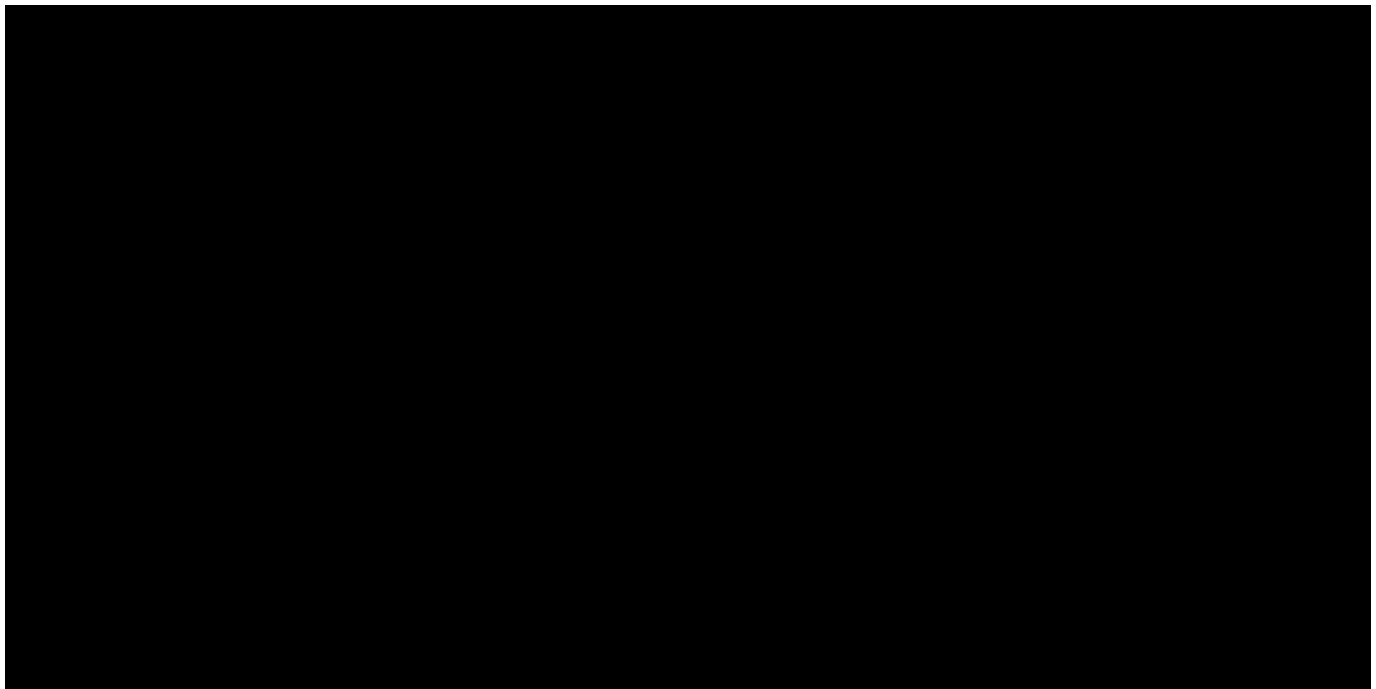
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March 2018

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EXECUTIVE SUMMARY

Although the number of inmates within the South Carolina Department of Corrections (SCDC) has steadily dropped, the agency still faces a significant shortage in the number of security personnel available to meet the mission of the agency. The primary purpose of this project is to identify the recommended number of security staff necessary to meet existing responsibilities. The study indicates that for the thirteen institutions included in the review, a total of 4,042 security positions are being recommended. On January 1, 2018, there were 2,030 security staff assigned to the same facilities. The recommendations are reflective of establishing an effective level of security personnel for each institution in a manner consistent with individual institutional needs, professional industry standards and practices.



Security staffing levels have not been aligned with meeting established workload responsibilities for an extended period. This occurrence is not the result of a recent event or circumstance; however, has been an ongoing trend and only recently in the past two years been exacerbated by the growing number of alternative job opportunities available. Half of the thirteen institutions reviewed were operating with fewer than 50% of the security personnel needed, and not one of the institutions was operating at higher than 62%. On average the facilities were operating at 50.5% of the recommended staffing level.

Facility management personnel have had to deviate from the established staffing plan and implement initiatives to maintain minimum operations at each facility. These initiatives often result in higher operating costs, elevated turnover rates, assaults, and a reduction in services.

As front-line staff account for most of the overall security positions, they also account for most of the vacancies. Approximately 1,440 of the vacancies are in the front-line positions. This includes cadets, correctional officer I/II's and corporals.

Employment Options.

Department executive personnel have recognized the staffing issue and have aggressively identified hiring and staff retention as a priority for the department. Efforts by the department have been both expansive and creative. All the traditional marketing methods have been used as well as applying methods beyond the norm. With the state and federal unemployment rates being in the 4.1% range at the time this report was prepared, a surplus of employment options are available for both potential candidates and existing employees seeking new opportunities.

The state of South Carolina and the Department of Corrections is not alone in this challenge. Within the past two years at least ten states have recognized the need to establish increasing incentives for state correctional staff by approving legislation resulting in a combination of pay raises, annual increases, comparable leave-time provisions, and sign-on bonuses. Compensation and incentives are steadily increasing on a national basis to commensurate with the duties associated with performing one of the more demanding responsibilities within state government.

For the department to have any opportunity to meet the staffing levels required to accomplish the established responsibilities of the department, legislative initiative and support is a requisite.

Scheduling and Staff Availability.

In the corrections industry it is critical to clearly identify the workload responsibilities to be met and to establish assignments designed to meet those responsibilities. In an industry where safety is paramount for both staff and inmates, the availability of sufficient personnel and the effective deployment of well-trained staff is essential to achieving the goal of successfully maintaining overall operations. When that does not occur the most common responses are:

- *Excessive overtime expenditures (The state pays more to get the same job done);*
- *Temporary curtailment of programs, services and treatment (Failing to meet the mission);*
- *Post assignments do not get filled (Safety); and*
- *Operational deficiencies are exposed to all concerned. Observed deficiencies often can lead to perceived opportunities which can result in contraband, disturbances, assaults and escape-related incidents.*

As part of the staffing recommendation process, work schedules and the frequency in which staff are available to fill a post assignment were reviewed.

There are several different work schedule options to consider when deploying security personnel. The department follows the Federal Fair Labor Standards Act and state guidelines regarding work hours and overtime. South Carolina wage and hour laws are primarily adaptations of the federal laws. Established work periods and overtime thresholds have been defined to allow the most cost-effective schedules to be applied.

In comparing a 12-hour work schedule with a more traditional 8-hour schedule from an initial cost perspective, fewer staff are required to fill the same posts when applying the 12-hour schedule. Additional factors to be considered when choosing a work schedule include whether staff support the recommended schedule, the impact and ability to back-fill vacant assignments and the fatigue factor. The application of a 12-hour, (168 hrs.) work schedule is recommended. Staff would be scheduled to 168 hours per pay cycle.

A second element which influences the ability to meet workload responsibilities includes identifying the average number of hours staff are available to fill a post assignment. Shift relief factors were developed for each institution, by security level and as an overall average. Applying a shift relief factor is critical to determine how many full-time staff are needed to fill one post assignment throughout the year. The shift relief factors were based on average reported leave/off-post time for the most recent completed three-year period.

The following table provides a breakdown by institution of the revised shift relief factors when applying three different work schedules. The shift relief factor (SRF) represents the average number of staff required to fill one 24-hr. assignment throughout the year.

| SCDC Updated Shift Relief Factors – 2018 | | | |
|---|--|--|---|
| Average 2015, 2016, 2017 | 8 Hour Shift 24/7 days (160 hrs.) | Straight 12 Hour Shift 24/7 days (168 hrs.) | Combined 10 hr./8 hr. (160 hrs.) |
| Institution | | | |
| <i>Level 3</i> | | | |
| Broad River | 5.45 | 5.03 | 5.88 |
| Kirkland | 5.56 | 5.12 | 5.98 |
| Lee | 5.56 | 5.13 | 5.99 |
| Lieber | 5.47 | 5.04 | 5.89 |
| McCormick | 5.67 | 5.21 | 6.11 |
| Perry | 5.45 | 5.03 | 5.88 |
| Average | 5.53 | 5.09 | 5.96 |
| | | | |
| <i>Level 2</i> | | | |
| Evans | 5.33 | 4.92 | 5.75 |
| Ridgeland | 5.49 | 5.06 | 5.92 |
| Turbeville | 5.57 | 5.13 | 6.01 |
| Tyger River | 5.35 | 4.94 | 5.76 |
| Kershaw | 5.41 | 4.99 | 5.82 |
| Average | 5.43 | 5.01 | 5.85 |
| | | | |
| <i>Female</i> | | | |
| Camille Graham | 5.46 | 5.03 | 5.88 |
| Leath | 5.56 | 5.12 | 5.99 |
| Average | 5.51 | 5.08 | 5.94 |
| | | | |
| Overall Average | 5.49 | 5.06 | 5.91 |
| | | | |
| Ten Posts - 24/7 | 54.9 | 50.6 | 59.1 |

The table identifies the “Straight 12-Hour Shift” as the work schedule which results in the fewest number of staff to be required. Staff assigned are scheduled to work (168) hours in a 28-day cycle.

The remaining work schedules result in staff scheduled to work (160) hours in a 28-day period. After applying the additional 8-hours per pay-cycle, the straight 12-hour schedule remains initially the most cost-effective.

As noted, additional factors to be considered when choosing a work schedule should include whether staff support the work schedule, the impact and ability to back-fill vacant assignments and the associated fatigue factor.

Additional information derived from collecting the shift relief data for the three-year period includes:

- The average full-term security employee worked approximately (46) fewer hours in 2017 compared to 2015 due to an overall average increase in the use of leave-time during 2017;
- The average full-term employee used (108) sick-leave hours in 2017. In 2015, an average of approximately (82) hours of sick-leave was used;
- The average full-term security employee at McCormick used (146) hours of sick-time in 2017. The average at the remaining level 3 facilities was (107.8).

Shift relief data is inputted at the institutional level and managed by personnel from the Resource and Information System. Data is submitted for all full-term security staff and is not sorted based on work schedules. To determine whether staff assigned to one work schedule may result in less overall leave-time being used, the department may want to consider establishing a pilot-study to evaluate the same.

Roster Management

The fundamentals of an operations-based roster management system are in place. The Division of Security has established a system that incorporates all the required elements to identify, deploy and track staff utilization. As staffing levels within the institutions decreased and personnel changes occurred, portions of the system began to breakdown. During the review period, post assignments identified as “mandatory” go unfilled, minimum staffing levels established by the department are no longer consistently being met, required full-shift post assignments are being filled intermittently and daily shift rosters have become less accurate.

Without the use of an effective roster management system it becomes extremely difficult to communicate the staffing needs to major stakeholders. As a result, the actual number of staff required for each facility becomes unknown. When staffing levels are operating at approximately 50% of the required level, the institutions are limited in what can be accomplished. However, staff can ensure shift schedules are balanced, deployment practices are prioritized, and accurate documentation is provided to reflect how staff are used. Daily shift rosters should be viewed as potential legal documents, that identify post assignment coverage.

A training curriculum should be developed to address appropriate roster management issues and to better prepare institutional personnel in how to properly maintain their roster management systems.

Post Assignment Enhancements

Recommended staffing levels have been developed based on identified workload responsibilities for the thirteen institutions. Workload responsibilities were determined after considering the mission of each institution, applicable state and federal laws, national standards, best practices, SCDC policies and directives and the 2016 approved Mental Health Settlement Agreement (*T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925*).

The results of the assessment reflect each institution requires significantly more security staff to meet existing responsibilities. A total 4,042 security positions are being recommended and on January 1, 2018, there were 2,030 assigned. Additional personnel are recommended for each institution and in every classification except for the "major" position. 68% of the recommended positions are considered front-line staff which includes cadets, correctional officer I/II's and corporals. The recommendations are based on each institution being fully operational including the use of housing areas and select posts not routinely being used.

The recommendations represent a combination of factors that include the following:

- A Shift Relief Factor (SRF) is applied to most post assignments to recognize the importance and potential impact of not meeting the associated workload responsibilities. The lack of applying a SRF, will result in not enough personnel being built into the roster, thereby increasing the probability that post assignments go unmanned.
- Additional security personnel are recommended for all inmate housing units. The workload responsibilities of a correctional officer assigned to a housing unit are expansive. Based on the everyday responsibilities of an officer and the activity levels of housing units, the current staffing practice is inconsistent with realistic expectations of what an officer can accomplish.
- Additional security personnel are recommended for each yard area. Observed practices, supported by daily rosters reflected no yard officers, one officer and/or intermittent coverage is normally provided. It is an essential and fundamental correctional practice that non-stationary security staff be available to conduct security checks throughout the facility, provide support, be available to monitor, control and authorize inmate movement and to serve as first responders.
- Additional individual post assignments are being recommended to meet existing workloads that are routinely being met by staff working overtime or not being met, and to address areas to be consistent with established policies and professional industry standards and practices. This includes:
 - Providing sufficient personnel for outside hospital coverage;

- Establishing institutional security compliance personnel;
- Recognizing the personnel requirements necessary to apply an integrated approach to the operations of residential mental health treatment programs;
- Providing medical escort/security coverage to ensure program and treatment services are provided as needed in a secure manner;
- Establishing a Front-End Sergeant position to address area responsibilities;
- Establishing Security Relief posts to meet established policies that require staff receive at least one 30-minute break each shift;
- Establishing a Field Training Sergeant position for each institution to assist in providing on-post mentoring, support and guidance; and
- Establishing a Security Captain position for each level 3 facility to coordinate, develop and enforce in-house strategies designed to enhance overall security within the facility.

Summary Statement

For the past several years the executive leadership team of the South Carolina Department of Corrections has explored most every option to effectively operate the institutions in a manner that is consistent with the mission of the agency. Due to staffing levels, existing human resources have been overextended, day-to-day operations have been streamlined, and program and treatment services have been curtailed.

There is simply not enough security staff assigned to effectively meet the established responsibilities on a consistent basis. Staff utilization patterns, alternative work schedules, condensed housing, enhanced physical plant security, and centralized programs and services have all been thoroughly examined and implemented to ensure the most cost-effective practices are being applied.

It is not a question of ineffective policies, inappropriate use of available resources or an executive leadership team that is not committed. Unless there is a dramatic decrease in the overall number of inmates housed within the facilities that would reduce the workload or a significant increase in staff, there will continue to be challenges to maintain an environment consistent with the department's mission.

The average overall staffing level of the (13) institutions was approximately 50 percent of the recommended level required to effectively meet the workload requirements. Most of the operational deficiencies cited in the report can be attributed in variable magnitudes to existing staffing levels.

INTRODUCTION

PROJECT BACKGROUND

In June 2017 representatives of the South Carolina Department of Corrections contacted the analyst regarding the feasibility of conducting a security staffing study of thirteen institutions within the South Carolina Department of Corrections (SCDC). Specifically, the expressed interest was to have an independent assessment conducted on security staffing positions and for staffing level recommendations to be established taking into consideration department policies, state and federal laws, national standards, recognized best practices, the mental health settlement agreement¹ and the mission of each institution. The primary goal was to identify the appropriate number of security staff required to efficiently operate each of the thirteen institutions.

Level 1-A, community-based pre-release centers, stand-alone work release centers, level 1-B minimum-security facilities and four level 2 SCDC institutions were not included in the project.

The scope of services required the staffing analysis to include developing shift relief factors for each institution as well as provide an analysis of current deployment practices based on existing resources.

Final approval for the project was received in September 2017 and the first of thirteen separate on-site facility visits occurred in September 2017. The thirteen facilities identified as part of the project included the following:

| Institution | Location |
|-----------------------------------|-------------------------------|
| <i>Level 3 Maximum Custody</i> | |
| Broad River | Columbia, South Carolina |
| Kirkland | Columbia, South Carolina |
| Lee | Bishopville, South Carolina |
| Lieber | Ridgeville, South Carolina |
| McCormick | McCormick, South Carolina |
| Perry | Pelzer, South Carolina |
| <i>Level 2 Medium Custody</i> | |
| Evans | Bennettsville, South Carolina |
| Kershaw | Kershaw, South Carolina |
| Ridgeland | Ridgeland, South Carolina |
| Turbeville | Turbeville, South Carolina |
| Tyger River | Enoree, South Carolina |
| <i>Female Multi-Level Custody</i> | |
| Camille Graham | Columbia, South Carolina |
| Leath | Greenwood, South Carolina |

¹ T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925.

To perform the work, the analyst submitted a list of requested documents, met with members of the executive staff and conducted initial interviews both at department headquarters and by telephone. Follow-up interviews and requests for additional documentation occurred throughout the duration of the project. At least one full day of an on-site assessment was conducted at each institution. While at the facility management personnel, supervisors and line staff were interviewed, post assignments were inspected, documentation was examined, and operational practices were observed. Follow-up contacts were made repeatedly throughout the project.

The observations, comments and recommendations contained in this report are based on the findings and professional judgement of the analyst, feedback received from nationally recognized peers in the industry, feedback from SCDC personnel, forty years of experience in the adult detention field, prior completion of over 100 correctional staffing assessments, and knowledge of industry standards and best practices.

The report represents the completion of a "security staffing assessment" of thirteen institutions and should not be considered an audit or system-wide operational review. The use of professional audit standards for documentation review was not requested and a comprehensive review of all operational practices was outside the scope of the project.

METHODOLOGY

To address the goals and gain an improved appreciation for the recent history and current impact security staffing levels were having on institutional operations, three primary components were applied: Documentation Review, Staff Interviews and On-Site Assessments.

Document Review. In September 2017 a document and data request for materials pertinent to the project was submitted. SCDC was extremely responsive to the request and has continued to be supportive throughout the project. Documents requested and reviewed included in part the following:

- Applicable Department of Corrections policies that identified staff-related requirements, conditions of employment, coverage and responsibilities;
- Post Orders describing expected staff responsibilities for specific post assignments;
- Security staff overtime usage reports;
- Completed daily shift rosters from each institution and each operating shift;
- Post Charts identifying the department recognized security staffing requirements for each institution;
- Security staffing levels by position classification;

- Approved full-time equivalent (FTE) security positions by classification;
- Inmate profile demographics;
- Established mission and profile of each institution;
- Security staff use of benefit-time and training data;
- Number of staff assigned to inmate transportation and the frequency of the same;
- Security staff workload responsibilities at outside hospitals;
- The applicable Mental Health Settlement Agreement;
- Mental Health Implementation Panel Reports;
- 2017 SCDC Mock PREA Audit Results;
- Number of lock-down days due to staffing levels;
- Starting and average salaries by position classification; and
- Assault and contraband related incidents by institution.

Interviews. For a better understanding of the data collected and clarification on the responsibilities and mission of each facility, staff were interviewed including both central office personnel and personnel assigned to each institution. The primary purpose was to gain a more in-depth understanding of both the day-to-day and operational management issues underlying the data collected.

On-Site Assessments. Prior to arriving at each institution, telephone contact was initiated, and an email was sent to each warden advising them of the purpose of the upcoming site visit. A request for additional documentation was submitted and valuable feedback was gained pertaining to staffing related issues.

Each warden, when available was interviewed at the start and end of the on-site assessment. If the warden was not available an associate warden was contacted. During most assessments the warden or associate warden accompanied the analyst during part or all the assessment.

The on-site assessment included reviewing requested documentation, observing ongoing institutional operations, interviewing staff, inspecting the physical plant, and examining post assignments and their associated responsibilities. Follow-up telephone calls were made to most institutions to clarify pending issues.

Initial staffing recommendations were developed based on using the following standards:

- Post assignments are established in accordance with the goals of maintaining effective security;
- Post responsibilities are completed by personnel in the appropriate position classification;
- The level of staff deployment is consistent with inmate classification levels, programs, services and treatment requirements;
- Staff deployment levels correspond with meeting established workload responsibilities;
- Staff deployment levels allow for staffing requirements and inmate services to be provided according to established SCDC policy;
- Post Orders for each assignment are documented and well-defined;
- Security supervisors are available to provide guidance and support as needed;
- Post assignments are staffed by a certified employee if during normal operations there is regular contact with inmates;
- Staff assignment practices are flexible enough to deploy personnel as needed to respond to changing demands throughout the institution while maintaining post assignment security;
- Staff deployment patterns are based on established workload responsibilities and properly balanced between shifts;
- Application of a cost-effective work schedule;
- Overtime utilization is held to a minimal level required to perform critical operational functions; and
- Staff deployment levels take into consideration the on-going activity schedule, inmate classification, availability of security enhancement equipment, electronic surveillance and the overall integrity of the physical plant.

Applying these standards, staffing recommendations were then developed based on each institution being fully operational, including staffing housing areas and select perimeter towers that may have been closed during the review period.

SECURITY STAFFING PROFILE

Security staffing levels in most of the institutions have been a critical concern for an extended period. To accomplish the goal of identifying the number of security staff required to effectively operate each institution, a review of current and recent staffing trends was initially completed for the thirteen institutions.

SCDC personnel made available security staffing level data for the period of January 2011 through January 2018. Results reflected staffing levels for every institution except for one had dropped significantly. The Camille Graham Correctional Institution had (7) additional staff on January 1, 2018, compared to January 1, 2011. Workload responsibilities at Graham were enhanced in 2015-2017 to include the operations of a work-release program, crisis stabilization unit, expanded intermediate care services, and to provide inmate hospital coverage at the Palmetto Richland Memorial Hospital. Each added responsibility required additional personnel.

The remaining twelve institutions were operating at an average of approximately 74% of the staffing level that was available in January 2011. The levels in 2011 were considered less than optimal as facilities were

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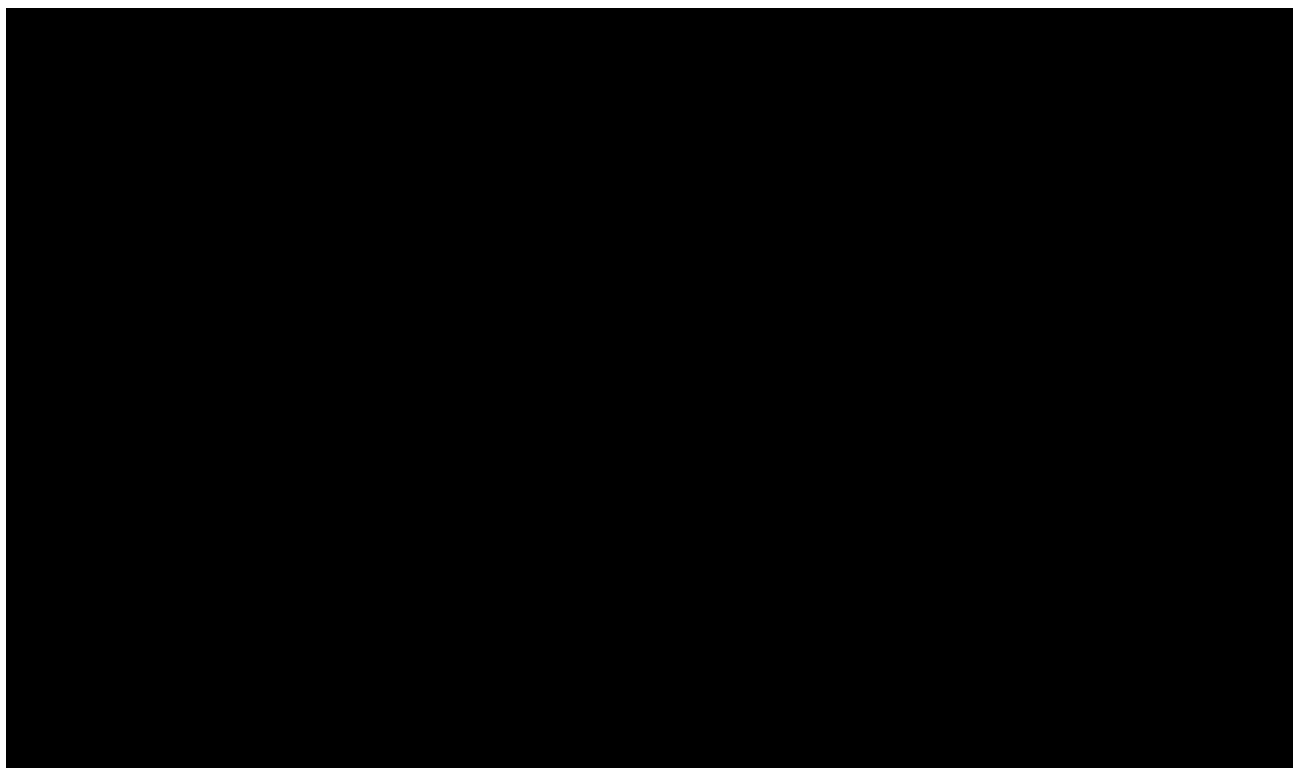
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At no time during the period of 2011 through 2017 were security staffing levels considered optimal. Institutions modified daily operations based on available staffing and the mission of each facility. Modifications often included deviating from established policies and adjusting on-going practices to maintain minimum operations. Unfortunately, those adjustments often lead to potentially dangerous situations. The job responsibilities for most security staff have expanded to the point where only the basic duties are routinely completed. When this occurs, staff spend a greater portion of their day responding, reacting, and recovering and less time preparing, preventing and providing.

Department executive personnel have recognized the concern and have aggressively prioritized hiring and staff retention for the department. In calendar year 2017 the department reported 1,052 new (JD30) hires which includes cadets, correctional officer I's and II's.

In the six previous years the department averaged 835 new (JD30) hires each year. Despite the 1,052 new (JD30) hires in 2017, the total number of security staff identified on January 1, 2018 for the thirteen institutions increased by (39) compared to January 1, 2017. Staff retention in the security ranks at the institutions appears to be a major issue within the department.

The following chart identifies reported security staffing levels for the thirteen institutions on January 1 of each corresponding year. Staffing levels on those dates have gone down every year except for the most recent, 2018. Also identified in the chart is the total number of security staff recommended by the analyst



As noted, the number of security staff available has been an ongoing concern. During the two most recent completed years, 2016 and 2017, the levels have reached a point where several institutions are operating with fewer than 50% of the security personnel recommended to meet their mission. Specific institutions operating at 50% or lower include: Lieber, McCormick, Perry, Tyger River, Evans and Leath. The institutional percentages in the sub-50% level, ranged from 38% to 48%. None of the thirteen institutions had been operating at 62% or higher compared to the recommended level. The practice of operating SCDC institutions with insufficient security staffing levels has become the norm and should not to be considered the results of a recent phenomenon. The deficient staffing levels have impacted daily operations for an extended period and appear to have gotten worse over the past three years.

Efforts by the department to attract potential new hires in the recent years have been expansive. Traditional methods including the use of social media, job fairs, partnerships, state websites, and different forms of marketing are all being used. In addition, applicant qualifications have been revised to increase potential candidates, monetary incentives have been established including providing stipends for employees who refer applicants that remain employed for a minimum period, two separate pay increases have been approved for officers, and legislative bills have been submitted for additional increases.

Security staff reported they had not previously received a pay raise in over fifteen years prior to the recent increases and are currently not eligible to receive an annual merit or cost-of-living increase.

With the state and federal unemployment rate being in the 4.1% range at the time this report was prepared, employment options for potential candidates and existing employees looking for new opportunities appear to be readily available.

A review of six of the larger South Carolina county jail websites reflected they were all currently soliciting applicants to fill detention officer positions in their jurisdictions, some of which reported higher starting salaries than the SCDC.

National Trends

Identifying incentives to attract qualified applicants is not just a local concern but also a national concern. In the past year the following states have been actively initiating additional incentives for correctional officers:

- West Virginia legislatures approved a \$2,000 annual pay raise for state personnel, removed the cap on use of annual leave-time, and submitted a bill that would increase a correctional officer's pay \$2,000 a year over each of the next three years;
- Arkansas legislature approved raising the hazard pay 4% for staff assigned to four institutions;
- Corrections officers hired at the Kentucky Correctional Psychiatric Center and Central State Hospital received a 13% percent increase over the previous entry salary;
- TDCJ (Texas) raised pay for correctional officers by 12.6% and provide a \$4,000 sign-on bonus with stipulations;
- Maryland Department of Public Safety and Correctional Services is offering new correctional officers \$5,000 in financial incentives to join the department. This includes \$2,000 when a candidate completes training and an additional \$3,000 after successful completion of a one-year probationary period;
- Delaware Department of Corrections is offering a \$3,000 sign-on bonus, half paid on completion of initial training and half paid after 18 months of service;
- Kansas increased pay for all uniformed corrections staff by 5% and for staff assigned to a high-risk facility by 10% in 2017;
- Oklahoma legislatures have approved a 5% across the board pay raises for correctional officers; and

- Florida increased minimum salaries for the correctional officer series, increased salaries by 10% for certified officers assigned to mental health units and provided \$1,000 bonuses for institutions with a vacancy rate that exceeds 10% during the preceding quarter.

Several agencies across the nation are experiencing a staffing shortage just like South Carolina. In a competitive labor market attracting qualified candidates to meet the operational needs of the department is a serious challenge and one that requires both resourcefulness and support. The offering of more competitive incentives to initially attract potential candidates has been widespread in the industry over the past two years.

States are looking for ways to be more competitive and should be, as starting salaries have historically been low and not commensurate with the duties associated with such demanding high-risk positions. The state has a legal obligation and to meet this obligation sufficient personnel resources are essential.

OPERATIONAL INITIATIVES IN RESPONSE TO STAFFING LEVELS

In view of the staffing levels, facility management personnel have had to deviate from the established staffing plan and implement several initiatives to maintain minimum operations at each facility. Oftentimes these initiatives result in higher operating costs, great turnover rates, assaults, a reduction in access to basic services, and limited self-improvement opportunities for the inmate population.

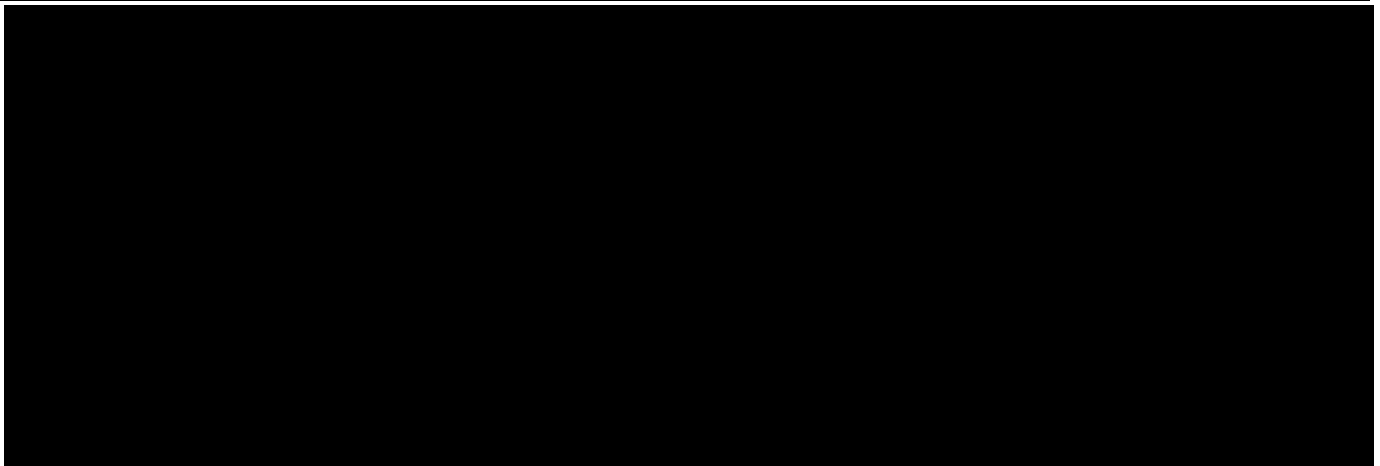
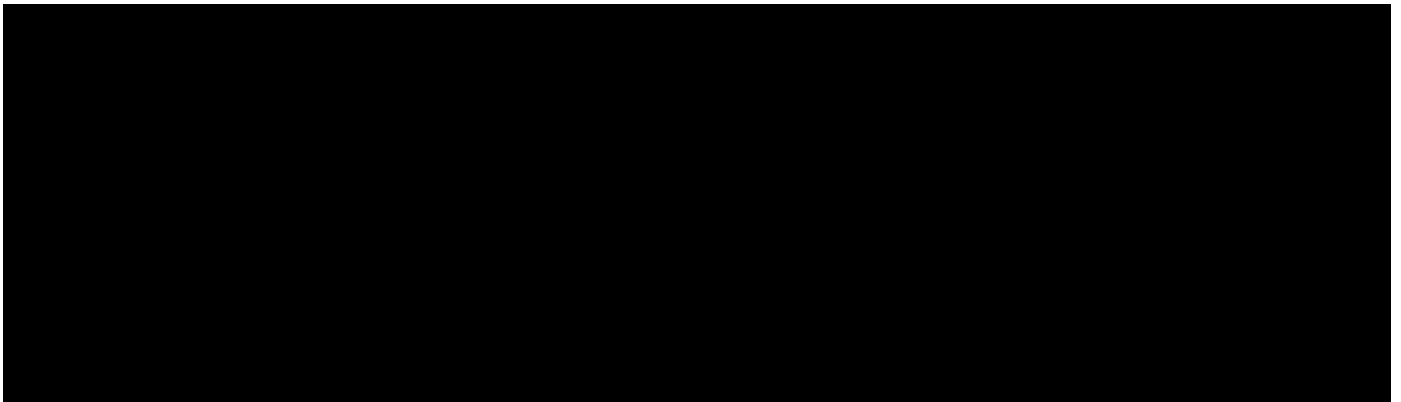
The most common initiatives include the following:

- **The facility is placed on full or partial lockdown to limit inmate movement outside the cell and reduce overall workload.** During the first eleven months of calendar year 2017, institutions were placed on lock-down anywhere from (10) to as many as (350) times due to reported staff shortages. It was common during an on-site assessment to learn that the institution was placed on lock-down status immediately before or after the evening meal. One institution reported they routinely went on lockdown daily after 2:00 pm. This practice was initiated to maintain safety by limiting mass movement and out-of-cell time. This practice also limits inmate access to programs and services during those periods. Based on staff reports this initiative often leads to increased tension throughout the facility;
- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post assignment (OP-22.24)². Under normal circumstances security staff are responsible for one post at a time. There were staff at every institution that were assigned to more than one post assignment, i.e. courtyard, housing units, cafeteria.

² SCDC Policy OP.22.24 Post Orders.

As a result, basic operating practices are impacted most notably in the frequency of regular cell inspections, building and area inspections, pat-down searches, engaging in pro-active security measures, developing and maintaining a professional rapport, and the overall supervision of the inmate population. Such practices often result in fewer inmate escorts, delays and or cancellations in program and service delivery, and potential contraband remaining undetected;

- **Staff are augmented to leverage existing personnel resources.** The highest number of vacancies at each institution was in the front-line positions. This included cadets, correctional officer I's and II's and corporals. Front-line staff have the most direct contact with the inmate population. To fill vacant front-line post assignments personnel from outside those positions are frequently used limiting their ability to perform their own assignments. This may include sergeants, lieutenants, captains or civilian staff that may have been certified in the past. The use of augmentation generally results in existing work responsibilities not being completed (staff supervision) while other responsibilities are often completed by staff who may not be as familiar with current practices, activity levels, recent trends or challenges;



- **Front-line security staff assigned to a 40-hour work week are routinely scheduled to work extra hours to assist both on weekends and after their shift, Monday thru Friday.** To supplement existing staffing levels, staff normally scheduled to work an 8-hour shift stay after their shift to assist in evening meal delivery, lock-up and/or filling weekend post assignments such as inmate visitation;

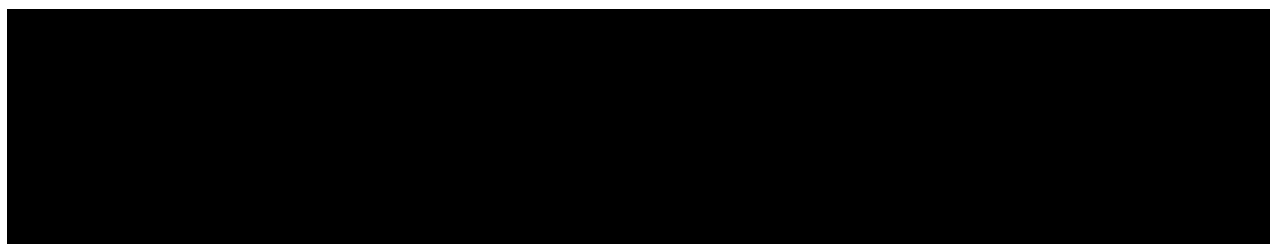
- **Security personnel from alternative institutions are used to fill post assignments often at an overtime rate.** Security personnel from other SCDC institutions are frequently used at several institutions to fill post assignments;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through December 2017 reflect all post assignments in the housing units, escort positions, yard, cafeteria and education are frequently not being filled. When the posts are not filled, all the responsibilities associated with the post assignment are usually not met;
- **Staff initially not scheduled to work are frequently required to fill vacant post assignments beyond their normal work schedule.** Overtime expenditures³ identified for the (13) institutions in December 2017 had increased by approximately 42% from expenditures reported for December 2016. This did not include the GAP hours which include the (11) extra hours that can be worked in a pay cycle at straight-time. Facility management personnel reported overtime was primarily the result of personnel filling vacant required post assignments, fewer FLS staff being available, staff staying after their shift to fill an assignment, expanded responsibilities and to attend required training during their scheduled off-time. Overtime is not automatically considered a poor reflection of an existing staffing plan; however, excessive overtime can lead to job dissatisfaction, employee ineffectiveness and high rates of turnover. For the December 2017 pay cycles a total of (41) staff were identified as having worked (80) or more overtime hours during the 28-day cycle. Overtime expenditures appeared not only to be rapidly increasing but excessive;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures. Due to limited staffing levels and the unavailability of staff to back-fill post assignments, staff are required to remain on their post and attend mandatory training on their off-day often at an overtime rate;
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Initial Department policy was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle, to maintain the (160) hour work schedule. Due to limited staffing, this practice was no longer occurring, and staff are scheduled to work the additional hours;
- **Closed Multi-Purpose Building.** The multi-purpose building at a few of the institutions were closed and unavailable for inmate use due to the lack of staff;
- **Out of Cell recreation is not consistently being offered in all restricted housing units.** Based on staff interviews and a review of available documentation, all inmates assigned to the Restricted Housing Units do not consistently receive access to recreation outside their cells as required⁴.

³ SCDC pay codes, 1265 and 1266 for pay cycles 23/24.

⁴ SCDC Policy OP-22.38, Restricted Housing Unit.

Personnel reported the lack of staff and additional responsibilities associated with the post assignment prevented personnel from consistently providing inmates access to recreation;

- **Meals served in Housing Units.** The controlled movement schedules for several institutions have been modified to serve one or two meals in the housing units per day instead of moving the inmates to the dining halls which requires additional supervision. Most institutions that applied a movement restriction impacted one meal; however, one institution reported two meals were being provided in the housing units per day;
- **A “Tier Management” Schedule has been developed to limit inmate movement.** Tier Management is implemented at several institutions limiting the number of inmates out of their cell at one time. This results in half the inmates remaining in their cells (Upper Tier or Lower Tier) instead of having all the inmates assigned to the wing allowed into the dayroom area;



- **RHU wellness checks are not always completed in a manner consistent with policy.** SCDC operational policy, OP-22.38, Restrictive Housing Unit states the following: *Correctional Officers assigned to the RHU will be required to conduct security checks and to personally observe each inmate at least every 30 minutes on an irregular, unannounced schedule. The time of each security check will be recorded in the RHU permanent log book and SCDC Form 19-7A, "Cell Check Log."*⁶

There was no consistent evidence in several log books to indicate 30-minute checks were being completed on a regular basis at all the institutions;

- **12 hr. shift supervisory personnel routinely work 14-15 hr. days.** To meet responsibilities, shift supervisors routinely arrive prior to the start of their shift. Supervisors are required to do the following: review staff availability; facility schedules; overall workload; manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Shift supervisors are considered exempt employees and are not eligible for overtime and lose select earned benefit-time if not taken within 90 days;
- **Inmate family and friends (social) visits are occasionally cancelled due to insufficient staffing levels.** Due to limited staffing levels social visits are occasionally cancelled due to lack of security personnel to provide site supervision and appropriate searches; and

⁵ SCDC Policy, OP-22.38, Restricted Housing Unit.

⁶ SCDC Policy OP-22.8 Restrictive Housing Unit, 14.

- **Outside medical appointments are routinely re-scheduled or cancelled due to limited transport security personnel.** Facility medical administrative personnel reported scheduled medical appointments outside the facility are frequently not being provided due to limited transport security personnel. Staff reported they routinely re-schedule or triage appointments based on available security transport personnel.

Serious consideration should be given to formally recognize a “dusk to dawn” movement policy at each institution, for all non-programming housing units, until staffing levels can be aligned with meeting established workload responsibilities. Allowances should be made to accommodate individual medical needs and showers when properly staffed.

SHIFT RELIEF FACTOR (SRF)

National best practices reflect one of the most widely accepted methods used to determine appropriate staffing levels is to: identify workload responsibilities; the position classification needed to meet those responsibilities and the frequency in which those responsibilities are to be met.

In the corrections industry it is critical to clearly identify the workload and to establish post assignments designed to meet those responsibilities. In an industry where safety is paramount for both staff and inmates the availability of sufficient personnel and the effective deployment of well trained staff are essential to achieving the desired goal of successfully maintaining overall operations. When that does not occur the most common responses to this concern are:

- *Excessive overtime expenditures. (The state pays more to get the same job done);*
- *Temporary curtailment of programs, services and treatment; (Failing to meet the mission);*
- *Key post assignments not being filled. (Safety); and*
- *Operational deficiencies are exposed. Most inmates are observant. Observed deficiencies often lead to perceived opportunities which can result in introduction of contraband, disturbances, assaults and escape-related incidents.*

As part of the process of identifying recommended staffing levels, interviews with senior staff members were conducted to determine how current recommended staffing levels were decided. Command staff reported post assignments are initially identified by veteran command personnel from the Division of Security based in part on feedback received from executive staff and facility personnel. Once identified, the post assignments are then added to an institution “post chart”. As workloads change or the mission of the facility changes adjustments may be made to the “post chart”. After the post assignments have been identified a shift relief factor may be applied.

The shift relief factor (SRF) represents the average number of staff required to fill a post assignment throughout the year. The SRF is based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available. **Applying a SRF is critical in estimating how many full-time staff are needed to fill one post assignment throughout the year.**

Each institution operates 24 hours per day. Given that employees have regularly scheduled days off, are scheduled to work between (8) and (12) hours per day, take vacations, utilize sick time, etc., staffing any given post throughout the year requires more than one staff member. The SRF recognizes the amount of employee leave and off-post time which results in staff not being able to fill a post assignment.

When the average number of staff available hours are combined with a post assignment, the established SRF provides the opportunity to advance from the number of personnel needed for one day to the average number of personnel needed to operate the institution year-round. At no time should a shift relief factor be considered a reflection of surplus staff, as it is a fundamental component necessary to identify required staffing levels.

SCDC shift relief factors are maintained by personnel assigned to the Research and Information Management Division (RIM). Staff attendance, training and leave-time data from each institution is entered in to a department recognized electronic data base that allows RIM personnel to apply the information received into an automated pre-established formula that can identify a shift relief factor. The SRF calculation is based on scheduled hours, actual leave-time, and reported off-post assignment time for staff who were at the institution during the entire year. Refer to Appendix A for the detailed formula used to determine shift relief factors.

One concern with the shift relief factor formula used, is that the information received from the institutions is not separated based on employee work schedule. To determine whether staff assigned to one work schedule results in less benefit-time being used was not possible based on how the data was collected. Currently, all employee leave-time data is submitted without reference to assigned work schedule. The department may want to consider establishing a pilot-study if alternative shift schedules are ever considered or the current blended schedule continues to be used.

A second concern is how holiday-time is calculated. All employees receive (13) holidays per year. If non-exempt staff do not use the holiday-time within (90) days, they are paid for the holiday-time. Exempt staff lose the holiday-time if not used within (90) days.

Holiday-time in the shift relief factor formula is calculated based on all staff using the (13) days off. This may not be the case. Serious consideration should be given to track holiday-time resulting in time off work compared to holiday-time paid.

Overall, the department has established one of the better SRF tracking and calculation systems. The SRF workbooks have been set up to allow the user to specify the hours per shift and as a result, the spreadsheet will automatically recalculate SRF accordingly. The system has been in place for an extended period and is easy to use and managed by professional personnel.

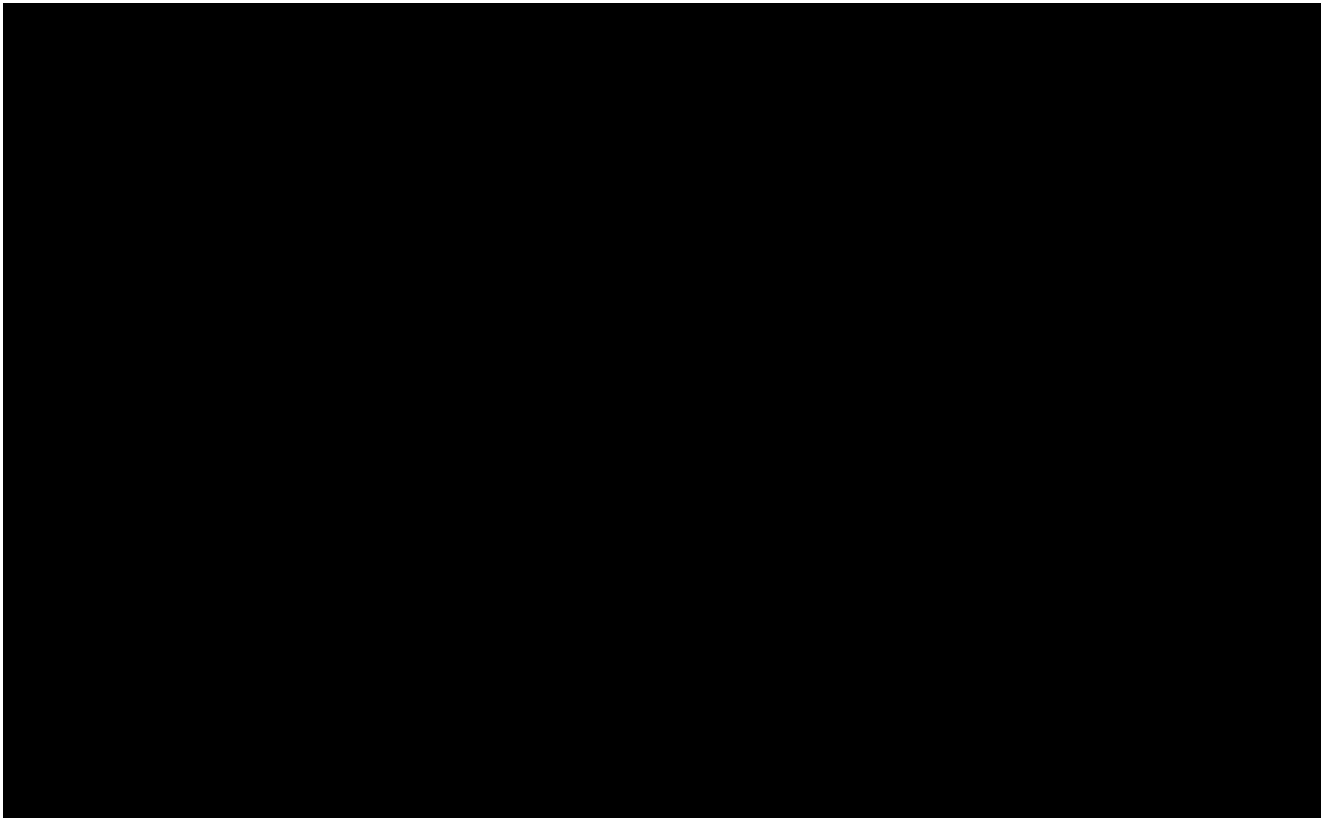
Many jurisdictions do not track leave/off-post time. In this report, relief factors have been developed for each institution, by custody level and as an overall average when applying several different work schedules.

The data used to establish a SRF is collected continuously throughout the year and maintained on an annual basis.

For this project, the shift relief factors developed were based on the three most recent completed years. This included calendar years 2015, 2016 and 2017. Previously in the post charts the department was using a shift relief factor based on data received in 2011.

The purpose of evaluating leave and off-post data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers. For example, leave time and off-post data reflected outliers may have negatively skewed the results if only one year was used. In the following table a few sample outliers are identified.

The numbers reflected in the table represent the average number of days a full-term security employee was not available to fill a post assignment based on the identified type of leave or off-post time listed.

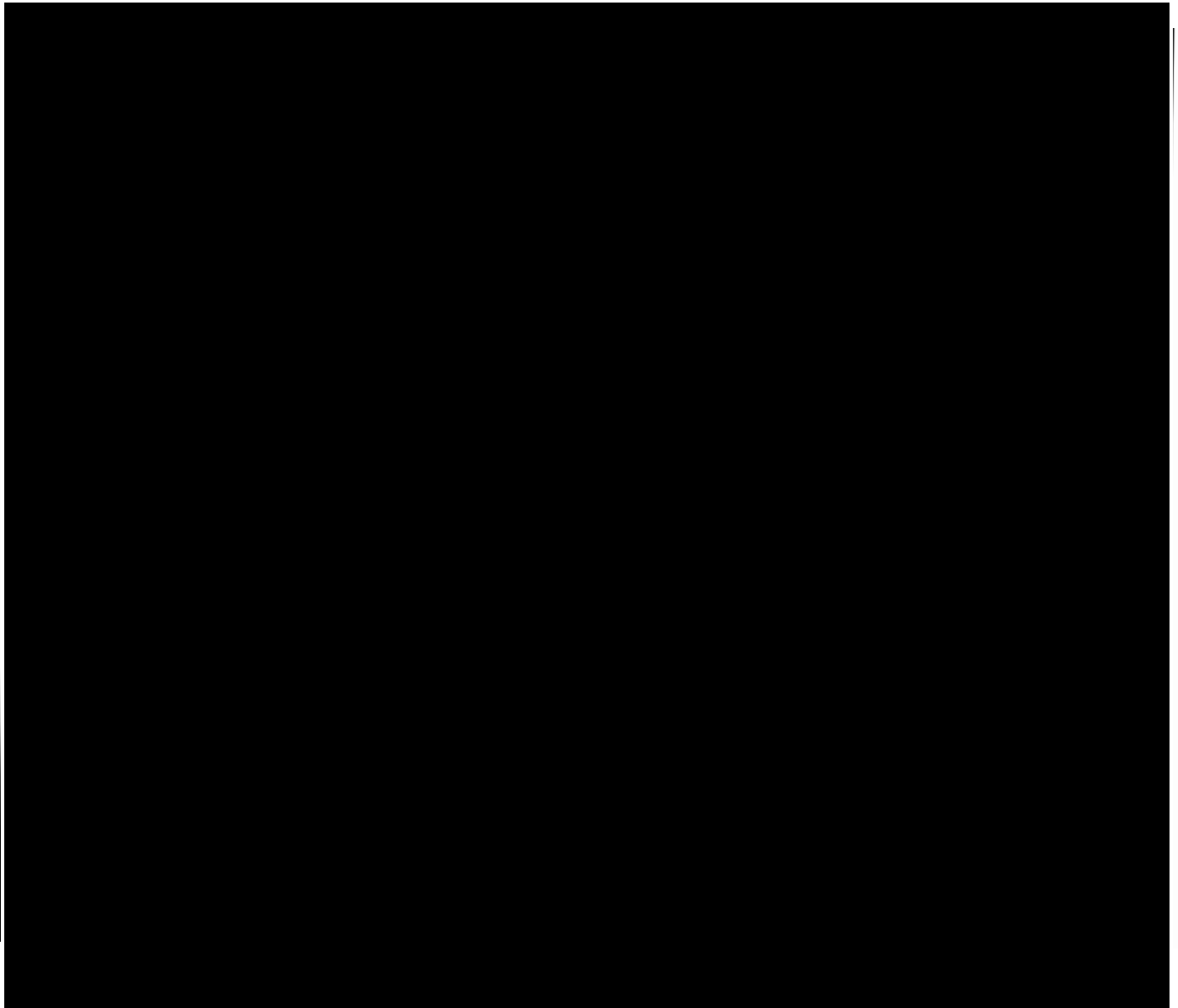


The common theme identified in the outliers table reveals employee use of sick-time at the identified institutions, significantly increased during 2016 and 2017 in comparison with the previous year.

At Kershaw, for example, the average full-term security employee used over (4) additional 8-hour days of sick leave (14.9 v. 10.49) in 2017 compared to 2016, and (6.2) more days than in 2015.

An increase in use of leave-time often results in an increase in the number of post assignments not being filled, increase in responsibilities not being met, an increase in overtime expenditures, and an increase in the number of facility lock-down days due to staffing.

In 2017, the average full-term security employee worked (22) fewer hours when compared with 2016 and (46) fewer hours than in 2015. Not only are there fewer security staff, the staff that are assigned, are available for fewer hours. The expanded use of sick-time is a primary factor resulting in the reduction of total work hours. Applying the appropriate shift relief factor and monitoring leave-time usage is critical in identifying the number of staff needed to fill most post assignments throughout the year.



Existing Post Charts. In reviewing the post charts established by the department, a shift relief factor (SRF) is applied to a select number of posts; however, not all the post assignments. The SRF applied was based on 2011 data taking into consideration staff turnover rates, personnel being assigned to (160) hours in a 28-day cycle and working either an 8-hour or 12-hour schedule.

As staff turnover rates at some institutions started to exceed 40%, the value of applying a turn-over rate allowance to determine required staffing levels diminished. In this project, stakeholders expressed an interest in knowing how many staff are required to meet existing responsibilities when fully operational. There was not an interest in knowing how many staff are required to meet responsibilities when there is a 30%-50% turn-over rate. Turn-over rates are currently extremely fluid, and the department is aggressively initiating efforts to reduce those rates.

The existing department post charts primarily include a shift relief factor for seven-day frontline posts. These are posts required to be filled seven days per week by front-line staff (cadets, officers, corporals). The post charts do not identify a shift relief factor for any supervisor post assignments and very few of the five-day front-line posts. As a result, when staff assigned to those post responsibilities become unavailable, very few if any personnel are available to back-fill the post assignment. Posts are then closed, responsibilities may not be met, or a combination of options are applied: staff are assigned to more than one post, staff work extra hours or are augmented into the assignment. Based on observations these practices were occurring on a routine basis at each of the institutions. When a required post is not consistently being staffed, the more labor intensive or difficult responsibilities are usually not being met.

All post assignments do not require a shift relief factor; however most do. In some circumstances there are posts that may not warrant a relief factor based on the responsibilities associated with the assignment. For example, the contraband control/intelligence post is often considered an information-sensitive post assignment. A specific skill-set and training is required. The processing of sensitive information and material is routinely part of the post responsibilities. This post is normally considered a non-relief post. Staff training, grounds maintenance and environmental health and safety posts require a specific skill-set and may also be considered non-relief posts. However, most post assignments should include a shift relief factor to recognize the importance and potential impact of not meeting the associated workload responsibilities. The lack of applying a SRF or the use of a relief factor that is too low will not build enough recommended personnel into the roster, thereby increasing the probability that core posts go unmanned.

Due in part to the lack of shift relief factors being applied for many of the post assignments, the department recognized post charts significantly underestimate the number of staff needed to meet existing workload responsibilities.

Updated Shift Relief Factors. In the following table, updated shift relief factors have been developed for each institution based on average leave and off-post data collected for a three-year period. The data provided was then applied to different work schedules. Two of the shift schedules represent schedules that were being used at the institutions during the review period.

This included the “8-hour shift” and the “Straight 12’s - (168 hrs.)”. In addition, one additional 24-hr. alternative schedule is presented for comparison purposes.

To better appreciate the data, a table has been developed to illustrate shift relief factors when applying separate work schedules. A shift relief factor of 4.99 (Kershaw, *straight 12’s*) can be translated to mean it will take an average of five (4.99) staff to fill one post assignment seven days per week, 24-hours each day.

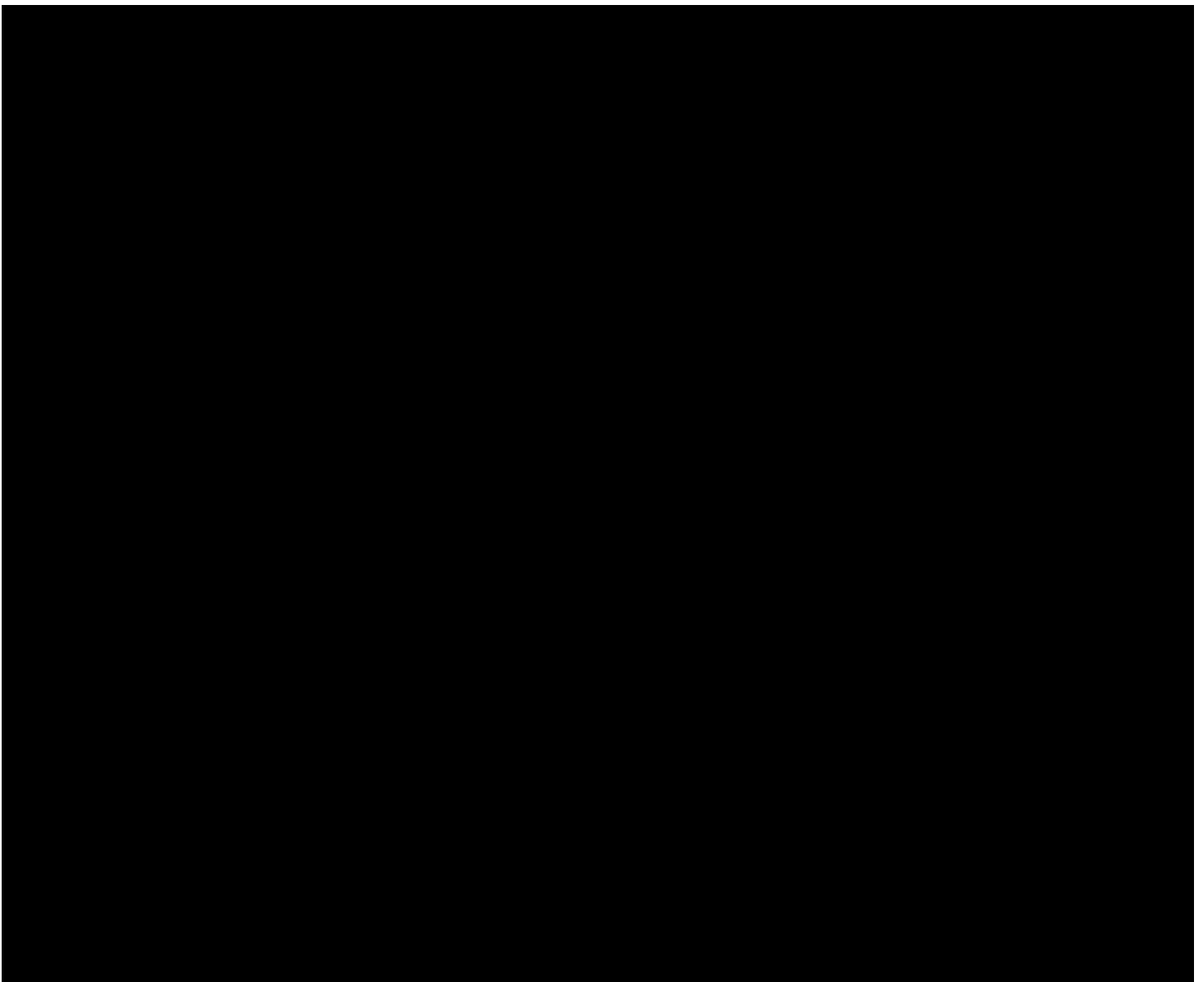
The table identifies the institution and the corresponding shift relief factor when applying different work schedules. SRF averages are additionally presented by custody level and as an overall number for all thirteen institutions.

The table reveals the work schedule that would require the least number of staff to fill ten 24-hour post assignments would be the “Straight 12’s - (168) hrs.”. This was the prominent shift schedule being used, by default, at each institution. Based on the SRF, approximately (50) staff are required to fill ten 24-hour post assignments. Initially department personnel reported that the original intent was for staff assigned to the 12-hour shift to be provided (8) hours off per pay cycle to maintain the (160) hour schedule. Based on institutional responsibilities and the number of staff available this practice had not been occurring on a consistent basis. The actual schedule normally being applied, resulted in each staff member being assigned to work (14) 12-hour shifts per 28-day work period **without**, the additional (8) hours off per pay cycle.

Staff are compensated at straight time for working the additional (8) hours which is consistent with the Fair Labor Standards Act (FLSA), 7k overtime exemption⁷.

In comparison, the other shift schedule options were all based on staff being scheduled to work (160) hours in a 28-day work period. As a result, additional staff would be required to fill the same ten 24-hour post assignments. As noted, some of the work schedules were more staff intensive than others.

⁷ 29 U.S.C. Section 2017(k) 553.230, 553.211.



The following additional information can be derived from the SRF table:

- 12-hr. shift: The average shift relief factors for level 3 (maximum custody) institutions is slightly higher (5.09) than the average for the level 2 (5.01) and female institutions (5.08). The average full-term security employee at a level 3 facility used approximately six additional sick hours during the year than the average level 2 security employee;
- McCormick CI had the highest 12-hr. SRF, (5.21) and Evans CI had the lowest (4.92). The average full-term security employee at McCormick used more sick-time during the three-year period than at any other facility. The average full-term security at Evans used the least amount of sick-time. McCormick staff averaged (130) hours over the three-year period and Evans averaged (73) hours;

- A SRF of 5.06 indicates it will take an average of 50.6 staff to fill ten 24-hour seven-day post assignment throughout the year;
- A SRF of 5.06 indicates the average security officer is available to fill a post assignment approximately 79% of the time they were originally scheduled, when working a (168) hour schedule. *(# of hours per yr./SRF)/ (scheduled work hours)*. The overall average shift relief factor when applying the straight 12-hr. schedule is 5.06;
- A SRF of 5.49 indicates it will take an average of 54.9 staff to fill ten, 24-hour seven-day post assignments throughout the year. The overall average shift relief factor when applying an eight-hour schedule is 5.49;
- A SRF of 5.49 indicates the average security officer is available to fill a post assignment approximately 76.7% of the time they were originally scheduled (160) hour schedule; *(# of hours per yr./SRF)/ (scheduled work hours)*; and
- The Combined 10/8 (160) hour schedule has staff on one shift working four 10-hour days and staff assigned to two shifts working five 8-hour days. This results in an overlap of staff between multiple shifts, and approximately 8.5 more staff are required to fill ten 24-hr. post assignments, then when using the “straight 12’s – (168) hrs.”.

Comment: Develop additional Internal Data Bases for the Collection of Off-Post and Leave Data:

- *Current practice is for institutional personnel to input staff training hours into the central office electronic data base as part of the shift relief factor program. This data is reported as off-post time based on staff being pulled from a post assignment to attend training. Ideally, this is a preferred practice. Each institution reflected most staff training was conducted during the employee’s off-day and not during their scheduled work-day. Consideration should be given to notify institutions to identify whether training reported is completed while on shift, after their shift or during their off-day;*
- *Current practice is to report all earned holiday-time (13 days) as time off-duty. By policy, correctional officers who are scheduled to work and work on a legal (state) holiday are given up to 8 hours of holiday compensatory time. Correctional Officers whose regular day-off falls on a legal (state) holiday, are given up to 8 hours of holiday compensatory time. If the holiday compensatory time is not used within 90 days of the date it was earned, the non-exempt employee will be paid their regular hourly rate for that time. Exempt employees will lose unused time, if not taken within 90 days. Since there is a good chance all staff do not use all their earned holiday-time to be off-duty, but are paid, serious consideration should be given to identify **actual off-duty time** for state holidays, not earned time when determining a shift relief factor; and*

- *Current practice is to combine all scheduled, leave and off-post time, to determine shift relief factors. Serious consideration should be given to sort the information by position classification to determine whether there is a significant difference in leave-time between the position classifications with the highest number of employees, i.e. correctional officer I/II's, sergeants and lieutenants.*

WORK SCHEDULE OPTIONS.

In determining which work schedule to endorse several factors were considered as there is no one schedule that works best for everyone. Each jurisdiction has unique characteristics and responsibilities that prevent any one work schedule from being the most effective. As a result, there are several common factors that should be explored before deciding the work schedule to adopt.

The most cost-effective work schedules are usually designed in a manner to meet the operational needs of the institution and take into consideration employee feedback and support. For employees to become vested in a schedule they should be given a clear understanding of what the schedule options include, what shift patterns are available, and the ability to provide input into the selection process.

Some posts are required to be filled 24 hours each day, while others may be required to be filled between eight and sixteen hours for fewer days. In these cases, a combination of work schedules may best meet the needs of the institution.

Shift variations are unlimited and changes in shift schedules can initially be difficult to implement and may generate a mix of emotional responses. However, selecting a well thought out cost-effective schedule can result in significant benefits.

Based on the documentation provided, staff interviews and conducting on-site assessments there were two primary work schedules in place at the institutions:

There was a shift schedule in place designed to be filled between 12 and 24 hours each day, and a work schedule designed to fill posts assignments for less than 12-hours in a day and normally, but not always, less than seven days per week. The combination of more than one schedule is commonly referred to as a "Blended Work Schedule".

Staff assigned to both schedules initially focus on specific responsibilities; however, may be available to assist staff assigned to the other schedule when needed. It is a common practice for institutions operating 24-hours with diverse responsibilities to use a blended schedule. The debate as to which work schedule to use, usually relates to how to best meet the workload responsibilities that require seven-day coverage for eight or more hours per day.

A third schedule that is occasionally used is the four-day ten-hour work schedule. This schedule is primarily used within the SCDC in prison industries where industry operations may only be four days, and in select transport posts, where the work responsibilities often exceed 8-hours.

To provide a more detailed comparison of work schedules, the two schedule options with the lowest average shift relief factors: *Straight 12-hour shift (SRF: 5.01)* and the *8-hour shift, 24/7 (SRF: 5.44)* are examined in further detail.

Cost-Effectiveness.

Straight 12's. As shown in the SRF table the work schedule that requires the least number of staff when fully staffed compared with the other options is the straight 12-hour schedule (straight 12's). The schedule results in an average 24-hour SRF of 5.06, translated to mean it takes slightly more than 50 staff to fill ten 24-hour post assignment throughout the year. The straight 12's has staff scheduled to work (14) 12-hour days in a 28-day cycle. This results in (168) hours in the work cycle, or (8) additional hours per 28-day cycle compared to staff assigned to an 8-hour schedule. The additional (8) hours worked in the 28-day cycle is paid at straight-time, consistent with state and federal laws. Staff are assigned to one of four shifts, including two alternating day shifts and two alternating night shifts. Based on the day-off rotation; staff will have a three-day weekend every other week, are never initially scheduled to work more than three days in a row and are always scheduled to have at least two consecutive days-off. The work day rotation will be the same; however, the specific days on/off will vary.

8-hour shift. The 8-hour shift schedule had the second lowest shift relief factor. It has an average 24-hour SRF of 5.49, translated to mean it will take approximately 54.9 staff to fill ten 24-hour post assignments throughout the year. The 8-hour schedule has staff scheduled to work (20) 8-hour days in a 28-day cycle. This results in (160) hours in the work cycle. Staff are assigned to one of three (8) hour shifts: days, afternoons or evenings, and scheduled to work five consecutive days followed by two days off. Days-off will be balanced on each shift to maximize coverage over a seven-day period. Over half the staff will not be scheduled to have a weekend day off.

From a personnel resource standpoint, the straight 12's will require approximately 4.4 fewer staff to fill ten 24-hour post assignments throughout the year when fully staffed. The straight 12's will also require each qualified staff member to be paid an additional (8) hours per 28-day pay cycle. To illustrate both work schedules a side-by-side cost comparison has been developed, using the Ridgeland Correctional Institution as an example. Ridgeland was selected in part, because the facilities current shift relief factor is the same as the overall overage.

The schedules are considered blended as they both also apply an 8-hour administrative shift (Monday – Friday) referred to as *C-Card*. The same post assignments are applied for each work schedule and the difference between the total number of post hours is eight. Because one shift operates with a 12-hour schedule, and one uses an 8-hour schedule, a slight variation in total post coverage hours is expected to meet post responsibilities. In this comparison, the 8-hour schedule provides an overall total of eight additional hours of post coverage.

The comparison table identifies estimated costs when applying the following: Department reported average salaries and fringes by position and reported average hourly costs for staff assigned to the straight 12's scheduled to work (8) additional hours per 28-day work period.

The primary purpose of showing the table is to provide an illustrated estimated cost **comparison** when applying two different work schedules to the same institution when appropriately staffed. **The table does not take into consideration potential overtime costs, which would vary based on vacancy rates, associated new hire costs which may be slightly more for the 8-hour work schedule due to (12) additional staff being required, and pre-shifting briefing costs that may be slightly higher for the 8-hour schedule because more staff are required to work, and they work more days.**

| Estimated Work Schedule Initial Cost Comparison | | | | | | | |
|---|------------|-----------|----------------------|-------------------|------------|------------------|----------------------|
| 8's (160 hrs.) | Staff | S & F* | Total S & F | 12's (168 hrs.) | Staff | S & F* | Total S & F |
| Major | 1 | \$ 82,481 | \$ 82,481 | Major | 1 | \$ 82,481 | \$ 82,481 |
| Captain | 4 | \$ 73,215 | \$ 292,860 | Captain | 5 | \$ 73,215 | \$ 366,075 |
| Lieutenant | 34 | \$ 57,424 | \$ 1,952,416 | Lieutenant | 32 | \$ 57,424 | \$ 1,837,568 |
| Sergeant | 45 | \$ 52,544 | \$ 2,364,480 | Sergeant | 43 | \$ 52,544 | \$ 2,259,392 |
| Officer (JD30)** | 143 | \$ 47,335 | \$ 6,768,905 | Officer (JD30) | 134 | \$ 47,335 | \$ 6,342,890 |
| Sub-total | 227 | | \$ 11,461,142 | Sub-total | 215 | | \$ 10,888,406 |
| | | | | | | | |
| <i>Extra hrs. (104)</i> | | | | <i>Extra hrs.</i> | Staff | Ave. Hourly Rate | |
| Front-Line | NA | NA | NA | 104 | 105 | 22.76 | \$ 248,539 |
| Sergeants | NA | NA | NA | 104 | 38 | 25.26 | \$ 99,828 |
| Sub-total | | | | | | | \$ 348,367 |
| | | | | | | | |
| Overall Estimate | | | \$ 11,461,142 | | | | \$ 11,236,773 |
| Difference | | | 1.96% | | | | \$ 224,369 |

*Average department-wide salaries plus fringes by position classification.

**Officer (JD30) includes average salary and fringe for officers only, not cadets or corporals.

As reflected in the table, it would take approximately \$224,369 (1.96%) more per year to staff the recommended post assignments when using the 8-hour work schedule, than when using the straight 12-hour schedule. Approximately (12) additional staff would be required when applying the 8-hour work schedule.

The salary and fringe rates and hourly rates are based on average salaries identified for the position classification by the Division of Budget and Finance and are not based on actual individual salaries for staff currently assigned to the institution. The officer (JD30) rates are based on reported average salaries and fringe rates for (JD30) correctional officers and excludes cadets and corporals.

The (104) Extra Hours, reflect the (8) additional hours per work period, staff assigned to the straight 12's are scheduled to work. Since the schedule is considered blended, all staff are not scheduled to work (168) hours. Staff assigned to the 8-hour shifts are scheduled to work (160) hours per work period.

Oftentimes, the use of overtime is considered an expected option in filling post assignments; however, any savings should be balanced against the **productivity and human costs associated with excessive reliance on overtime**. Particularly in a job as stressful and demanding as that of a correctional officer, routine reliance on staff to work substantial hours beyond their normal duty can be detrimental to overall operations. As a result, generally recognized best practices in correctional agencies dictate that permanent post assignments should be filled with full-time staff, rather than by staff working overtime. The potential negative impact when a large amount of overtime is required to permanently staff a full-time position far outweighs the potential incremental savings achieved by using overtime to cover post requirements.

Taking into consideration the cost factors presented, the blended straight 12's schedule, when staffed properly, can potentially be the most cost-effective work schedule of the options reviewed. Appendix B provides the Ridgeland recommended post chart used in the comparison.

Employee Buy-In. As noted, during each on-site assessment formal and informal interviews were conducted throughout the facilities including on the yard, in the housing units, cafeteria and in staff offices. A formal questionnaire was not used due to the logistics in which the interviews took place. One of the questions repeatedly asked during the interviews was, the employees' preference on work schedules. Most staff assigned to the 12-hour shift preferred the shift, primarily because of the opportunity to have three days off and a three-day weekend every other week. Most staff assigned to the 8-hour shift, preferred the 8-hour shift; however, voiced concern that the schedule routinely resulted in the shift lasting more than 8-hours. The general attraction to the 8-hour administrative shift was it provided more family time, consistent days-off, and normally the weekend and holidays off.

While 12-hour shifts result in more days-off, they are not the unanimous preference of all shift-workers. Staff interviews in other jurisdictions have shown that generally older staff, staff working part-time jobs, and staff having child care or other scheduled responsibilities may prefer a traditional eight-hour shift. SCDC currently offers a blended schedule that allows staff the opportunity to work a schedule that best meets their needs and when properly staffed, can be the most cost-effective schedule.

Back-Filling Post Assignments. When there is not enough staff to meet post responsibilities, facility management personnel are required to make decisions as to which post assignments are to be filled and who will fill the posts.

Operational practices reflecting a combination of options are applied, including: filling the vacant post intermittently by staff assigned to other posts; augmenting position classifications; expanding the post responsibilities of staff assigned to a nearby post; cancelling services; closing the post or hiring staff not initially scheduled to work, to fill the post. When this situation occurs, the identified staffing plan has become disrupted and oftentimes less gets done.

When applying the 12-hour work schedule, there are limitations as to the number of staff available to back-fill a vacant post. Selecting staff to stay over that were scheduled to work the previous 12-hour shift, are only available to safely work four additional hours. Selecting staff scheduled to work the following shift, can only work four additional hours preceding their shift. This leaves the four middle hours of a 12-hour shift vacant, which is often extremely difficult to fill. It has been my experience that staff normally do not prefer to come to work during their off-time for four hours to fill a post assignment. Another option to consider instead of extending an employee's shift, is utilizing staff on their scheduled off-days. This often ends up being the preferred, choice provided the staff member has received sufficient rest.

Establishing effective limits and thresholds should be considered a priority and be maintained to include the frequency, number of days and hours staff can work extra hours, and the required rest/break in a defined period. It is my understanding that in November the department had established thresholds. This is a critical component to establishing a cost-effective 12-hour work schedule.

Regardless of the option chosen, back-filing a vacant 12-hour post assignment is generally more difficult to consistently provide, than filling an 8-hour post, and should be considered the primary drawback on applying the 12-hour work schedule.

When applying an 8-hour shift schedule, the pool of staff available to back-fill vacant post assignments increases. Staff that were scheduled to work the previous 8-hour shift can occasionally work four to eight additional hours resulting in a 12 to 16-hour shift. Staff scheduled to work the following shift, can also occasionally be available to work four to eight additional hours for a total of 12 to 16 hours. This is not highly recommended; however, since, each shift is 8-hours, staff scheduled to work the previous or following shift can assist by working four to eight hours and still ensure the vacant post assignment is filled. Qualified staff that are on their off-days, should also be considered as preferred to fill the vacant post assignments, expanding the pool of eligible staff available, provided they have received sufficient rest.

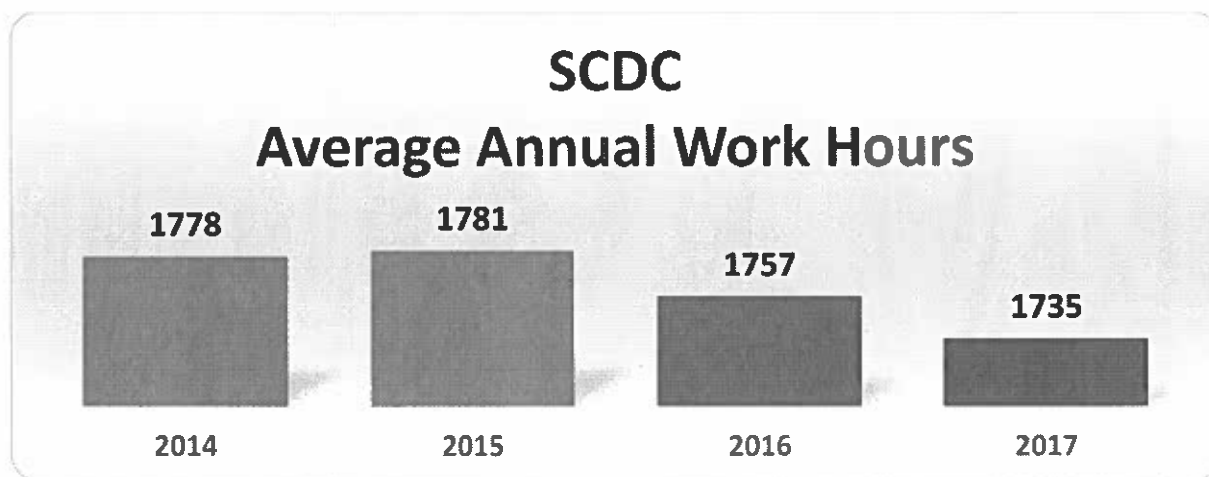
Based on the number of staff available and the length of time a post needs to be filled, it is generally easier to fill a vacant 8-hour post assignment than it is to fill a 12-hour post assignment. As a result, if an institution is operating at a less than optimal level and additional staff are required to fill post assignments, fewer post assignments may remain vacant when applying the 8-hour work schedule.

Fatigue Risk Management. It has been reported that the cumulative effect of having staff repeatedly work extended hours may contribute to job-related stress and can lead to fatigue-impaired employees. Most of the research reviewed involved the nursing profession, as there was very little detailed empirical research available in the corrections industry. Based on experience and anecdotal evidence it is fair to assume, elevated levels of stress and fatigue may be contributing factors to higher staff turnover rates.

The staffing levels for each institution was less than optimal and most staff reported they had frequently worked extra hours. This was supported by the escalating overtime expenditures reported in 2017. For example, in December 2017, overtime reports reflected (41) staff assigned to one of the thirteen institutions had worked 80 or more overtime hours in the 28-day cycle.

This means there were (41) staff that had worked at least (80) additional hours over and above (171) hours in a single 28-day pay period. One can conjecture that when staff work extra hours it can often reduce their potential off-duty rest hours. Depending on how an individual manages their off-duty time, this may directly impact work performance.

For some staff, a 12-hour shift just may be too long to remain motivated and vigilant. For others, the three consecutive days off, three-day weekend every other week, and limited extra hours, allows them to stay motivated. During interviews there were staff working both 8-hour and 12-hour shifts that gave the appearance of being fatigued and less than vigilant. This could possibly be because of the numbers of hours worked, how they manage their off-duty time, or a combination of both. However, measures should be in place to continuously monitor work performance and limit the number of extra hours personnel can work.



Comments:

Consider re-evaluating the maximum number of extra work hours an employee can work during a 7 and 28-day work period.

Based on existing staffing levels compared to overall workload responsibilities, until additional personnel become available, or workload levels are significantly decreased, overtime opportunities are going to be available. Due to the impact working extra hours may have on staff (elevated levels of stress, fatigue, vigilance), existing limits need to be monitored and potentially re-evaluated to identify the most effective limits;

Re-evaluate "extra hour" call-out procedures to include voluntary and scheduled call-out lists to cover core post vacancies. Ensure lists are updated on an as needed basis, or no less than once per month, and ensure extra hour limits are incorporated into the call-out selection process.

ROSTER MANAGEMENT

Effective roster management systems maximize the efficient use of staff resources using post analyses, master rosters, daily rosters, and an ongoing recapitulation of actual staff utilization. When properly applied, roster management systems create the means in which institutional administrators can ensure available staff resources are allocated appropriately and staffing needs are communicated effectively to department executive personnel.

A post analyses has been developed for each of the institutions as required by policy, which was prepared by the Division of Security with feedback from both executive and institutional staff. Based on the analysis, staffing level recommendations were identified for each institution. Institutional personnel were provided a post chart that serves as a guide to facility personnel on what post assignments should be filled and when they should be filled.

In most circumstances institutional post charts had been adjusted to reflect workload changes, in a few situations, they had not been adjusted. For example, at Kirkland staffing allowances increased as residential mental health programs were established and the death row population was moved to Kirkland. When a work release program and Crisis Stabilization Unit (CSU) were established at Camille Graham staffing allowances were provided. In other situations, including daily inmate supervision at the Palmetto Richland Memorial Hospital from the Broad River and Camille Graham Correctional Institutions, no staffing adjustments were made. Each institution was providing approximately (4) staff per shift, seven days a week. In these circumstances, where the additional responsibilities were not being recognized, the department recommended staffing level was underestimating workload responsibilities and staffing requirements.

As noted previously, to determine proper staffing levels shift relief factors need to be applied to most post assignments to allow for post coverage when assigned staff are unavailable. The department recognized post charts apply a shift relief factor to seven-day front-line posts and a few five-day posts; however, do not apply a shift relief factor to any supervisory posts or most five-day front-line posts. This results in underestimating the required staffing levels for each institution.

Post Classification. By memorandum from the *Division of Security*, the institution post chart is required to identify post assignments as either, *Pull Post Level I, Level II, or Level III (Mandatory)* to assist shift supervisors when determining which posts can be temporarily collapsed or closed.

The classification of post assignments is designed to ensure certain post are shut down first. It is a nationally recognized best practice. The practice had been in place; however, when staffing levels dropped, the need for post classifications became less important as available staff were only being assigned to critical posts. Most institutions operate at minimum staffing levels or below, and normally only fill mandatory or level II posts at best. At no time during the on-site assessments did I observe staff assigned to any trivial or less than essential post assignments.

As part of the post classification process, minimum staffing levels are also established by shift for each institution. Oftentimes based on completed daily rosters and feedback from institutional shift commander's, minimum staffing levels were not always provided. The general protocol in filling post assignments is for the shift commanders to contact staff working the off-going shift to determine if there is any interest in working extra hours, and if needed, to contact staff on their off-days in attempt to fill minimum levels. If sufficient personnel are not available, the institution operates with the personnel they have. This often results in program and service cancellation, housing unit lockdowns, responsibilities not being met and operating at less than the minimum levels.

Minimum staffing levels should be re-visited and re-defined. As critical workloads change, the minimum levels may change. With the recent mental health settlement agreement, the minimum staffing requirements must ensure the post requirements established in the department agreement are met. Core post assignments should be established to assist shift leaders in deciding which posts to consider as the number of post-eligible security staff changes. Core posts are posts that are considered either essential or critical to shift operations. Monthly in-house reviews should also be established to clearly identify realistic minimum staffing levels, the on-going effectiveness of the roster management system and to confirm or re-establish minimum levels.

Core post assignments have been identified for each institution in the recommended post charts as a guide to fill front-line positions. The core posts should not be considered minimum staffing levels; however, essential priority posts required to meet institutional operations and established agreements.

Shift assignments and deployment. Facility management personnel have developed a shift assignment roster for security staff that identifies the names of the personnel assigned to each shift, their position classification and status. The *C-Card* (8 hr. shift) roster also identifies the employee's normal post assignment. A review of shift assignment rosters reflected, staff were primarily assigned to one of five shifts. The shifts included one of four 12-hour work schedules and the 8-hour administrative shift. In reviewing the number of staff assigned to each shift and the corresponding work load responsibilities associated with each shift, most institutions properly balanced available staff resources between shifts.

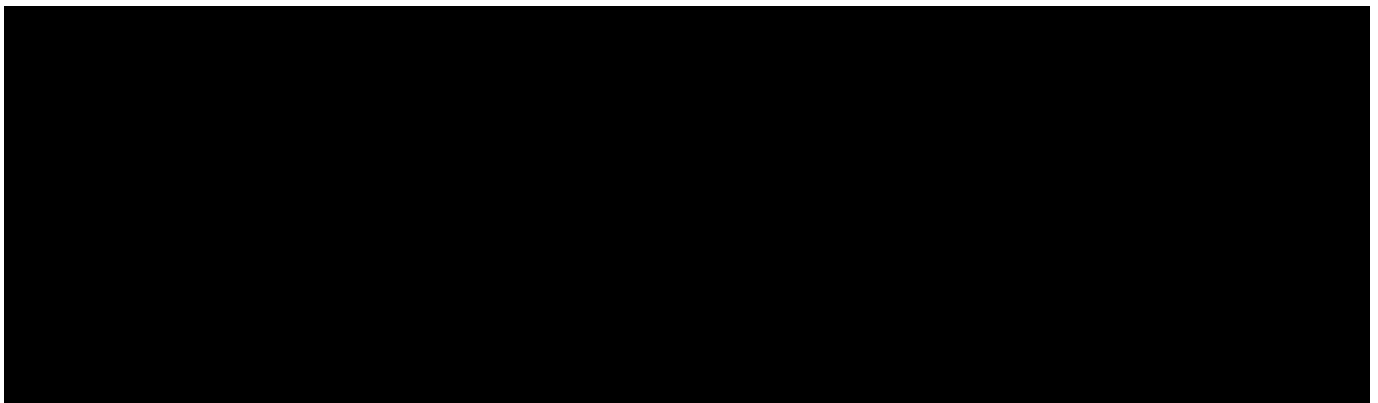
At a few institutions the 12-hour shifts were not always balanced. A review of one shift assignment roster reflected the D-1 shift had (35) FLS staff and the E-1 shift had (47) FLS staff. This represented a significant discrepancy between the two alternating day shifts. In respect to the 12-hour evening shifts, D-2 had (26) FLS staff and E-2 had (38) FLS staff. This also represented a discrepancy between the two alternating evening shifts.

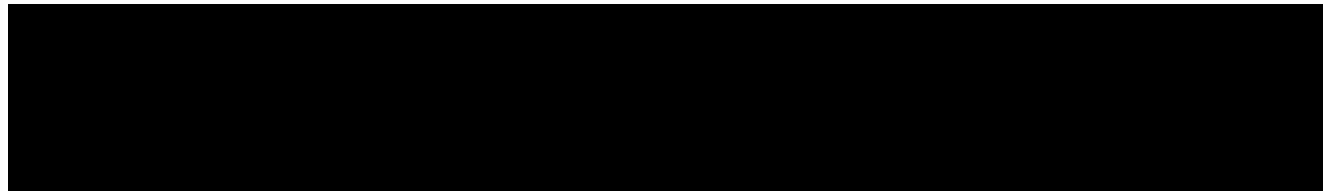
In this situation, there were more staff assigned to the E-2, night shift than the D-1, day shift. Balancing the alternating shifts provides for consistency in operations and potentially a reduction in overtime expenditures. Concerns with providing a more balanced approach to deployment of personnel was observed at two of the thirteen institutions.

Daily Rosters. In addition to the shift assignment roster, daily shift rosters are also maintained for the 12-hour shifts, identifying in more detail, the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters should be designed to identify how scheduled personnel are utilized and to provide a best practice tool for documenting staff accountability. The rosters should be viewed as a legal document, that can assist the department in tracking how staff are used. Based on a review of sample daily post assignment rosters, several different templates were being used that may lead to additional concerns.

Some of the concerns include the following:

- ***Provide a recapitulation table as part of the daily roster.*** *There is no recapitulation data available on most daily rosters. Daily shift rosters should be designed to identify how every staff member assigned to the shift is being utilized. This includes staff on leave-time, training, off-post and those staff normally not assigned to the shift filling a post assignment. The daily roster should be considered a staff accountability document showing how staff are being deployed. A recapitulation table should be considered a fundamental component of each daily roster; without one it is difficult to track how all staff are being assigned. This is critical when identifying post coverage trends, staffing needs, historical data and how available staff are being utilized. Based on daily rosters reviewed one institution incorporated a recapitulation table on one of their shifts. For the remaining daily rosters, it was difficult to determine whether all staff assigned to the shift were being utilized;*
- ***Document intermittent coverage.*** *Several daily rosters reviewed reflected the same individual assigned to more than one post assignment. In most circumstances it was to two different post assignments. In one situation the same individual was assigned as working four posts; including a housing unit, shift commander, yard and cafeteria. No replacement personnel were listed as being assigned to any of those four posts. When staff are intermittently assigned to a post, times should be listed to provide accountability. If a post is closed it should be noted on the daily roster;*



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- *All security personnel should be listed on a daily shift roster. In some institutions transportation, shock program, youthful offenders or other specialized areas maintained a separate or no daily shift assignment roster. Daily rosters are designed to provide staff accountability and should document how all security staff are being utilized.*

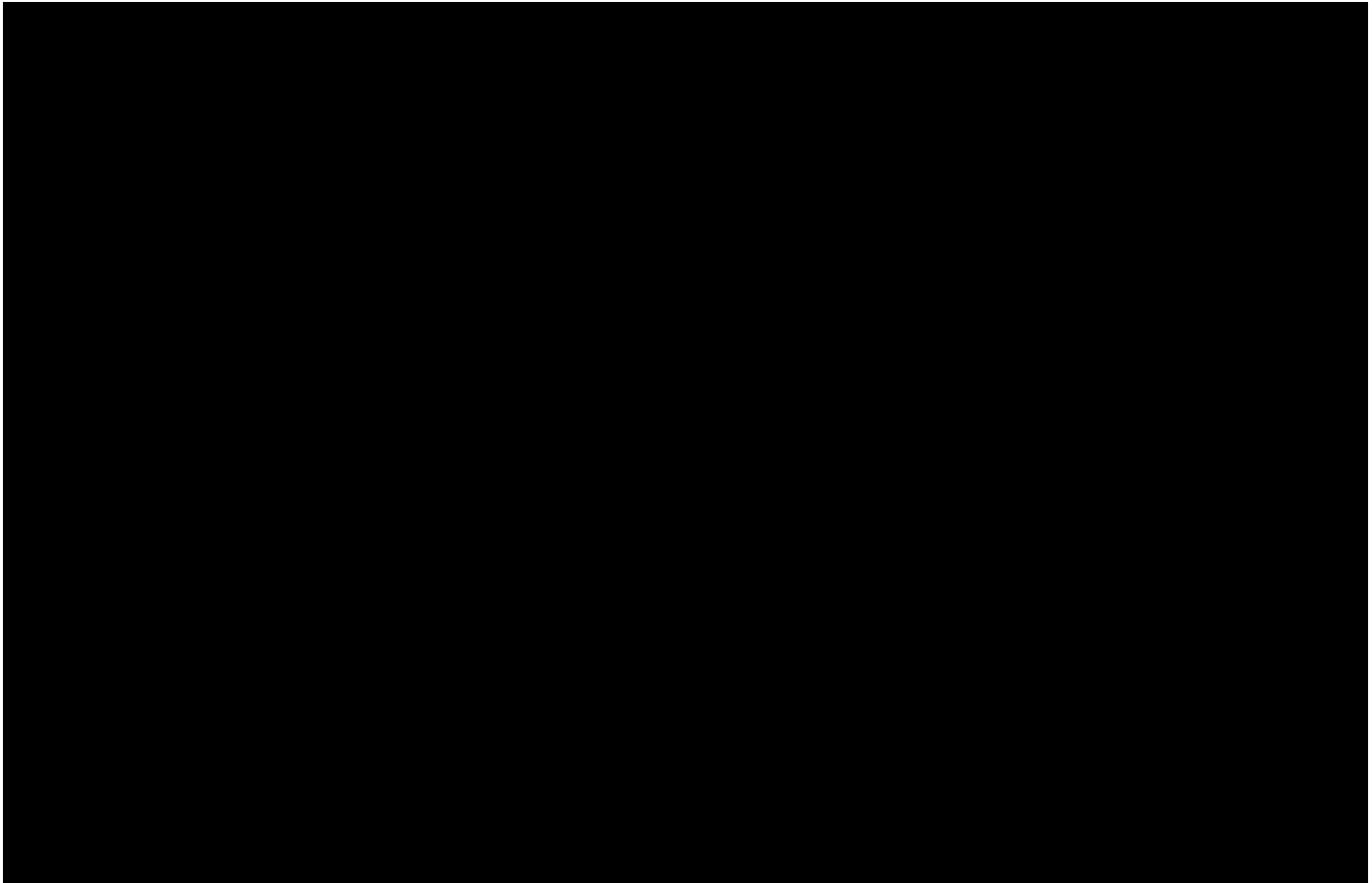
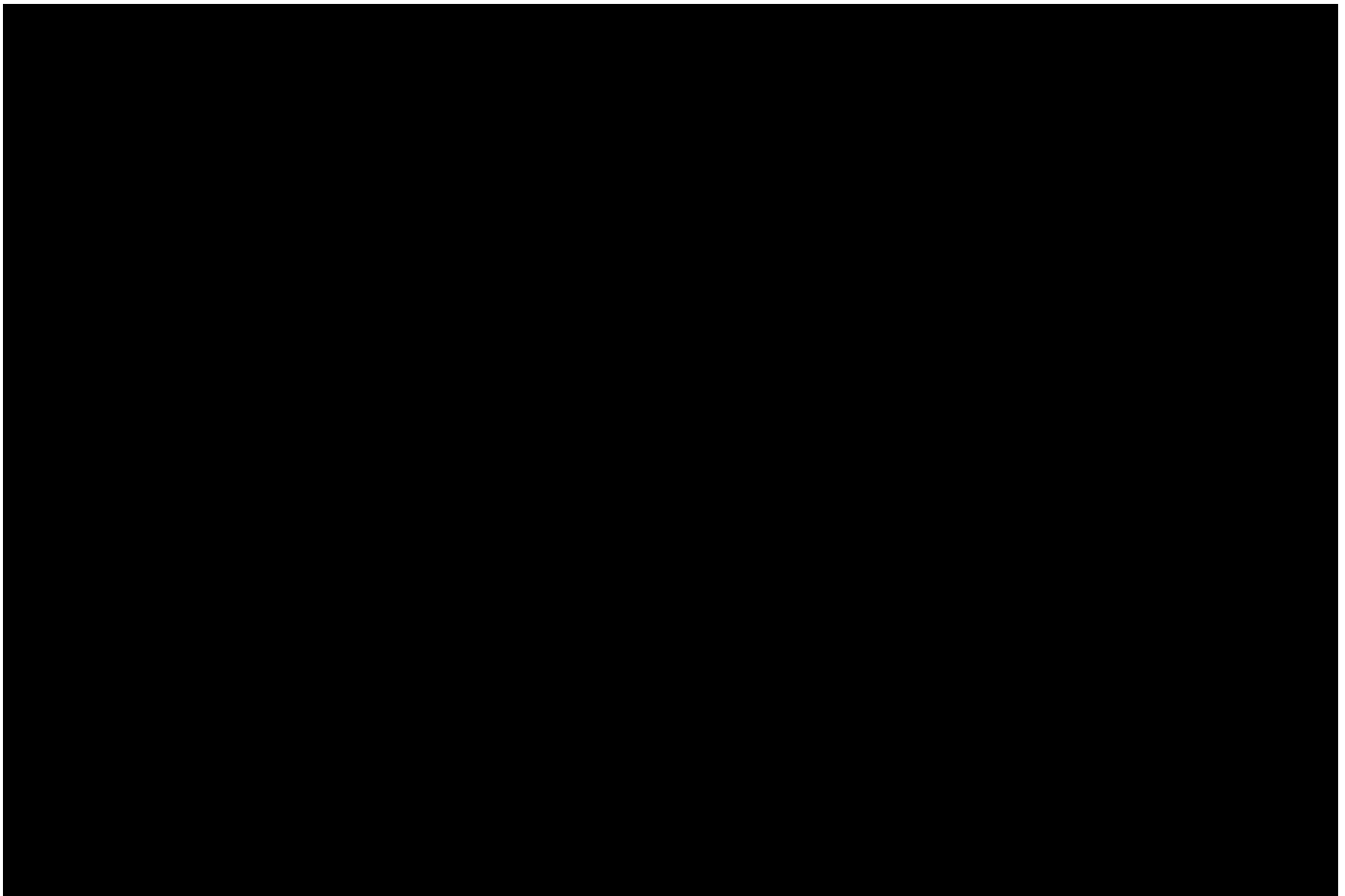
RECOMMENDED STAFFING LEVELS

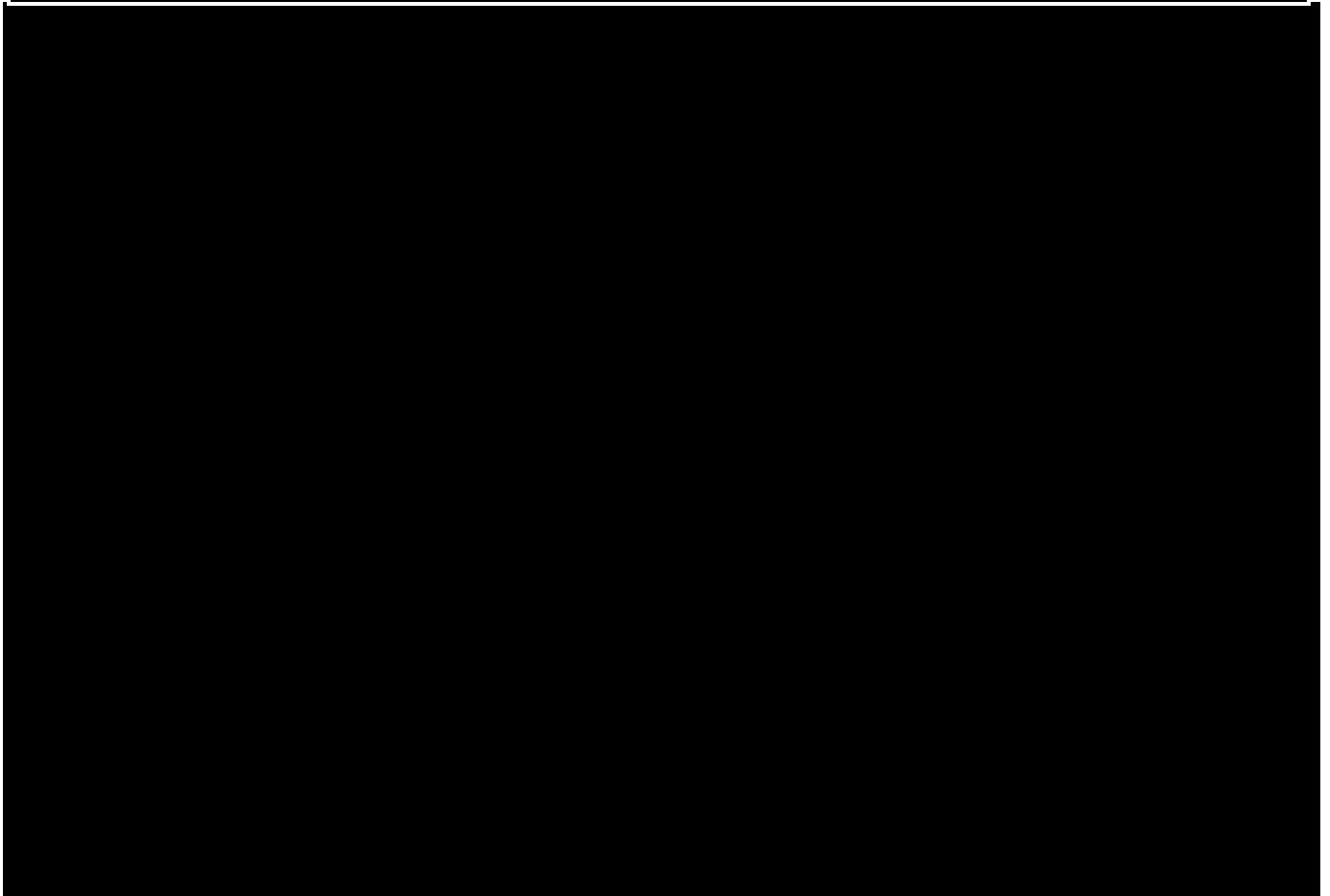
Recommended staffing levels have been developed based on identified workload responsibilities at each of the thirteen institutions. Workload responsibilities are the result of a combination of meeting the mission of each institution, applicable state and federal laws, national standards, best practices, SCDC policies and directives and the 2016 approved Mental Health Settlement Agreement (*T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925*).

Overall staff-to-inmate ratios were not established as there are a plethora of variables such as diverse missions, physical plant design, custody level, number of inmates, mental health classification, program and treatment requirements, department policies and state laws that impact recommended staffing levels. To oversimplify the complexity involved in determining appropriate staffing levels for each diverse institution would only invite confusion.

During the on-site assessments there were several institutions which included housing areas that were not operational. Overall inmate population levels have decreased each year since 2011, allowing the executive staff flexibility in housing options. Some of the housing areas had been closed for less than a month and one had reportedly never been used (Leath CI). Department staff requested the staffing assessment include the use of all available housing areas, including the areas that were closed during the on-site assessments.

The results of the review reflect a significant increase in the number of security staff recommended to effectively operate each institution in a safe manner, consistent with established workload responsibilities. The following table identifies each institution, associated custody level, the security staffing level reported on January 1, 2018, the recommended number of security staff recommended and the difference between the recommended number and staffing level on January 1, 2018. Not one of the institutions was operating at or near the recommended level.





[REDACTED]

[REDACTED]

General Population Housing. The workload responsibilities of a correctional officer assigned to a housing unit are expansive. Their primary responsibility is to supervise inmates in the housing units, including those assigned to work details within the unit, and those unassigned. Additional responsibilities include: maintaining an open-line of communication, addressing inmate concerns, conducting security inspections, cell searches, operating security equipment, responding to incidents, preparing and submitting written reports, enforcing policy, providing escort for both inmates and non-security staff, monitoring programs and treatment, coordinating daily activities including access to showers, supply distribution, mail delivery, telephone access, clothing/linen exchange, recreation and performing institutional counts and wellness checks. As many as nine inmate counts are also to be conducted each day separately by two different staff. It can be a difficult job to do well and requires sufficient personnel to meet the ongoing responsibilities.

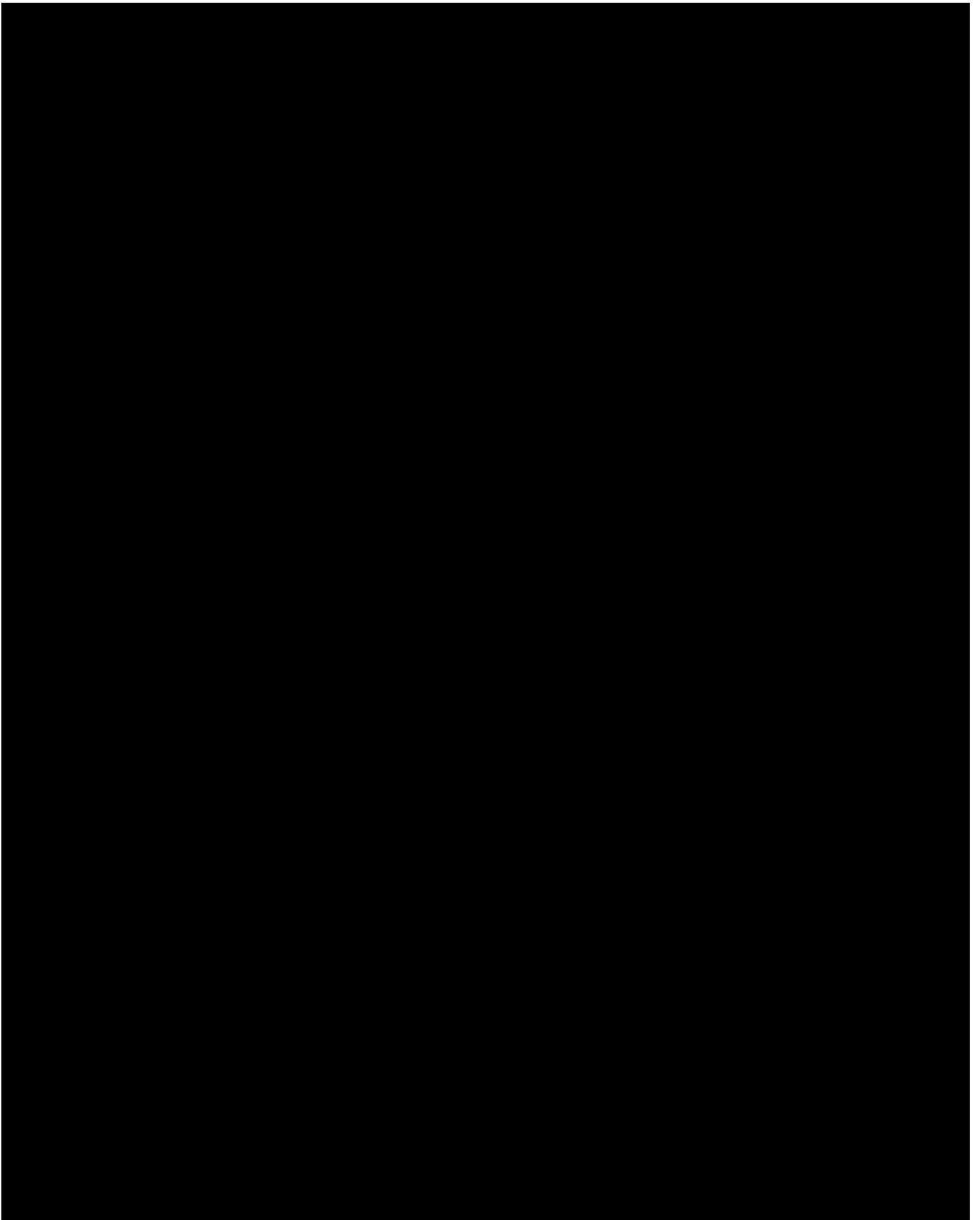
Current practice is for between one and three officers to be assigned to a unit during the day shift to meet existing responsibilities. The number varies based on the inmate count, design and type of inmate housed in the unit. When applying this staffing compliment, based on staff interviews and review of available documentation, services are not consistently being provided, supervision is limited, searches are not frequently being conducted, and the number and type of inmate counts completed were not always consistent with policy. The first tasks not to completed, often are the most labor-intensive, i.e. searches.

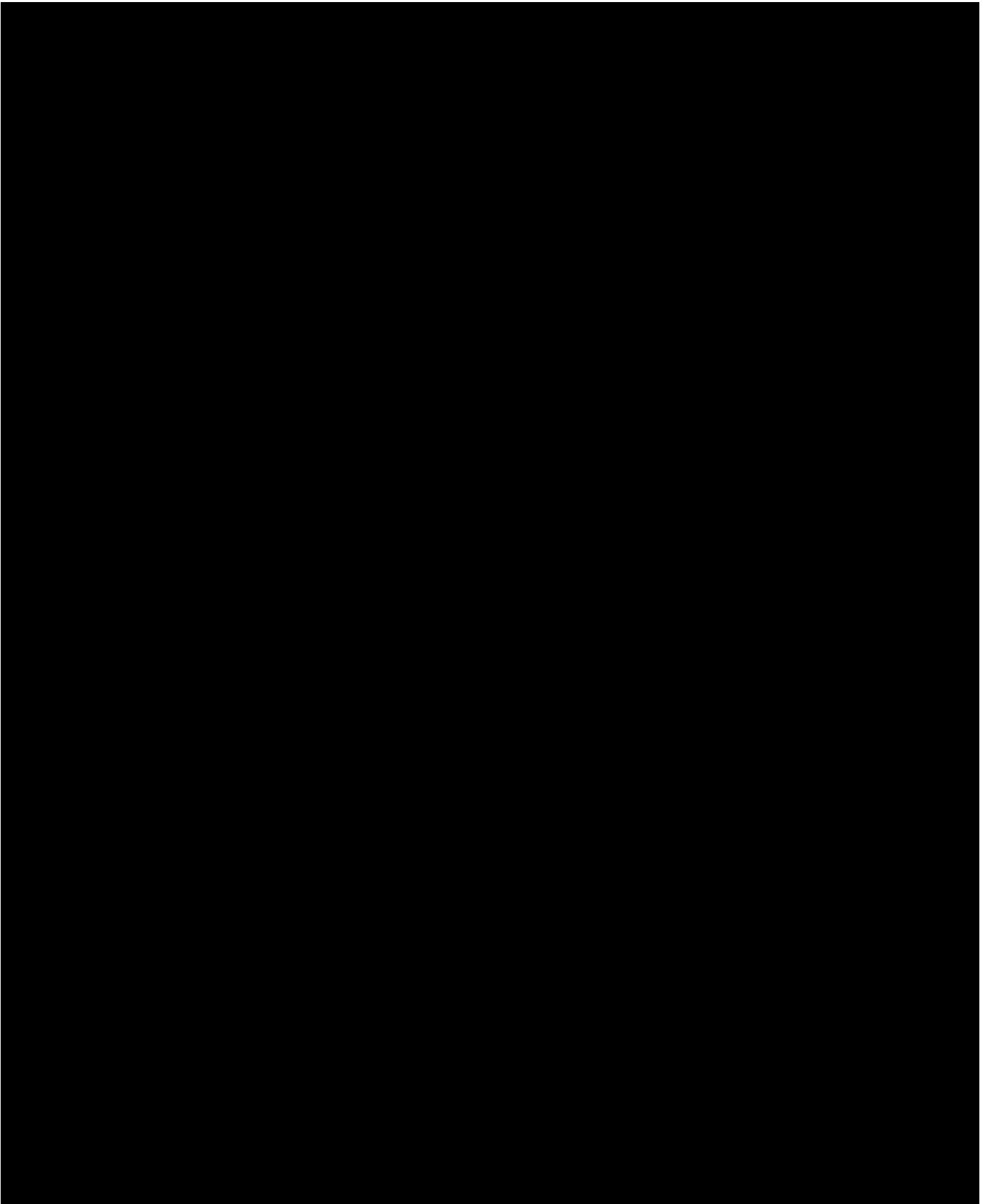
Based on the everyday responsibilities of an officer and the activity levels of housing units, the practice of having between one and two officers assigned to provide security, custody and control of over (200) inmates during the day shift is inconsistent with realistic expectations of what an officer can accomplish and underestimates the demands of the job. Depending on supervisory staff to assist, impacts the ability of the supervisor to meet their position responsibilities. As a result, effective supervision in the housing units is not consistently being provided at current levels.

During the evening shift, even fewer staff are available resulting in institutions routinely being placed on lockdown status. Correctional officers assigned to the housing units, due to limited staffing serve more as “watchmen” or “gatekeepers”, not by choice, rather than as correctional officers. Their primary focus turns into conducting security rounds, inmate counts and contacting others when assistance is needed. A total of approximately (200) additional staff are being recommended to be assigned to general housing units.

Courtyard. All the institutions included in the project contain at least one courtyard that consists of open space surrounded by housing units, physical plant support buildings, service areas, administrative buildings and program space. All authorized inmate movement is considered controlled movement and the type of movement varied based on the inmates’ classification, the purpose for the movement, destination and time of day. A combination of line movement, escorted, supervised and the use of passes (OTR’s) was all being used. To proceed from the housing units to most program activities and services, inmates are required to walk through a courtyard or open area leading to the cafeteria, visitation, education and medical services.

It is essential and a fundamentally supported best practice that, staff be available to conduct security checks throughout the facility and be available to monitor, control and authorize inmate movement.





Establish core security positions for each Restricted Housing Unit (RHU) to include sufficient personnel to maintain compliance with established policies. To prevent the triaging of required services, sufficient staff need to be available to meet the myriad of responsibilities associated with operating a restricted housing unit. Appropriate standards cited in established SCDC policy⁸ require: irregular 30-minute security checks on all inmates; cell searches at least weekly; daily meal delivery; access to recreation outside the cell five days per week, one-hour per day weather permitting or unless safety and security reasons dictate otherwise; access to showers a minimum of (3) times per week; access to telephones; strip searches to be conducted; a minimum of two certified officers when removing, escorting or replacing inmates into a cell; inmate and staff escorts and complete inmate counts.

Current practices as represented in the log books and based on feedback received from staff was that all essential services are not consistently being provided in accordance with policy. The reason frequently cited, is there are not enough staff available to meet the responsibilities. The requirements established by the department are consistent with national standards.⁹

The RHU's are staff intensive units due to the enhanced security precautions appropriately required and the associated responsibilities. Most often a high percentage of inmates are on an active mental health caseload requiring additional services.

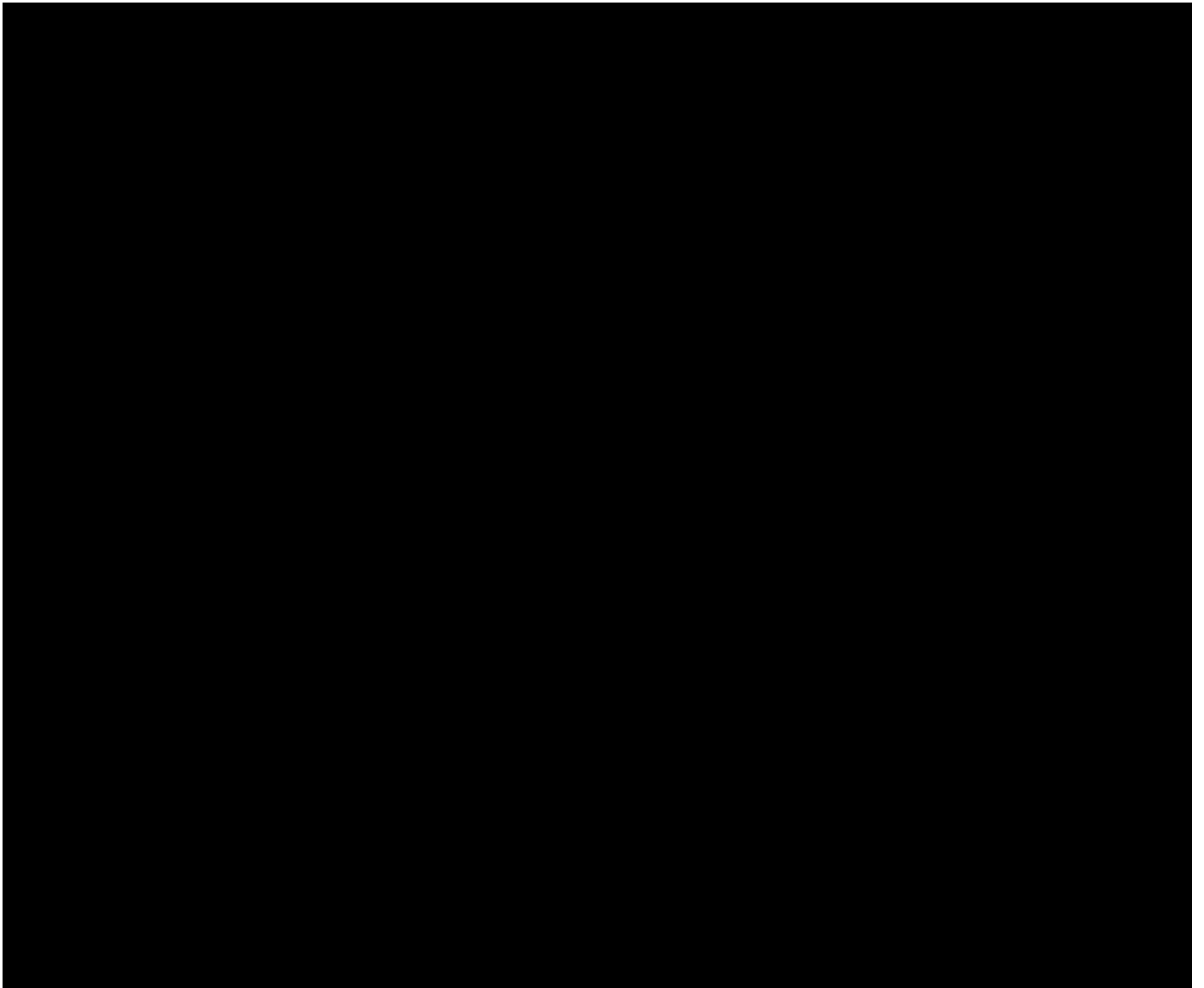
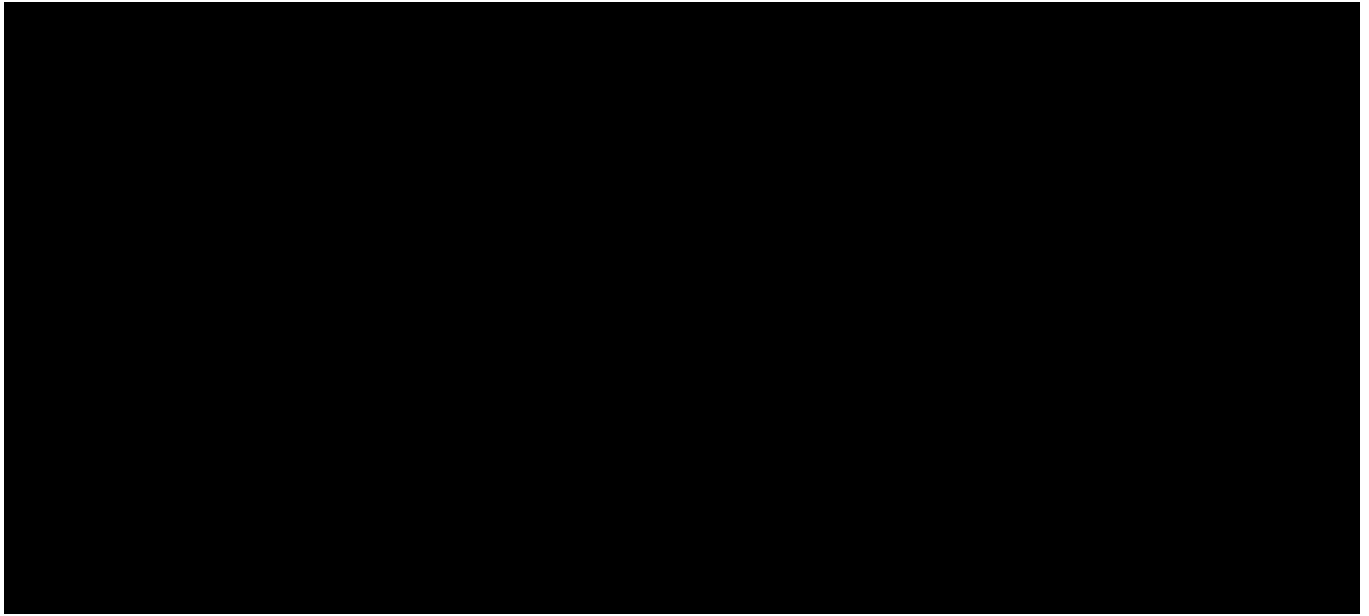
The analyst recommendations include converting established five-day recreation and escort positions to relief posts, adding recreation and/or escort positions as needed and increasing the number of wing officers in select institution to meet established responsibilities;

Recognize post assignments associated with housing areas and select perimeter towers not in use on the date of the on-site assessment. The current recommendation, by request, includes staffing all housing areas, including those areas that were closed during the on-site review.

Most, but not all of the institutions had either a housing unit wing, infirmary or entire housing unit closed. In addition, select perimeter towers that were not in use including the new towers at Lieber and an existing tower at Tyger River were also included in the recommendations. The staffing recommendation includes those unused areas being fully operational. This accounts for approximately (140) additional security positions of which, approximately (38) did not appear to be identified in the department post charts. Those positions included the (3) new Towers at Lieber, Infirmary at Evans, third tower at Tyger River and the Reynolds Unit at Leath. With the inmate population consistently going down each year since 2011, the housing post assignments recommended may not be needed;

⁸ SCDC OP-22.38, "Restricted Housing Unit"

⁹ American Correctional Association, (ACI 4th Edition).



As referenced, it is the understanding and agreement of the parties, that implementation and effectuation of the provisions of the policies, as a portion of the remedial plan, are to be phased in over time, and all aspects shall not become effective immediately.

In reviewing the settlement agreement¹¹, associated policies, description of mental health services and interviewing institutional personnel and the director of Behavioral/Mental Health and Substance Abuse Services, it is clear that the provision to provide mental services is a priority for the department.

In order to be consistent with the established mission of the department and applicable guidelines, all institutions, including especially those providing residential mental health treatment programs, are required to be viewed from more than just a security lens. An integrated approach is necessary to ensure on-going practices are reflective of the established policies, settlement agreement and the three primary elements identified as the departments mission.

- ***Safety: Protect the public our employees, and our inmates;***
- ***Service: Provide rehabilitation and self-improvement opportunities for inmates; and***
- ***Stewardship: Promote professional excellence, fiscal responsibility, and self-sufficiency.***

To accomplish these goals each institution needs to be calibrated to meet both security and treatment needs of the population.

Security personnel need to be available to perform traditional security-related duties and responsibilities, which include in part: conducting inmate counts, cell and area searches, providing inmate supervision, maintaining an open-line of communication with the inmates, intervene as necessary, conduct security inspections, operate security equipment, prepare and submit written reports, coordinate daily activities including access to showers, telephone and recreation, provide supply distribution, mail delivery, clothing/linen exchange, provide escort for both inmates and non-security staff and enforce policy. There is not much more an officer can effectively absorb while meeting these post responsibilities.

In addition to the traditional responsibilities, a dedicated security presence is required to allow for inmate group sessions, on-wing and off-wing interviews, and consultations to occur. It is critical, that non-security providers be able to focus on treatment and programming and not feel impelled to focus primarily on safety, due to the lack of a security presence. This takes a combination of properly trained and motivated staff and a sufficient number of personnel to meet the existing responsibilities.

The effective use of certified mental health technicians can assist in providing program support, but should not be considered as a replacement for properly trained security personnel.

¹¹ T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925

Based on observations and staff interviews, the current practices in the specialized units often results in services not being consistently provided or delayed, resulting in the need to triage treatment, due to limited staffing levels.

This specifically included each Restricted Housing Unit; Gilliam Psychiatric Unit; Kirkland Intermediate Care Services; Kirkland HLBMU; Broad River Crisis Stabilization Unit; Broad River Outpatient Care housing; Camille Graham Crisis Stabilization Unit; Camille Graham Intermediate Care Services and Leath Outpatient care housing;

The updated recommended staffing levels, identify core security post assignments for each of the specialized mental health units; including a supervisory presence, wing officers, control room officers (as needed) and dedicated escort, support and recreation posts. None of the specialized mental health units includes a recommendation for fewer than two security staff at any given time. Specific recommended post assignments can be viewed for each institution in the analyst post charts identified in Appendix.

Serious consideration should be given to seeking support for a pay increase for security personnel permanently assigned to designated residential mental health units, as has recently been adopted in both the Kentucky and Florida Department of Corrections.

Establish a dedicated “Inmate Medical Escort/On-Site Security” post assignment for most institutions. A dedicated inmate medical escort/on-site security post is being recommended for most facilities. Current operating practice is to have one officer assigned to the medical unit. Primary post responsibilities include monitoring and controlling movement into/out of the unit, placing inmates in a secure waiting area, supervising inmates, escorting inmates within the unit and completing security rounds. Based on the location of the front entrance to the building and the inmate holding area, most of the officer’s time is required in the front of the unit. Exam rooms and staff interviews, including mental health interviews/clinic, usually occur in areas not often in direct line of site of the front entrance.

For example, medical/mental health interviews/consultation may occur five days per week, psychiatric clinics/interviews may occur less frequently; however, require a security presence within line of sight while maintaining confidentiality.

Most staff assigned to the medical unit are civilian and/or non-security contractual staff. It is not feasible for the officer assigned to the front entrance/inmate waiting area to meet the responsibilities required to include providing escort to/from the medical unit and to provide a roving or constant presence within line of sight of the interviews/consultation. To meet this responsibility, an additional officer needs to be available between five and seven days per week depending on the institution’s schedule. To rely on the front entrance officer to provide these responsibilities is inconsistent with the demands of the position. Current practice results in limited to no staff being available which often results in delays in conducting the clinic/interviews and no direct security oversight. Dedicated security staff are recommended in the revised post chart to meet this responsibility. This accounts for approximately (24) additional positions when applying the updated shift relief factor;

Establish a dedicated “Compliance Lieutenant” post assignment for most institutions. SCDC had a long-standing history of being a part of the American Correctional Association (ACA) accreditation process. The accreditation process examined institutional policies and practices in relation to nationally recognized best practices. Most, if not all the SCDC institutions had received accreditation status. State budget deficits led the department to cancel accreditation contracts with plans to replace the ACA inspections with a more demanding in-house evaluation process.

An SCDC policy was established entitled, *Management Reviews*¹², designed to evaluate institutional operations, programs and activities to determine compliance with established policies. This policy dated 2005, is well developed and technically in effect; however, staff reported the policy has not been followed for the last several years.

A new policy, entitled Continuous Quality Improvement Review, (GA-06.06) was developed in June, 2017 in response to the mental health settlement agreement and to ensure continuous improvement through a process of self-evaluation and action planning.

The focus of this policy is primarily related to healthcare services and SCDC’s quality improvement process. The 2017 policy is designed to be phased-in over time and not to be considered effective immediately. During the on-site assessments occurring between September and December 2017, the policy did not appear to be in full effect. The foundation appears to be in place.

At two of the thirteen institutions staff identified as “compliance officers” were available. Responsibilities associated with the positions focused on areas such as ensuring documentation was provided and retained on issues such as shower and/or recreation access for restricted housing unit inmates and/or the monitoring of Prison Rape Elimination Act (PREA) standards. It appeared no dedicated institutional staff was available to focus strictly on monitoring institutional security practices in relation to established policy. The limited number of personnel resources were reported to be the primary reason, in-house evaluations were no longer occurring.

The SCDC policies are thorough; they cite national standards and most have been updated to reflect current requirements. The updated recommended staffing assessment includes approximately, (13) additional security positions dedicated to institutional compliance review and enforcement;

Establish a “Field Training Sergeant” post assignment for most institutions. Each institution had at least one training lieutenant, several institutions had a central-office retention lieutenant position and a few of the more remote facilities had a recruiting lieutenant position based out of the institution. The central office staff do not officially report to the warden.

The number of security staff being recommended for several of the institutions exceeds twice the number employed on January 1, 2018.

¹² SCDC GA-06.01 Management Reviews.

As the staffing levels at each institution increases, the workload for training personnel will increase. The number of classes, training hours, scheduling, documentation follow-up and mentoring will increase.

Since field training officers are currently not available, in-house practices initiated by the new training personnel should include; providing continuous on-post mentoring, support and guidance, especially to the new staff. Working a post assignment can often be overwhelming, stressful and at times, intimidating. It is difficult for annual block training to compete with the daily ongoing responsibilities, supervising a diverse group of individuals and the pressures often associated with the sophisticated and unsophisticated “grooming” techniques deployed by representatives of the inmate population. An additional field training position is recommended to meet the anticipated demands of the position, and be expanded to include a field training sergeant for each institution. This recommendation accounts for approximately (13) additional staff;

Establish a Front-End Sergeant position for each institution. The front-end of most institutions contain a Master Control Room, Visitation, Front Gate, Outer Perimeter Patrol, Lobby, Personal Property, Holding, Administrative Services, Support Service office areas and Operations.

The front-end is an area where all staff and visitors usually experience their first encounter of the day with security procedures. This initial point of contact often results in the unexpected. Based on a review of daily rosters and on-site observations, several of the front-line post assignments are intermittently filled by personnel assigned to other posts in the general area.

Most of the post assignments do not require a supervisor to be constantly present, but for one to be immediately available to address issues as they arise. A seven-day 12-hour front-end roving sergeant position is recommended for most level 2 facilities and a 24-hour position for level 3 facilities resulting in approximately (40) additional positions. Primary responsibilities to consider for this position should include absorbing responsibilities associated with the operations post assignment at most but not all the institutions. The existing responsibilities associated with the operations positions at Kirkland and Lieber require the posts to remain filled;

Establish additional Kitchen/Dock post assignments. Each institution has a kitchen and every kitchen has a dock area where supplies are received and garbage and re-cycle is normally processed. In most institutions the dock area is a shared dock, some may have fencing providing limited separation; however, several docks provide access to other areas such as canteen, commissary, grounds maintenance, plant maintenance, vehicles, waste containers, back gate, vocational education and/or prison industries.

Food Service personnel are assigned to the kitchen and are required to be present when the kitchen dock area is open. The analyst inspected the kitchen/dock areas and at four of the thirteen institutions the kitchen door leading to the dock was open with no staff present. At all thirteen institutions no dedicated security staff were assigned to the kitchen, however food service staff were assigned.

The kitchen in a correctional institution is generally one of the more active support service areas. Correctional institutions rely on pre-screened inmates to assist in food preparation, prepare tray-lines, serve inmates and staff, operate dishwashers and complete area sanitation. The physical layout of the kitchen contains multiple blind spots, storage space, food preparation, dish-washing area, culinary tools, a large number of assigned inmates and access to outside the building.

Food service personnel are normally present in the area; however, their primary focus appeared to be on food preparation and delivery of meals. No security personnel are normally assigned to the kitchen/dock area which should be considered a high-risk area. The updated staffing recommendation includes a post assignment for the kitchen/dock area.

Due to a combination of shared dock, proximity to other areas, lack of security personnel assigned to the kitchen portion of the cafeteria, two staggered (8) hour five-day kitchen/dock relief post assignments are being recommended for (7) of the institutions. Three of the institutions already had a post on the department recognized post chart and three of the institutions had a more controlled and limited dock space. A total of approximately (17) additional positions are recommended;

Establish a “Security Captain” post for level 3 institutions to coordinate and focus primarily on developing and enforcing strategies to enhance the security of their assigned institution. A dedicated in-house supervisory post assignment is being recommended for the level 3 institutions to identify, coordinate and maintain appropriate security preparation and enhancements at the institution level.

Re-evaluating Post Assignments. In an effort to streamline responsibilities there are three post assignment areas that are not being identified in the analysts recommendation. These include the following:

- Litter Crew Detail.

Title 24-13-65 states: *The Department of Corrections shall provide prisoners not otherwise engaged in a useful prison occupation for litter control projects proposed by counties and municipalities*¹³;

The analyst is aware of the statutes and that the department is a partner in *PalmettoPride*, a non-profit organization with a focus on eradicating litter in South Carolina. In this partnership, the department is responsible for assisting, by providing inmate labor. Serious consideration should be given to ensure facilities that are properly staffed are engaged in this detail; however, in view of the level of staffing at the thirteen facilities, litter crew post assignments are not being recommended. Overtime expenditures is normally required to provide this service.

¹³ Section 24-13-65, Prisoners to be provided for litter control projects.

- The *operations* post assignments in most of the institutions are not being recommended. Based on the primary responsibilities associated with the position, the duties do not consistently require an employee to be certified. In several institutions the duties were being managed by non-security personnel with support from security staff when needed.

The current recommendation does include a seven-day *Front-End Sergeant* position whose responsibilities should include, assisting *operations* personnel when needed. Based on the unique role of the *operations* position at Kirkland and Lieber, those post assignments have been included in the recommendation; and

- Unit Management Concept. A seven-day security supervisor post assignment is being recommended for every housing unit in the eleven male institutions, as well as an increase in the number of FLS positions assigned to the housing units, and an increase in both supervisory and FLS positions for the courtyard. I fully recognize that recommending additional posts is not the same as applying the unit management concept, however after interviewing both unit management personnel and facility staff, examining available staff resources and reviewing the overall current operation, specific unit management positions were not identified in the current post recommendations.

APPENDIX

APPENDIX A

SHIFT RELIEF FACTOR CALCULATION FORMULA - SAMPLE

| | SCDC SHIFT RELIEF FACTOR CALCULATION | SAMPLE |
|------|---|-------------|
| A. | Agency Closings | 0 |
| B. | Agency Work Days (# of days in a year)) | 365 |
| | Days Contracted to Work (160 hrs. per 28-day cycle) # of Cycles per Year x Days to Work per Cycle | 260.71 |
| C. | Regular Days Off (Days in Year - Days Contracted to Work) | 104.29 |
| D. | Vacation Days (Average Annual Leave hours taken per employee / # of hours in shift) | 10.8 |
| E. | State Holidays (13 Days) | 13 |
| F. | Sick Leave (Average Sick Leave hours taken per employee / # of hours in shift) | 8.4 |
| G | Other Days Off (injury, military, funeral, unexcused, disciplinary, special assignments, etc.) (Average "Other" Leave hours taken per employee / # of hours in shift.) | 2.25 |
| H. | Training Days (Average Training hours per employee / # of hours in shift.) | 5.8 |
| I. | Total Days Off (C+D+E+F+G+H) | 144.54 |
| J. | Actual Work Days (B-I) | 220.46 |
| K. | Meal Time Allowance (J x .0625) | 13.78 |
| L. | Actual Work Days (Including Meal Allowance) (J - K) | 206.68 |
| M. | Number of Employees for one 8-hour shift, 7 days per week (B/L) | 1.77 |
| M.1. | Number of employees for 24-hour coverage | |
| | 7-day posts | 5.3 |
| | 5-day posts | 3.78 |
| | 2-day posts | 1.51 |
| M.2. | Number of employees for 12-hour coverage | |
| | 7-day posts | |
| | 5-day posts | |
| | 2-day posts | |
| M.3 | Number of employees for 8-hour coverage | |
| | 7-day posts | 1.77 |
| | 5-day posts | 1.26 |
| | 2-day posts | 0.5 |
| | Option: Staffing Enhancement after Turn-Over | |
| N. | Staffing Enhancement to Accommodate Turnover | 10.70% |
| O. | Additional Employees needed to cover (1) 8-hour shift (M x N) | 0.19 |
| P. | Number of Employees for (1) shift, 7 days per week (M + O) | 1.95 |

SCDC INSTITUTIONAL SECURITY STAFFING ASSESSMENTS

March 2018

Broad River Correctional Institution

The Broad River Correctional Institution (BRCI) is a state operated level 3 facility located within the Broad River Complex in Columbia, South Carolina. The facility was originally opened in 1988 and serves as one of South Carolina's maximum-security adult male correctional facilities. The operating capacity at Broad River is reported as (1,435) and the average daily population during the last six months of 2017 was (1,354). One wing of a housing unit was not being used during the reporting period reducing the current operational capacity.

While most of Broad River's inmate population are considered maximum custody an average of 17% of the inmates housed at the facility have a custody level of 2 (medium) or lower. The institution provides housing and services for general population and a diverse group of special needs inmates including the Restricted Housing Unit, Statewide Safekeeping, Crisis Stabilization Unit, Area Mental Health and Medically Dependent Services. At the time of the review approximately 23% of the inmate population was on a mental health caseload.

In 2016 the department implemented a 32-bed Crisis Stabilization Unit (CSU) at Broad River to centralize medical and mental health care for adult males who have reported or demonstrated an increased risk of self-harm and/or suicide. During FY 17, there were reportedly (668) inmates admitted to the CSU.

Program services are available and integrated into the daily facility schedule which includes ABE/GED, Religious Services, Character Program, Anger Management, Crisis Stabilization, Dialysis, Mental Health Services, Volunteer Services, Sex Offender Treatment, Alcohol and Drug Education, General Library, Law Library, Recreation, Visitation, Canteen and the Prison Industry Program.

The facility operates as a maximum security correctional institution and is surrounded by a double perimeter fence reinforced with multiple layers of razor ribbon, concertina wire, electronic surveillance equipment, roving perimeter patrol, high-mask lighting, vehicle access gate and an alarm detection system.



Inside the perimeter of the facility are a variety of buildings, equipment and open space available to help meet existing facility responsibilities.

The physical plant contains the following: Front Gate/Vehicle Access Gate; Administration Building; Main Control; Secure Personal Property Storage; Visitation Area; Support Services Building; Medical; Maintenance; Education; Multi-Purpose; Greenhouse; Cafeteria; Execution Chamber; Prison Industries; Dialysis Building and seven Housing Units. Expansive internal movement control fencing, gates and security surveillance cameras are available throughout the interior of the facility.

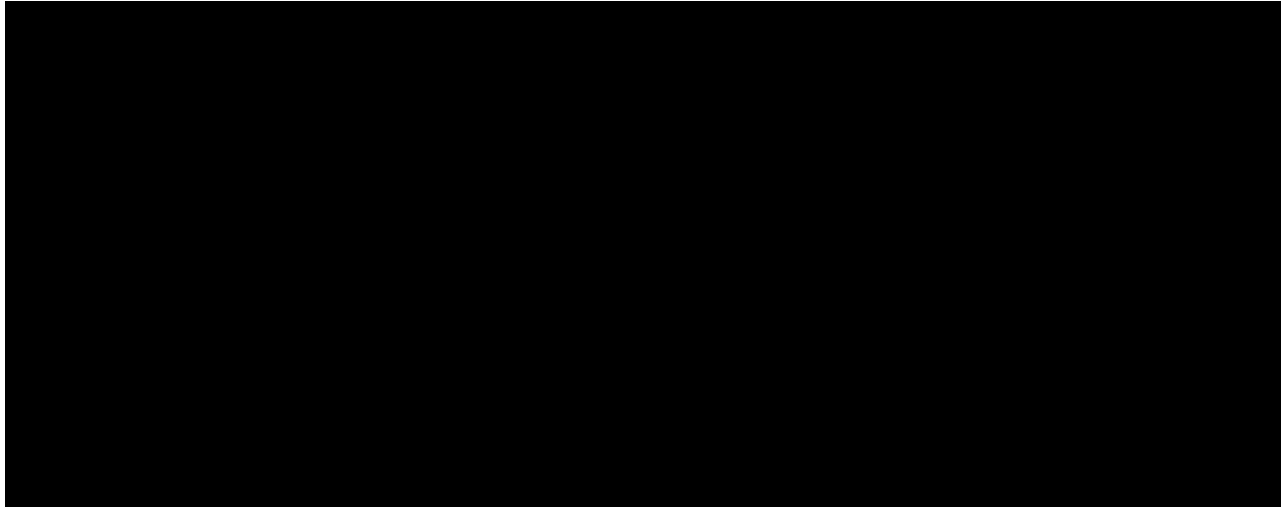
Food Services are normally provided to the general population inmates in the main cafeteria which is in the Support Services area.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

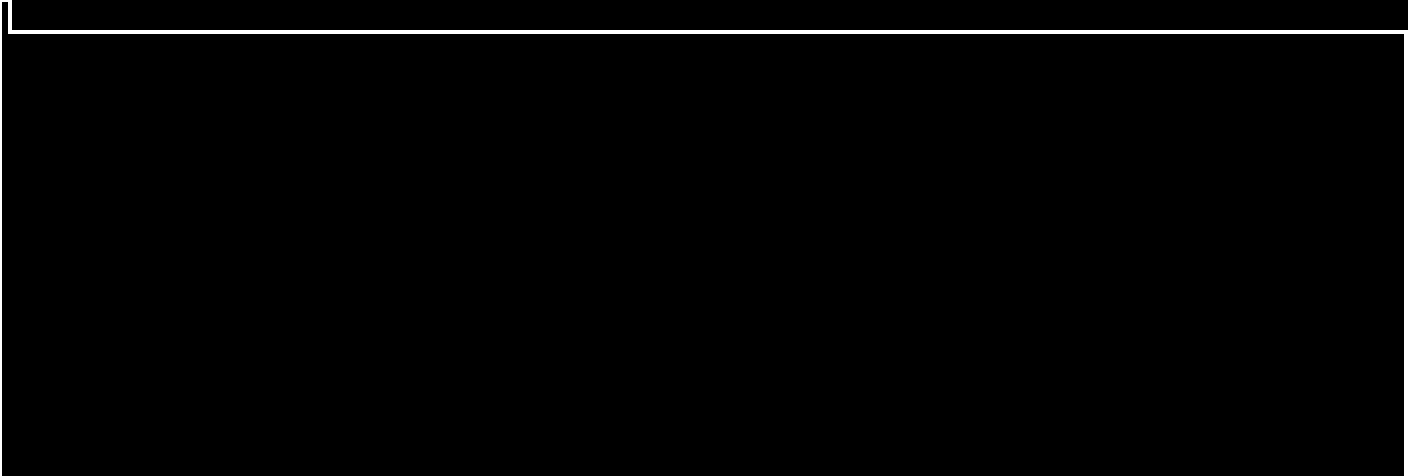
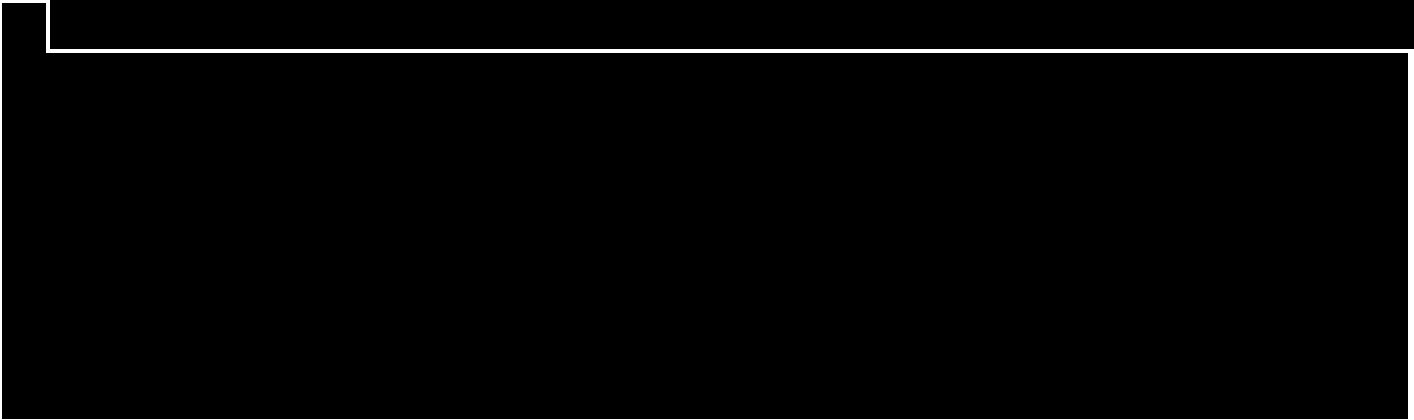
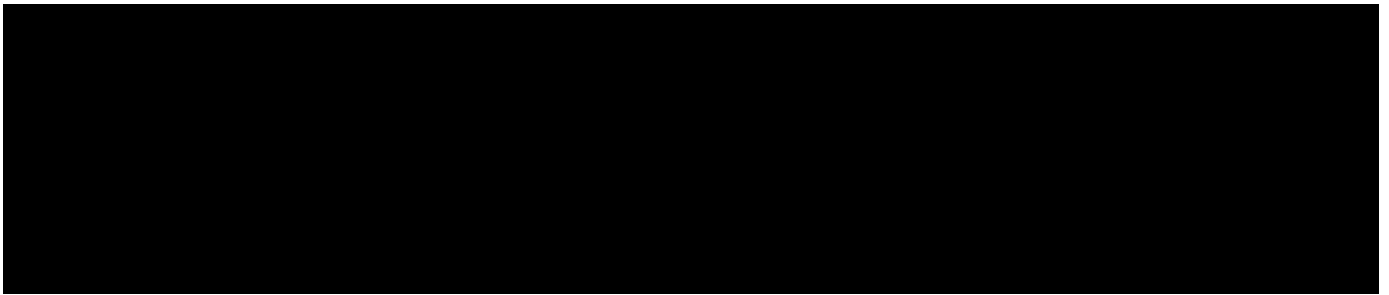
Housing Unit Designs

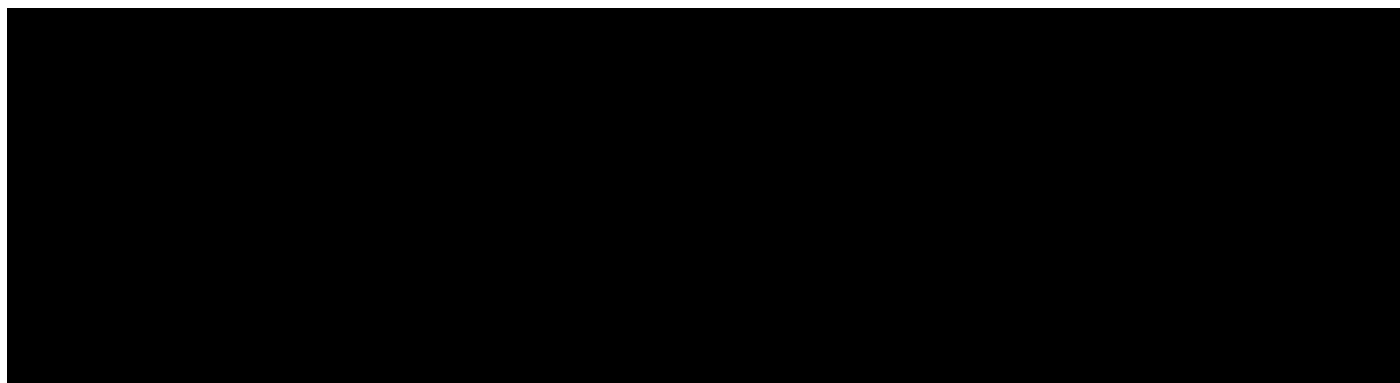
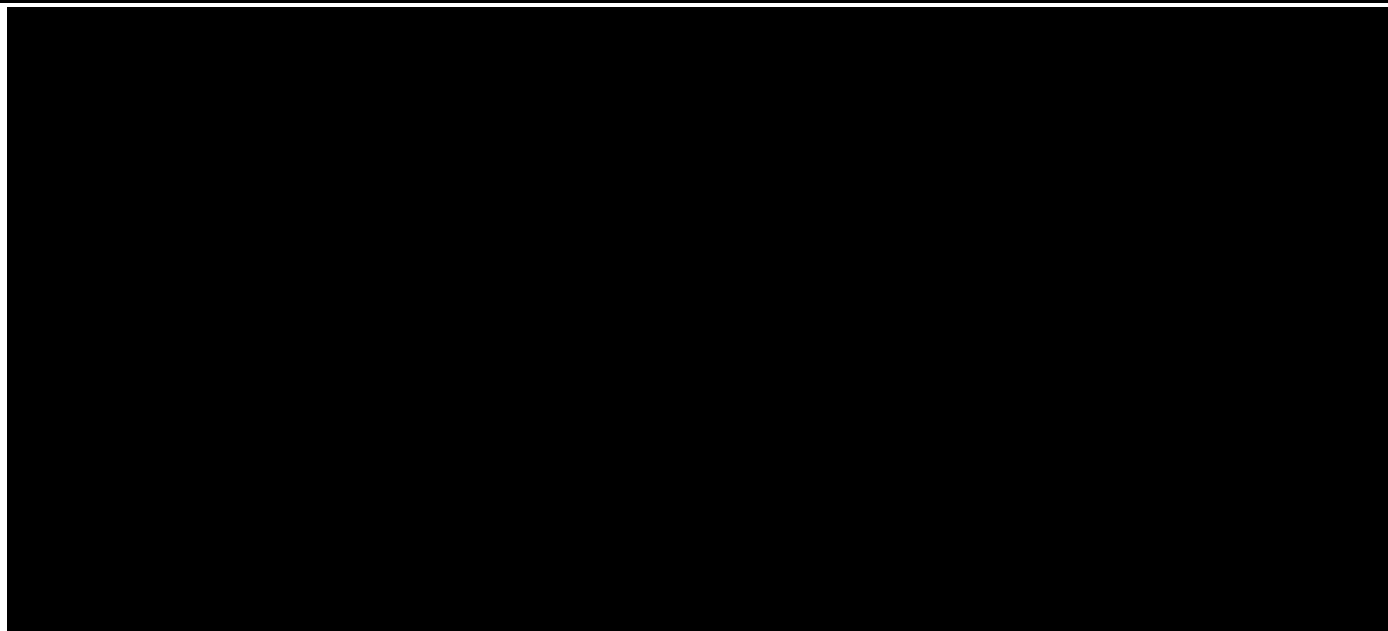
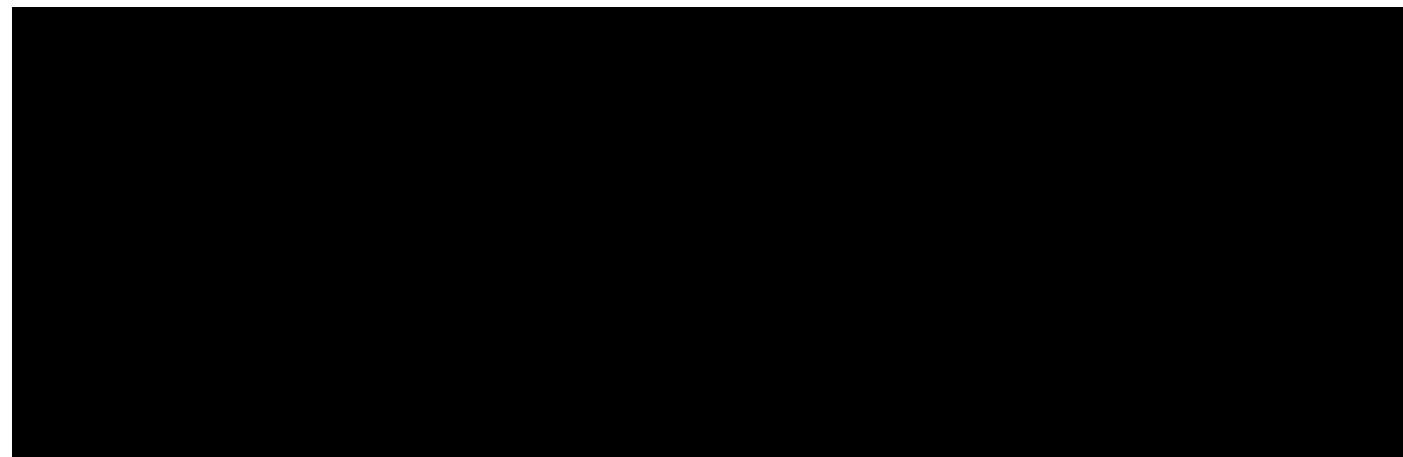
There are three primary housing unit designs at BRCI. All the housing units contain secure cells as dormitory style housing is not available at this facility. The housing unit designs are consistent with nationally recognized practices for a level 3 facility and include both direct and indirect supervision units. In total there are seven housing units at BRCI.

- Four of the units are designed as **indirect supervision** units and were being used to house general population inmates on the day of the site visit. Primary staff working space is located outside the living area. One wing in *one* of the units was being used to provide housing, programming and services for inmates assigned to a Life-Style Change program referred to as the "Character-Based Program". Each housing unit contains double occupancy cells located in one of two multi-level wings. All the cells have a toilet and wash basin and showers are in the common area within the wing. In the front center of the building is a secure sally port which contains staff office space. This area is located directly adjacent to the housing unit wings and adjacent to the entrance of the unit. Secure outdoor recreation space is available immediately in front of each housing unit. Staff reported to centralize programs and services, in November 2017 one of the housing units had been identified to house outpatient/area mental health inmates that had previously been assigned to several different level 3 facilities.
- In addition to the four indirect supervision units there are two units, which staff described as "Starship" in design. Officer work stations are located both within the living area as well as outside the living area immediately adjacent to the inmate living space. The common area also provides a conference room, interview space and medical/exam area. The units were designed to have officers stationed in the living area. The housing unit contains two wings (living area) and secure cells located on both the ground floor and mezzanine level. The wings contain a dayroom, an officer work station, showers, program space and passive recreational opportunities. In total between the two units there are four housing wings. One wing was being used as the **Crisis Stabilization Unit**, one wing was empty on the date of the site visit, and two wings were being used to house medically dependent inmates.



Security Staffing Profile





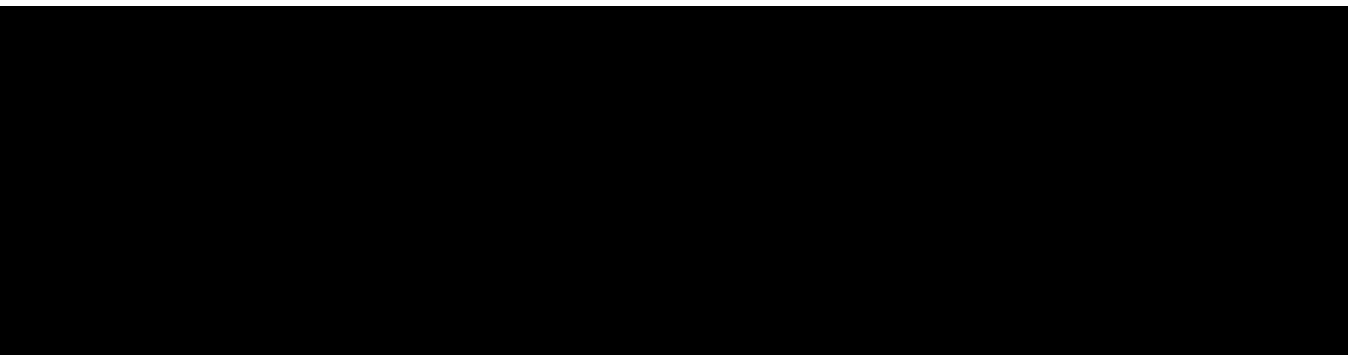
Operational Initiatives in Response to Staffing Levels

Based on staffing levels facility management personnel have deviated from the original staffing plan and implemented several initiatives to maintain minimum operations at the facility.

These initiatives include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)¹⁴. Under normal circumstances security staff are responsible for one post at a time. Because of limiting staffing levels, staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. This often results in fewer inmate escorts, delays and or cancellations in program and service delivery and labor-intensive tasks often not being completed;
- **Staff are augmented to leverage existing personnel resources.** Since 62% of the total vacancies were in the front-line staff positions staff outside those position classifications are frequently required to fill line staff post assignments. A review of daily shift assignment rosters reflect sergeants, lieutenants, captains, counselors and unit managers are routinely used to meet front-line staff post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;
- **Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are considered exempt employees and are not eligible to receive overtime compensation;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** During the first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of (128) days due to staff shortages. This resulted in limited access for the inmate population to programs and services during those days;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures. Traditional practices include relieving staff from their post assignment and/or shift to complete training at straight time;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through September 2017 reflect all post assignments in the housing units, front gate, cafeteria and yard are not routinely being filled;
- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard and medical posts only during peak hours;
- **One housing unit wing was closed.** One housing unit wing in the unit referred to as "Greenwood" was closed during the review period in part due to limited staffing levels;

¹⁴ SCDC Policy OP.22.24 Post Orders.

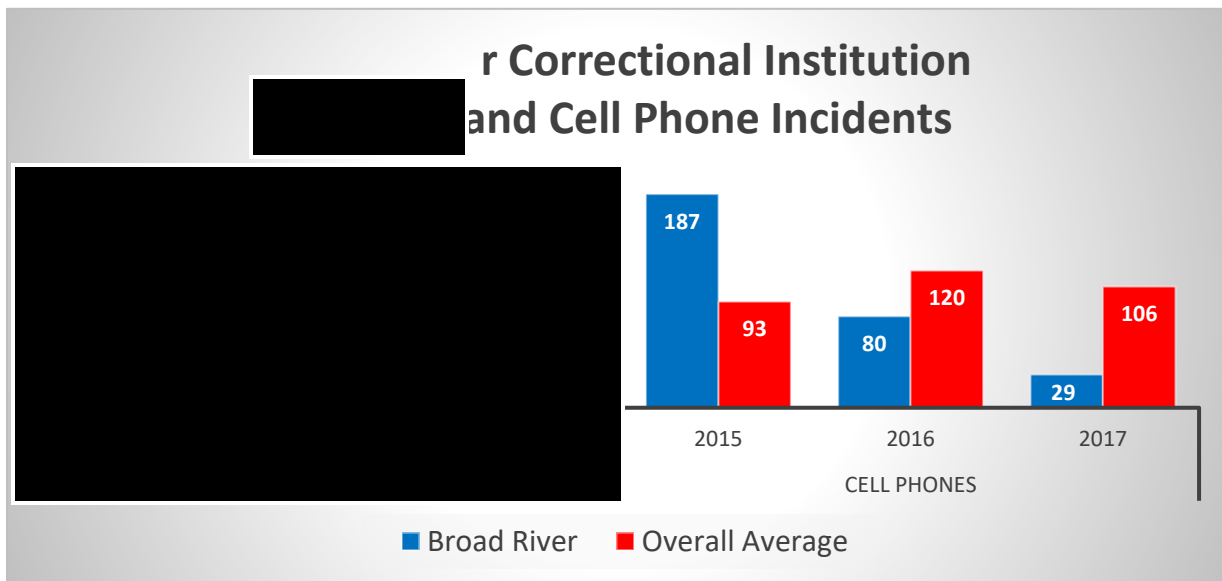


- **Staff initially not scheduled to work fill vacant post assignments often at an overtime rate.** Overtime expenditures have continued to increase significantly during calendar year 2017 when compared with 2016. During the first eleven months of 2017 the facility reported \$843,046 (rounded) in overtime expenditures. In 2016 during the same reporting period the facility reported \$505,397 (rounded) in overtime expenditures. Most of the overtime is the result of staff not initially scheduled to work filling required post assignments, providing transports and hospital coverage, attending required training and filling a post assignment because of late reliefs. At Broad River shift command staff reported the extensive reliance on overtime to fill post assignments was impacting morale and staff's ability to effectively supervise the inmate population;
- **Limit Inmate Movement after 7:00 pm.** Inmate movement during the evening hours normally after 7:00 pm is primarily limited to address medical related needs; and
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff assigned to the 8-hour shifts are routinely scheduled to work (160) hours in the same recognized pay cycle.

Demonstrated Risk Factors

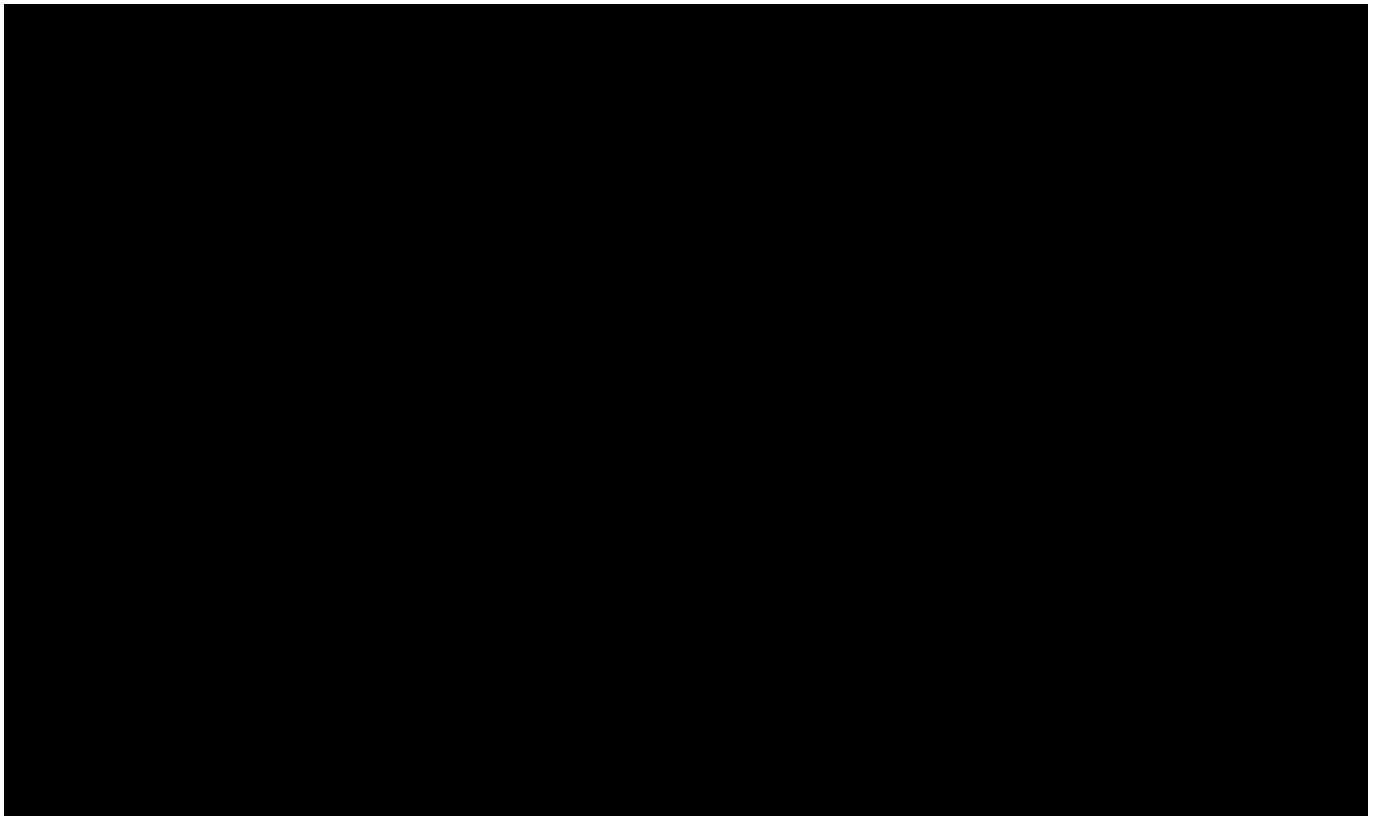
Contraband Incidents. The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern in operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity and violence. At Broad River there has been a history of weapons used to stab inmates. Reports reviewed reflected an inmate death occurred at the facility in 2009 as the result of a stabbing.

As shown in the chart, weapons and cell phone related incidents have decreased each year during the past three years. The volume of weapons and cell phone related incidents during 2017 at BRCI has been less than half the average reported for the other facilities reviewed in this project. Staff deployment rosters identify three staff are assigned to contraband control at the facility.



Source: SCDC RIM

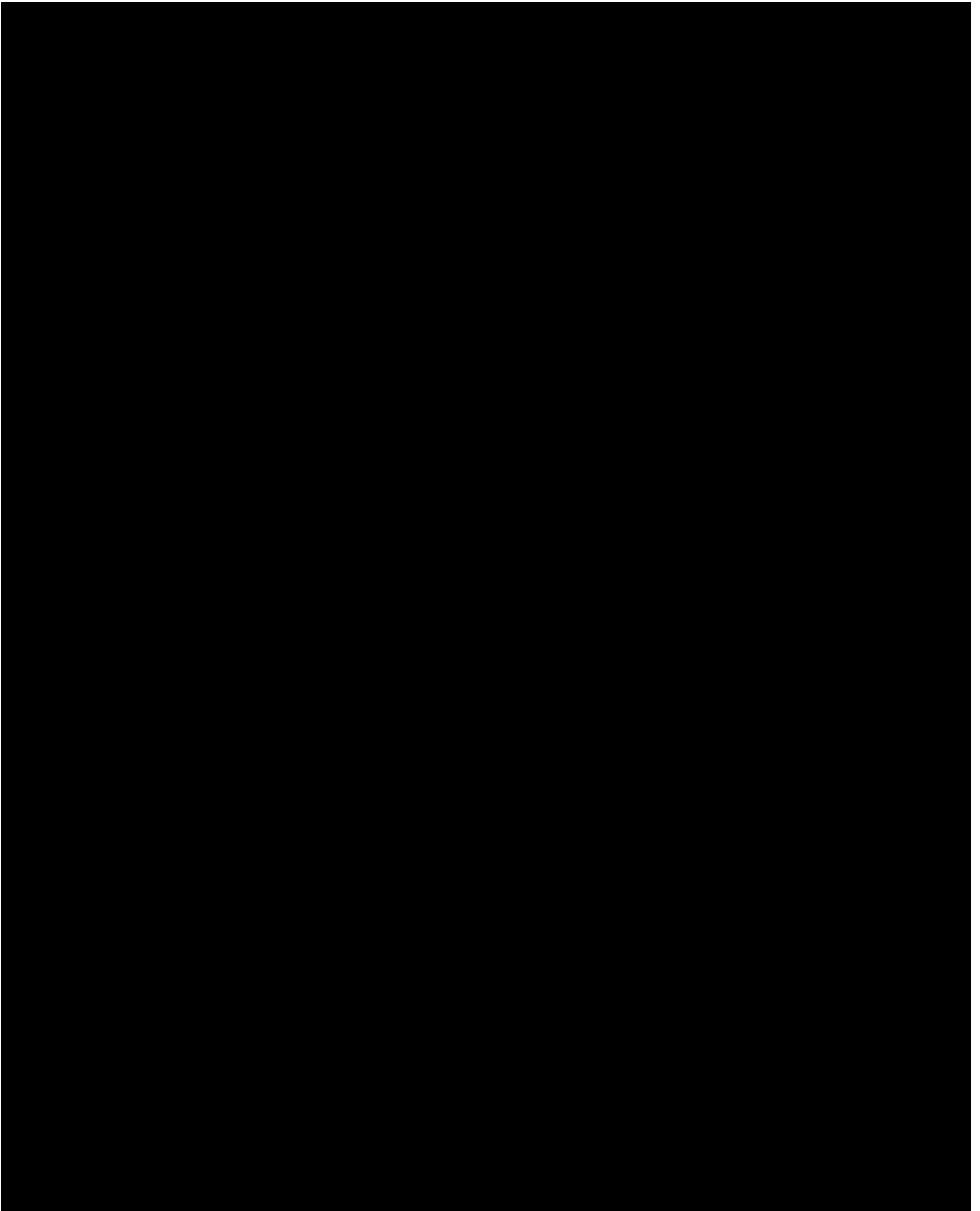
The Director has been at the forefront on a national basis calling for federal support to repeal federal laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials.

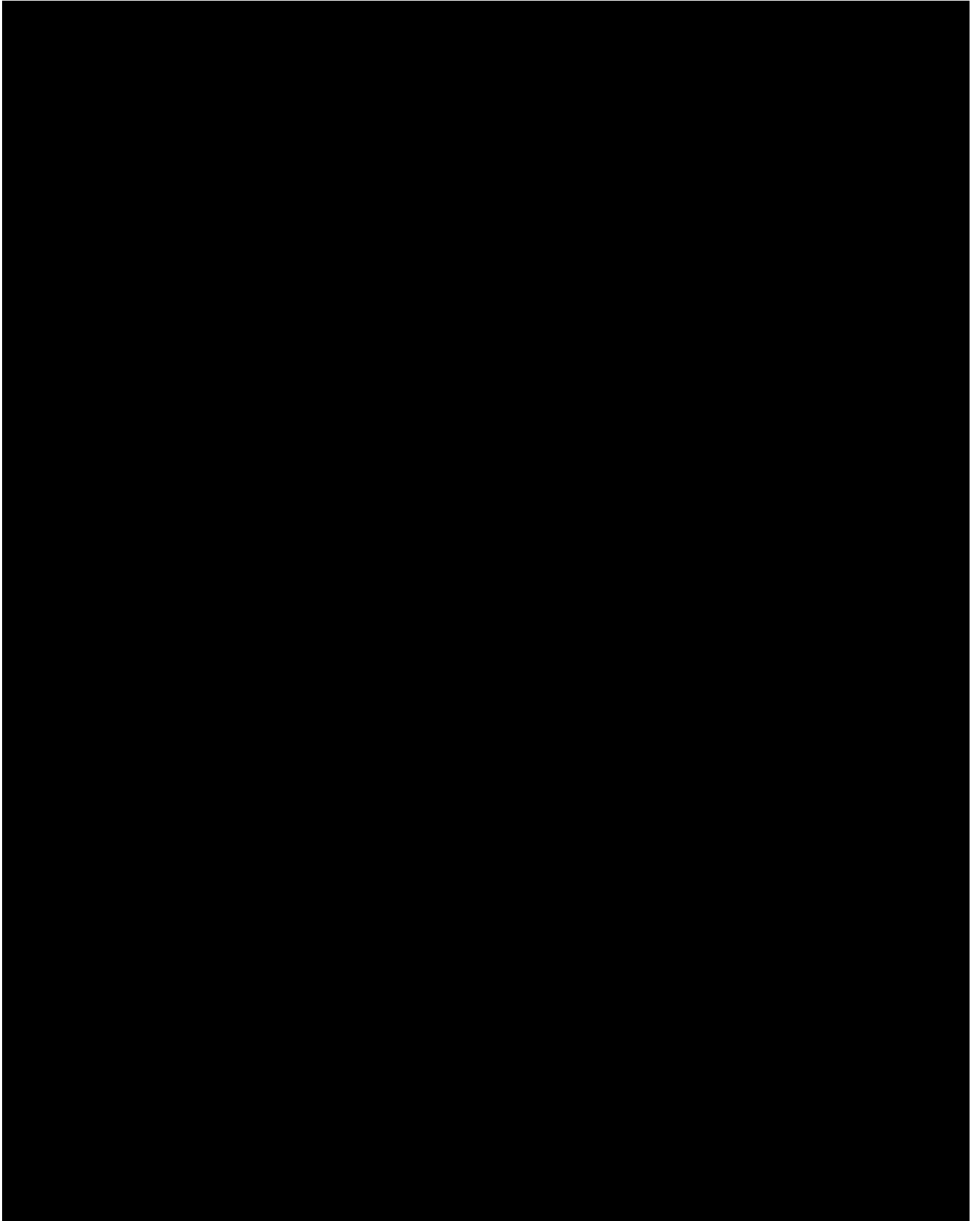


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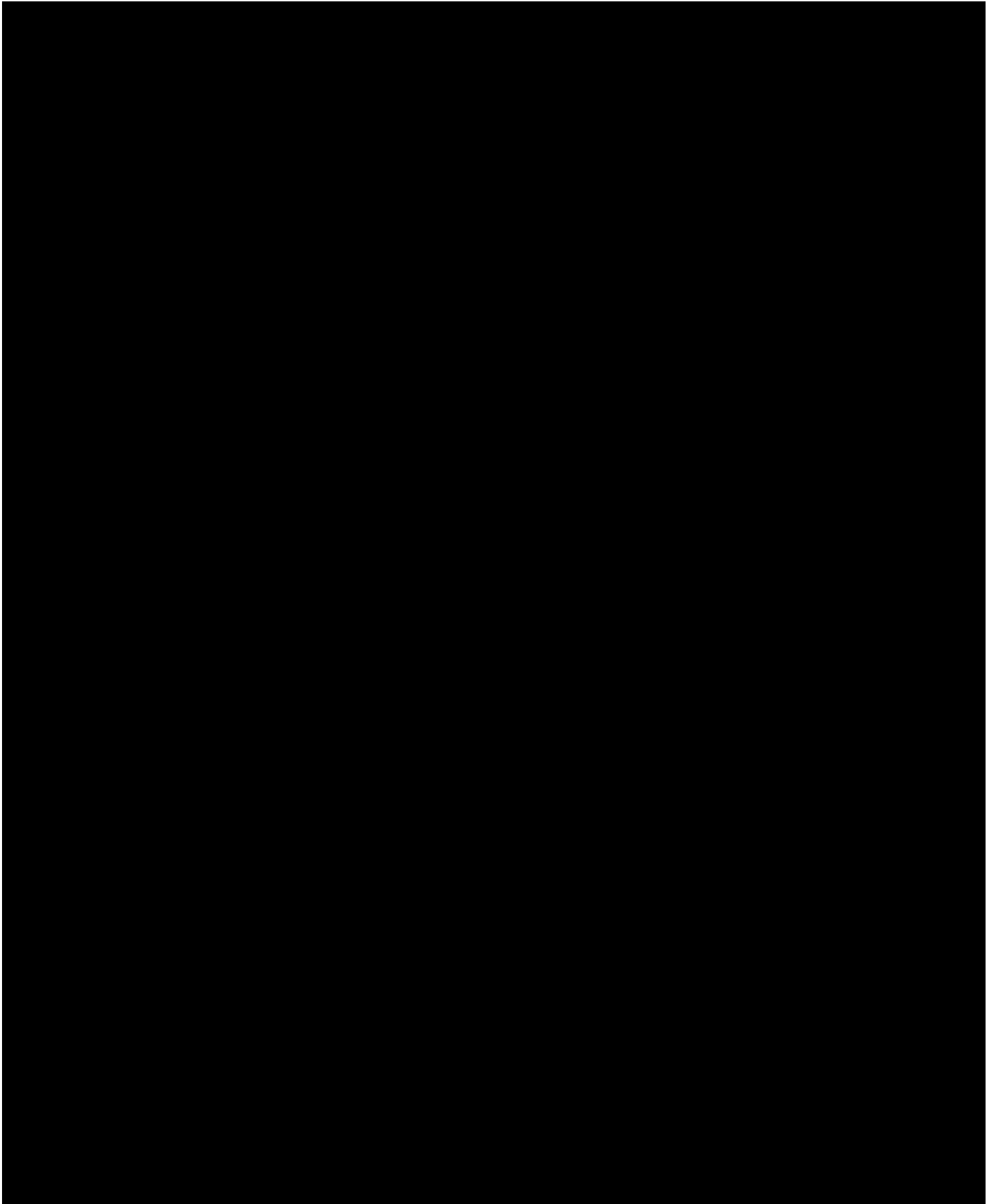
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Daily Shift Roster. Daily shift rosters are also maintained that identify in more detail the actual staff assigned by day, their post assignment and scheduled staff on leave. The daily shift rosters are designed to document how scheduled personnel are utilized and provide staff accountability. Daily shift rosters should be managed as essential documents that will assist the department in identifying post coverage trends. Initial manual daily rosters are developed and later entered into an automated electronic management

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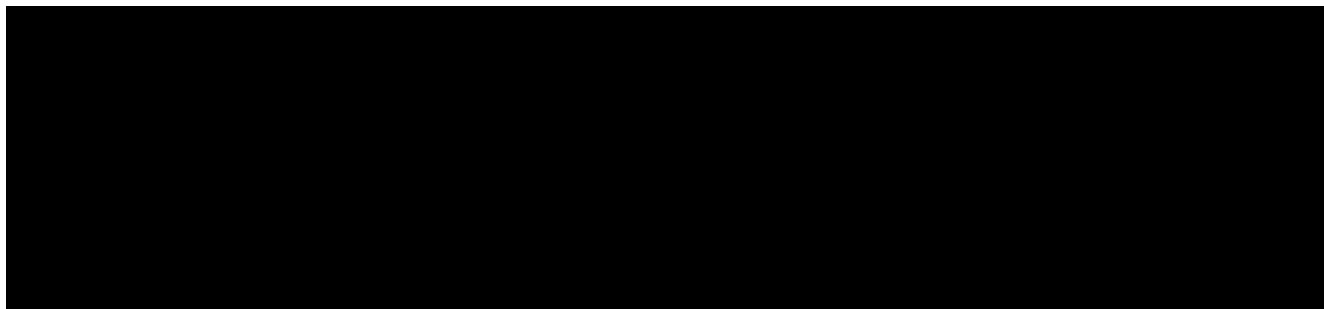
This should be considered a core post that is required to be staffed whenever inmates are present. The updated recommended post chart includes the addition of security personnel for the medical unit.

Court Yard. The Broad River Correctional Institution is a campus-style facility with seven housing units, programs and service areas surrounding a large courtyard. To get from the housing units to most program activities and services inmates are required to walk through the courtyard which includes interior fencing and gates. The gates were locked on the day of the site visit and the interior fence lines were approximately 12 feet high. All authorized movement at this maximum-security facility is controlled movement. It is essential and a fundamentally sound correctional practice in a maximum-security facility, that security staff be present to monitor, control access and authorize inmate movement.

When sufficient staff are not available to operate a gate, delays can occur. Slowing down and controlling movement in most circumstances is highly recommended, creating unnecessary delays or long delays can lead to security concerns. Staff need to be present not only to control gates but to monitor pill-line windows, canteen lines, commissary and food services where inmates congregate while waiting for access.

Courtyard security personnel are also required to be readily available and accessible to provide access to/from the Moultrie/Greenwood Access Gate. The courtyard consists of a large space which is the primary path to most housing, programs and services. Extensive internal fencing and secure gates are located throughout the courtyard. A manual gate separates the courtyard from Moultrie/Greenwood housing units. Greenwood provides housing for inmates assigned to the Crisis Stabilization Unit and Moultrie provides housing for medically dependent inmates.

Based on the size of the facility and location of work, program and service areas in relation to the housing units dedicated yard officers should be consistently assigned to the courtyard to control access, monitor existing activity levels, provide internal roving physical plant security and to serve as responders.



Shift Relief. The shift relief factor allowance is not fully reflected in current staffing levels. Security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments. The recommended post chart includes the updated shift relief factor being applied to most post assignments, to recognize the importance of the associated post responsibilities, and to provide a staffing allowance during absences.

Kitchen/Dock. BRCI routinely requires supervisory personnel to assist in providing security supervision during meal periods. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock.

¹⁵ SCDC Policy ADM-11.21 Regular Working Hours and Overtime.

This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock areas for the cafeteria, canteen and commissary. Food service personnel are present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. Dedicated security personnel are normally not assigned to the kitchen/dock area which should be considered a critical post and high-risk area. The recommended post chart includes (2) five-day, 8-hr. posts with staggered starting times to maximize post coverage.

Housing Units. The general population housing units when fully operational each have an operating capacity of 250. Approximately 83% of the inmates housed at Broad River are considered level III maximum security inmates. These are generally individuals with a history of violence with long sentences and/or inmates who have exhibited behavioral problems while in the system. The inmates are housed in one of two wings located within each unit. Each wing is separated by a common sally port that contains a secure entry/exit to the building, officer work space and entry into each wing. Visibility from this area into each wing is limited.

Actual staffing levels vary by shift, day and the availability of supervisory staff and unit management personnel. Based on the everyday responsibilities of an officer and the activity levels of each unit, the practice of having one officer assigned to provide security, custody and control of 250 maximum custody inmates is inconsistent with realistic expectations of what one officer can accomplish. The duties and responsibilities of a correctional officer assigned to a housing unit are expansive and often misunderstood. They range from establishing and maintaining open communication with the inmate population, to conducting inmate counts, escorts, access to program services, searches, supply distribution, supervision, writing reports to gaining intelligence. To accomplish these responsibilities, the number of staff assigned should be aligned with meeting those established responsibilities. Based on current staffing trends effective supervision in the housing units is not always being provided.

CSU Staffing. The crisis stabilization unit is located on one wing of the housing unit referred to as “Greenwood”. This is a medical and mental health care unit designed to provide housing, programs and services for a high-risk adult male population. The CSU is the department recognized unit designed to house male inmates who have reported or demonstrated an increased risk of self-harm. The high-risk inmates are housed on the ground level and trained inmate observers are housed on the mezzanine level of the wing. Some of the inmates (non-observers) assigned to the unit may be on restricted housing status while others may not.

Based on the type of inmate housed on the wing this should be considered a staff intensive security unit that requires elevated levels of vigilance and focus. Inmates assigned to the unit have demonstrated they are a high risk to commit self-harm and as a result are required to be supervised appropriately and provided access to programs and treatment while in the unit.

Programs, services and treatment may occur from 5:00 am to 9:00 pm seven days per week; however, most programs and treatment occur during the day shift, Monday through Friday. Security staffing levels need to be aligned with meeting the expanded responsibilities during the peak periods to allow non-security personnel the ability to focus on treatment and programming not strictly safety. Mental health techs have been assigned to assist, however not to replace, dedicated security personnel.

Current reported security staffing allowance calls for normally one floor officer, one escort officer and a security supervisor.

Based on existing facility policy current responsibilities are expansive. Two staff are required to be present when opening a restricted inmates cell door, one officer is to be within line of sight when an inmate is being interviewed by staff while in the same room, an officer is required to provide escort, an officer is to be on the recreation yard when occupied, and an officer is required to complete wellness checks of each inmate every 15-minutes.

In addition, traditional post responsibilities are to be completed including providing access to showers, conducting searches, building inspections, providing documentation, inmate counts, radio/telephone contact and being available to respond instantly. During the day shift three FLS staff are recommended to be assigned to the housing unit wing, one escort/support officer and one recreation officer.

Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Broad River based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

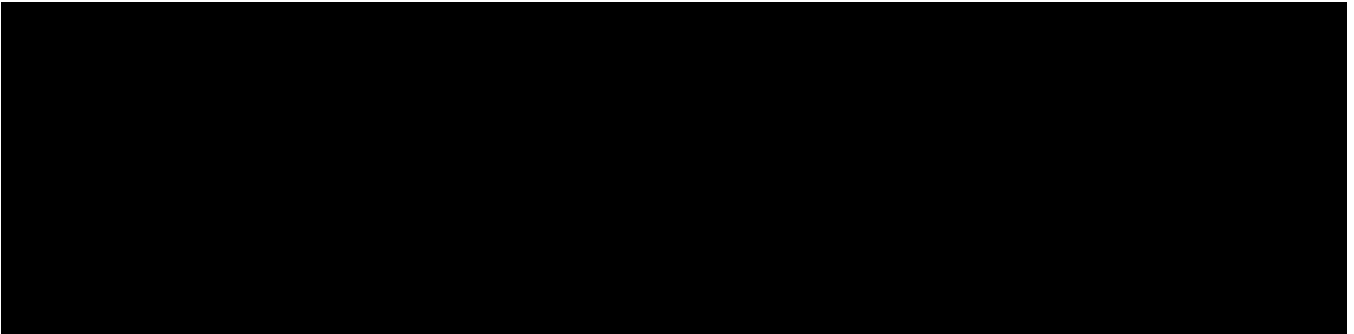
Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

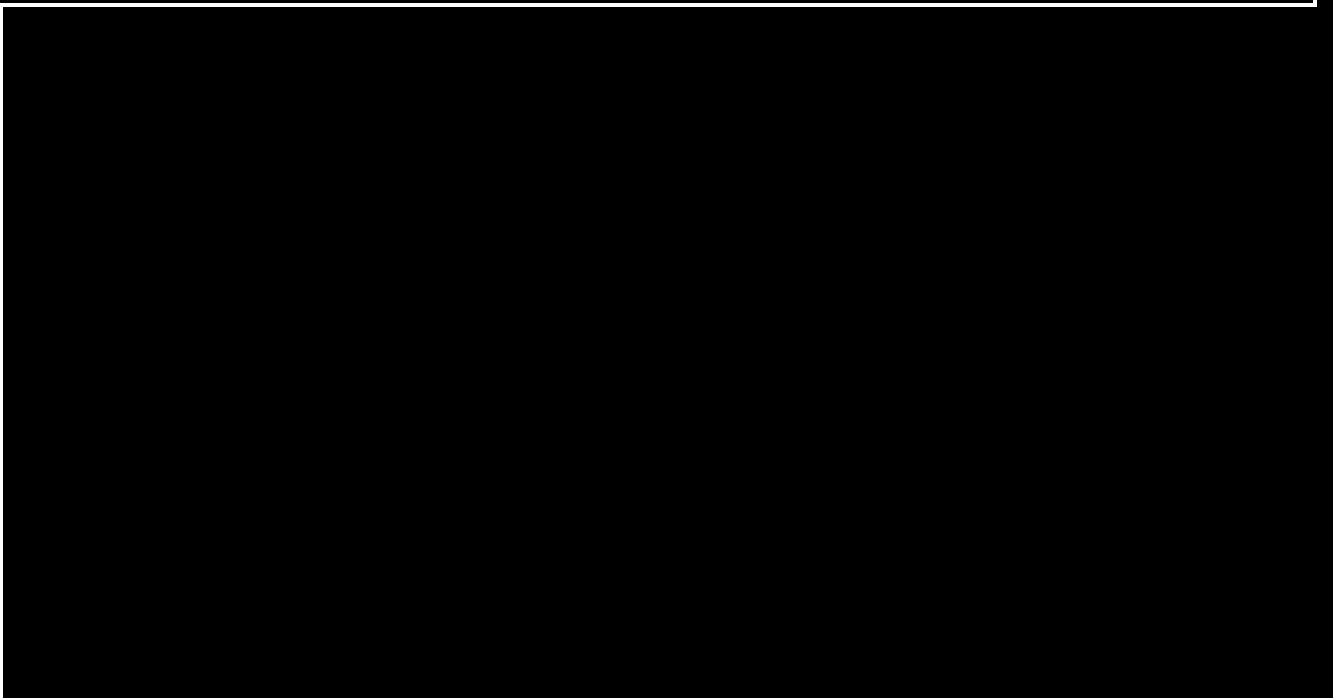
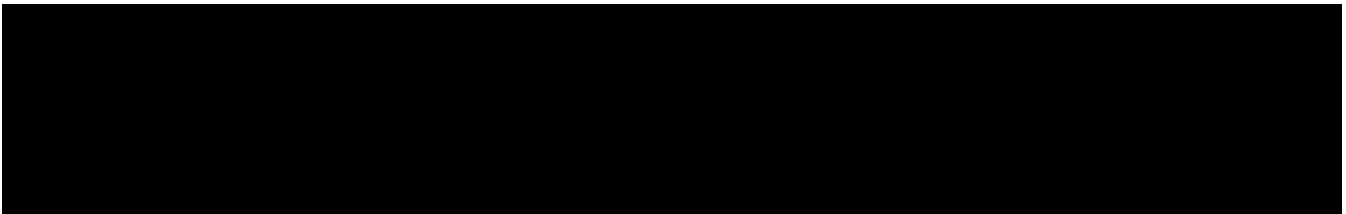
At Broad River the use of "sick-time" increased significantly in 2016 compared to 2015. In 2015 the average full-term security employee used (54.25) sick-time hours, in 2016 (105.4) and in 2017 (99) hours;

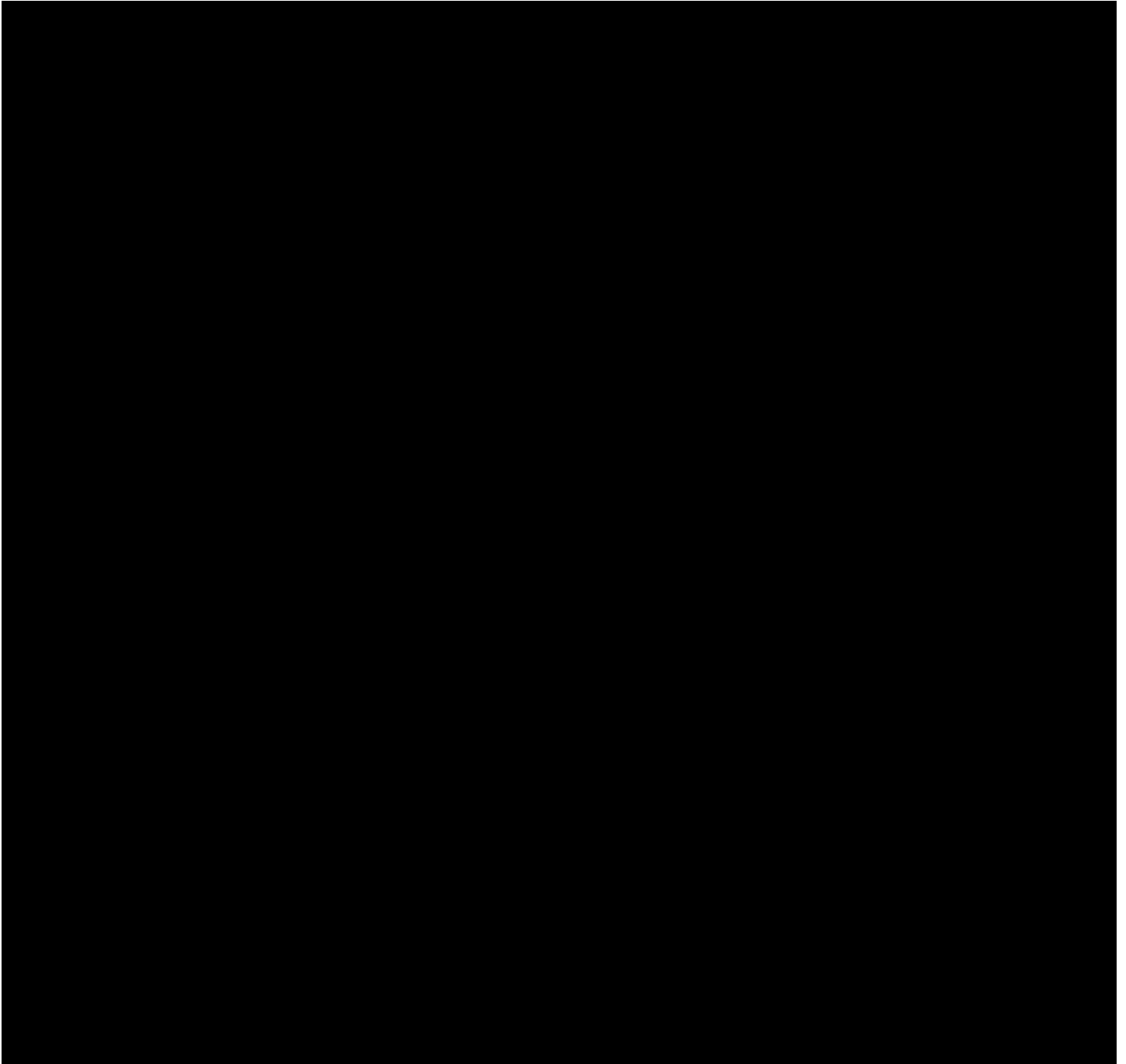
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.



A shift relief factor of 5.03 can be translated to mean that for one year an average of approximately five staff (5.03) will be required to fill one 24-hour post assignment when applying the *straight 12-hour shift schedule* (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.30 staff (160 hours) throughout the year.

Staffing Level Recommendations





Kirkland Correctional Institution

The Kirkland Correctional Institution (KCI) is a state operated level 3 facility located within the Broad River Complex in Columbia, South Carolina. The facility was originally opened in 1975 and provides a wide variety of services for the South Carolina Department of Corrections. Additional housing has been added to the facility since it was originally opened.

KCI currently serves as the Men's Reception and Evaluation Center (R & E) in addition to providing housing and services for a variety of male inmates that have been admitted to the South Carolina Department of Corrections (SCDC). The overall combined operational capacity at KCI is reported as 1,910 and during the last six months of calendar year 2017 the average daily population was 1,835. The custody classification of inmates assigned to the main facility varies from level 1 to level 3. In September 2017 the department transferred male Death Row inmates from the Lieber Correctional Institution to KCI.

The mission of the facility includes the following:

- **Reception and Evaluation (R & E).** KCI is the only male R & E facility within the South Carolina Department of Corrections. All males admitted to the South Carolina Department of Corrections are processed initially through the KCI Reception and Evaluation Center. Kirkland receives, classifies and assigns offenders age 17 and above sentenced to 91 days or more. During FY 2017 there were 7,237 males admitted to the Department. The first nine months of calendar year 2017 an average of 606 inmates were being processed each month at the R & E;
- **Kirkland Max Unit.** KCI provides housing and program services for the designated Maximum-Security Unit that serves the South Carolina Department of Corrections. This specialized housing unit is where male inmates identified as potentially the most disruptive, dangerous and violent within the department are housed and receive access to programs and services. In addition, inmates with a sentence of death are assigned separately within the unit;
- **Kirkland Infirmary.** KCI provides a Department of Health & Environmental Control licensed 24-bed infirmary available for use by SCDC male inmates. Appropriately screened male inmates incarcerated throughout the department requiring infirmary placement are housed and treated at the KCI Infirmary;
- **Gilliam Psychiatric Unit.** KCI provides housing and services for adult male inmates screened and approved for placement at the SCDC licensed inpatient psychiatric care facility. This is a staff intensive therapeutic program that includes an 84-bed residential unit offering therapeutic programs, treatment and services for mental health inmates classified as Level 1;
- **Death Row.** On September 26, 2017 inmates on death row were transferred from the Lieber Correctional Institution to KCI and housed in the Maximum-Security Unit separate from non-death row inmates assigned to the same unit;
- **Restricted Housing Unit.** The Restricted Housing Unit is available to house inmates requiring more intense behavioral levels of supervision.

Additional security personnel are required to supervise inmates assigned to this unit. The inmates are housed and programmed separately from inmates assigned to the general population;

- **High-Level Behavior Management Unit (HLBMU).** The Behavior Management Unit at KCI is designed as an alternative to long-term segregation placement for inmates designated as having a mental health classification suffering from severe personality disorders and associated disruptive behaviors. The unit is designed to operate as a therapeutic program with a focus on disrupting a cycle of repeated disciplinary infractions resulting in frequent, repetitive sanctions that extends their segregation placement. This is a staff intensive unit that houses inmates with a higher security custody and documented history of being assaultive and aggressive toward inmates or staff;
- **Intermediate Care Services (ICS).** The ICS is a residential mental health program for inmates with persistent mental illness who require intensive treatment, monitoring and care. Structured and unstructured out of cell programming, as well as group therapy are essential parts of the program. Inmates assigned to the ICS were housed in two separate units based on their functioning level. A behavior-based level system is used to facilitate inmate adherence to program rules and to provide incentives for advancement through the ICS Program; and
- **General Population.** General population inmates are housed together in the same housing units at KCI and assigned to program services and work details throughout the facility.

KCI operates as a maximum security correctional institution surrounded by a double perimeter fence reinforced with razor ribbon, concertina wire, electronic surveillance equipment, sensors, armed perimeter patrol, high-mask lighting, vehicle access gate and an alarm detection system.

Inside the perimeter are a variety of buildings and services designed to meet existing responsibilities. The physical plant includes the following: A Secure Front Gatehouse; Armory; Administration Area; Main Control; Visitation Area; Infirmary; Medical Clinic; Reception and Evaluation Center; Medical Annex Building; Cafeteria; Back Vehicle Gate; Commissary; Canteen; Maintenance/Horticulture; Support Services and 14 different inmate housing areas.

Food services are normally provided to the general population and R & E inmates in the cafeteria.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement, escorted, supervised and the use of passes (OTR's) was all being used.



Housing Unit Designs

The 14 inmate housing units at KCI represent six different building designs.

- Three of the housing units are multi-level units containing two separate housing wings. These units are designed as **direct supervision** housing units described by staff as “Starships” or “Green Tops”. The officers primary work station is located within the living area. Additional work space and interview rooms are provided in a common area immediately adjacent to the entrance sally port. Direct full visual observation into the living areas is not possible from the office space located in the common area. The living areas provide secure cells on both the ground floor and mezzanine level. In addition, each wing contains an appropriate size dayroom, showers, program/group space and passive recreational opportunities. Secure outdoor recreation space is located adjacent to each unit. The units are identified as F1, F2 and F3;
- Seven of the housing units located in what was referred to by staff as the “Horseshoe” are similar in design. Each unit contains two wings and two levels on each wing. A secure control room is located in between the two wings. Direct visibility into each wing from the control room is partially obstructed because of the building design. Security surveillance cameras are in some of the units, including the **High-Level Behavior Management Unit (HLBMU)** and **Restricted Housing Unit. (RHU)**. This is a staff intensive unit that requires detailed inmate movement control and access to structured and unstructured program services. Each wing contains strictly cells. Showers, storage and dayroom space are also available on the wings outside the individual cells;
- One **indirect supervision** single story housing unit was being used to house general population inmates primarily assigned to the inmate work cadre for the facility. The housing unit contained two open bay wings clearly visible from an elevated open officer work station. Each wing had toilets, sinks, showers and dayroom space.

The work station was strategically located in the center of the unit to provide visual observation into each housing area. Additional office and group space was available within the unit;

- KCI also provides a **Department of Health & Environmental Control licensed 24-bed infirmary** which is located adjacent to the administration building. Appropriately screened male inmates incarcerated throughout the department requiring infirmary placement may be housed and treated at the KCI Infirmary. Housing options including secure single rooms, isolation rooms, two-person and larger open bay rooms were available on a single floor. Showers for most rooms are located off the hallway in the infirmary;
- **The Maximum-Security Unit** is a single-story building which includes a secure centralized control room surrounded by four housing wings. Each wing contains two side-by-side hallways. Wings are separated by secure gates and security glazing.

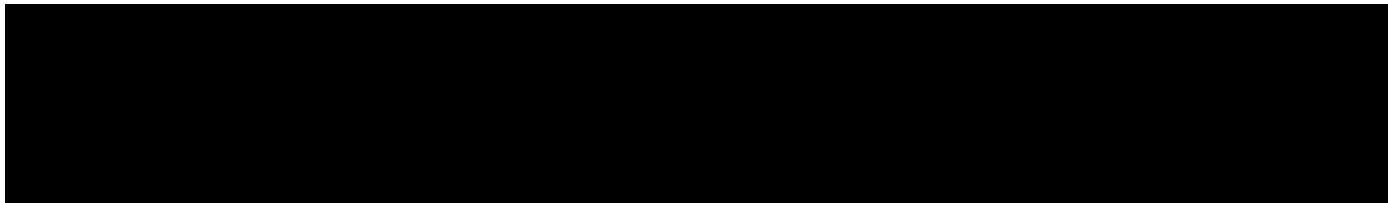
On each hallway there are secure cells on one side of the wing with double entrance doors and an individual secure vestibule provided for each cell. Toilets, wash basin, bed, lighting and a shower are in each cell. Visibility into each wing from the control center is gained through direct observation into the wing through security glass and by video monitors. Recreation space is available outside the cell adjacent to the building; and

- **The Gilliam Psychiatric Unit (GPH).** GPH provides housing on two wings with each wing containing cells on the ground and mezzanine level. All inmate housing is provided in cells as there is no dormitory style living within the unit. Each cell contains a toilet and wash basin and each wing has showers, a dayroom and passive recreation space. A secure centrally located control room was available within the unit to provide added security, visibility into the two-tier wings and security support. The conversion of two cells on each wing into nursing stations was nearing completion during the reporting period. Outdoor recreation space is provided as well as additional staff interview space outside the housing unit wings.

Program Services

In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These program services have been integrated into the daily facility schedule. Such programming and services include: ABE/GED; Columbia International University (Associates Degree); Psychiatric Hospital; Intermediate Care Services; Horticulture; Commissary; Hobby Craft; Infirmary Care; PREA peer education; Mental Health Services; Behavior Management Program; Medical Clinics; Library Services; Mental Health Services; Religious Services; Visitation; Computer Lab; Recreation, Volunteer Services and Life Skills.

Security Staffing Profile



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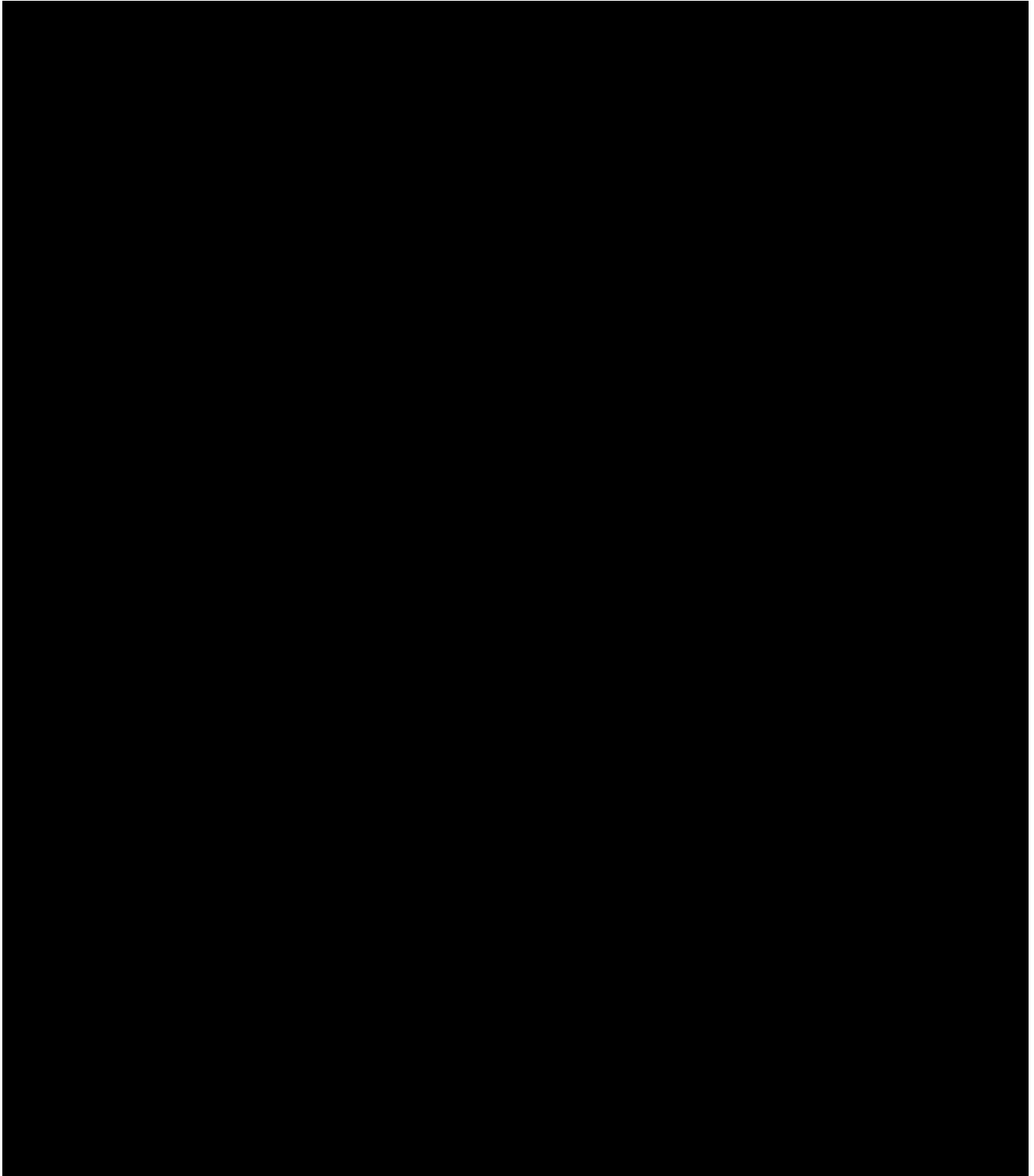
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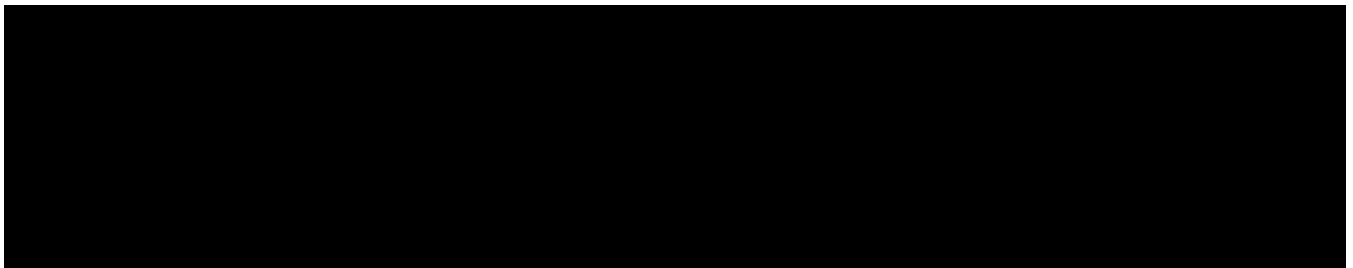
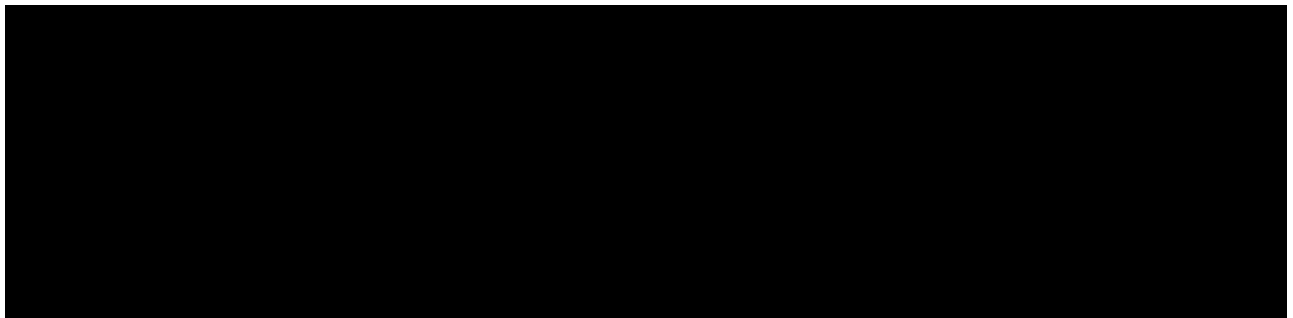
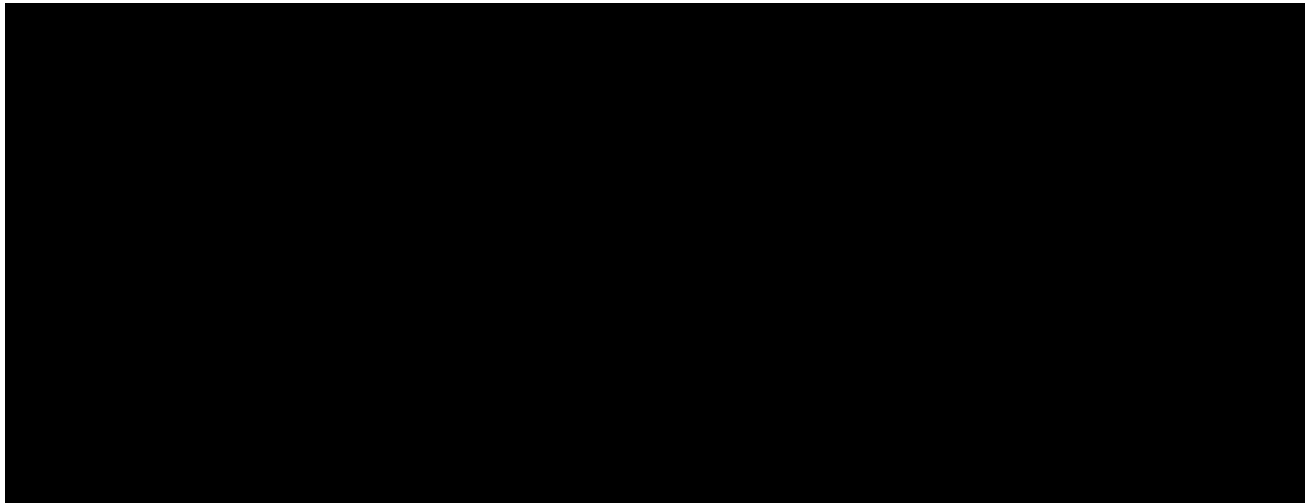
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The initiatives routinely include the following:



¹⁶ SCDC Policy OP.22.24 Post Orders.

¹⁷ SCDC Operations. Lockdown Statistics.



Demonstrated Risk Factors

Contraband Incidents. The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity and violence. Based on data received from the SCDC Research and Information Management Division, there has been more cell phone related incidents reported by the facilities in the past three years than any other type of contraband.

The Director of the department has been at the forefront on a national basis calling for federal support to change laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials. In addition, the Act prohibits the manufacture, importation, marketing, sale or operation of devices deliberately designed to jam or disrupt wireless communications.

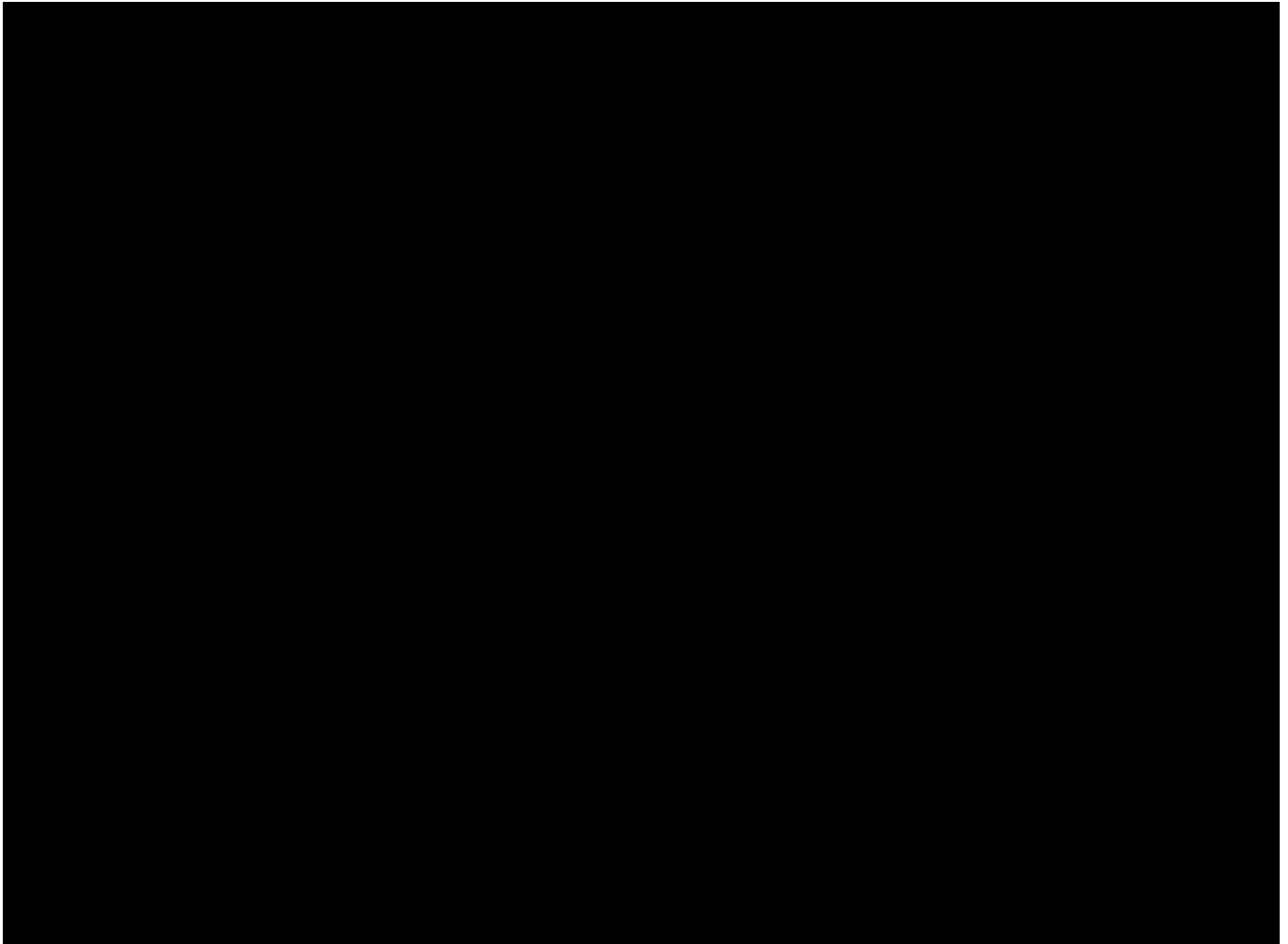
¹⁸ SCDC Research and Information Management.

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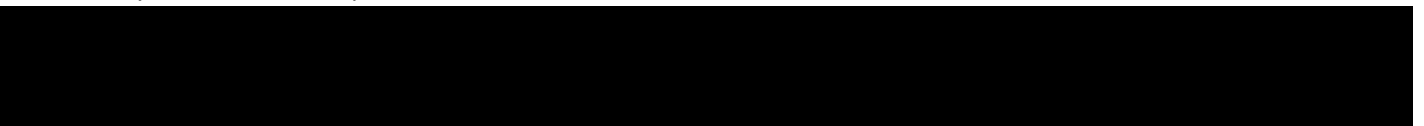
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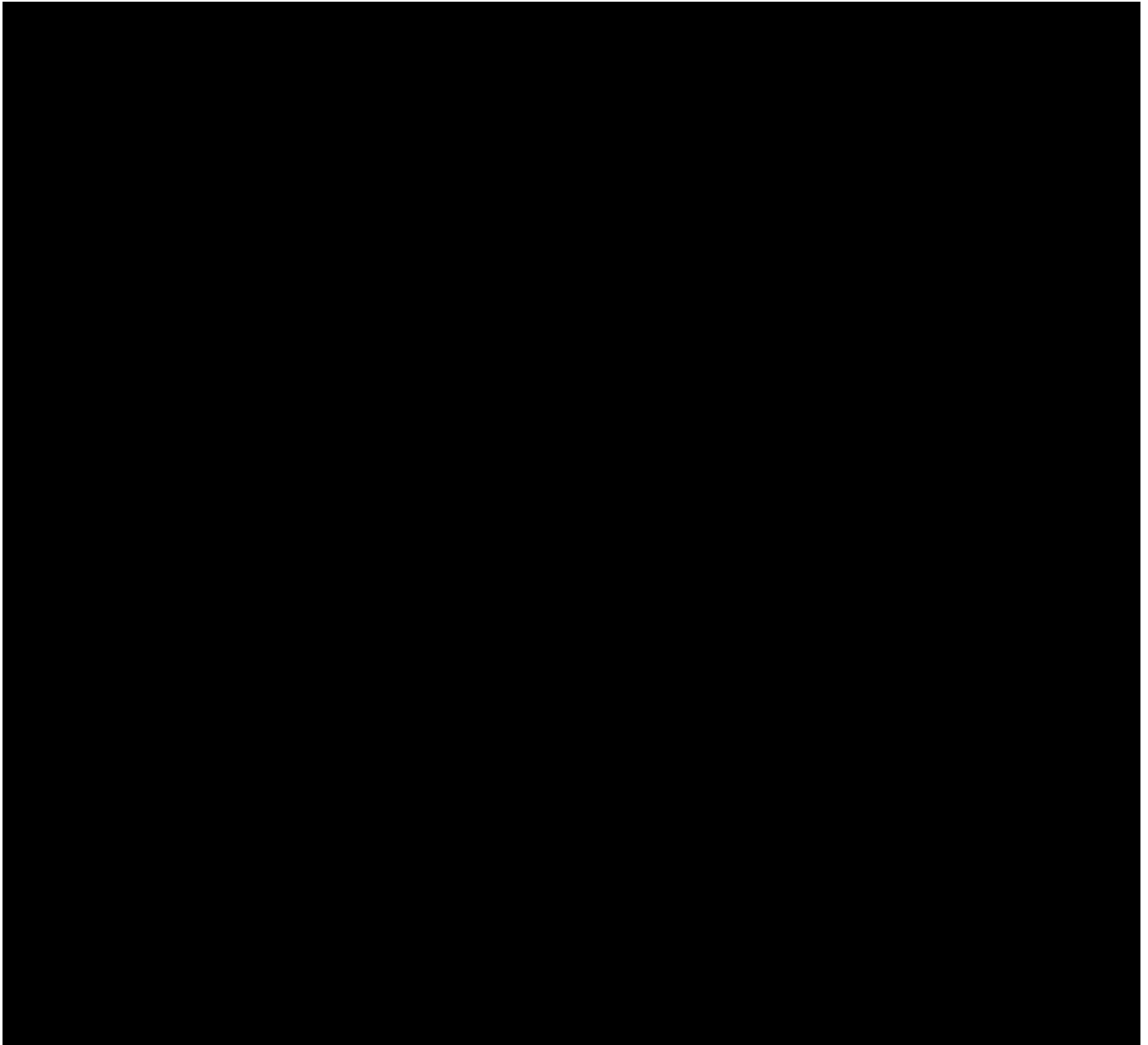


Key Staff Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). Both the Warden and Associate Warden of Operations were newly appointed and had been in their positions for less than six months. The Associate Warden of Operations had previously served as the Associate Warden of Programs at Kirkland. On the dates of the site visit the Programs position was vacant. After the initial on-site assessment, the Associate Warden of Operations was available via telephone to clarify pending issues and reported the Associate Warden of Programs position had been filled.

Supervisor Posts. The major is the top uniformed security post at the facility. This position is routinely considered the Chief of Security and reports to the Associate Warden of Operations. On the day of the site visit the major position was filled. The individual in the position was a corrections veteran and had been at the facility for an extended period.

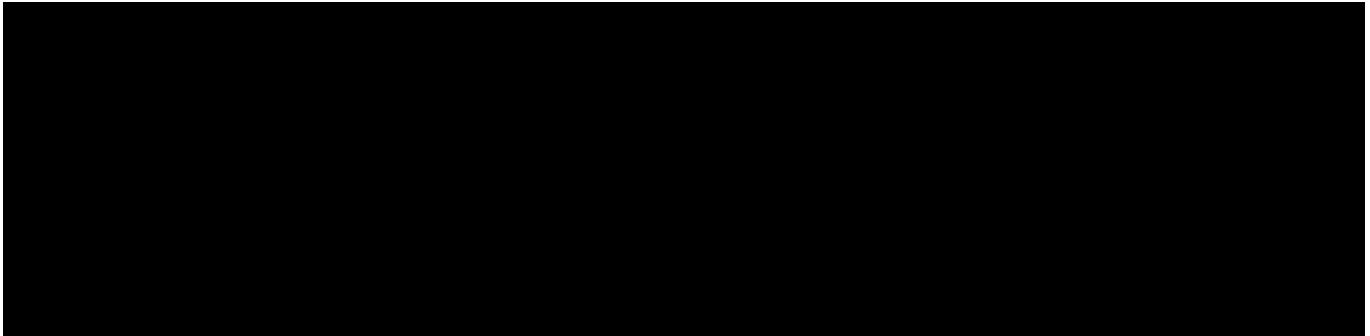




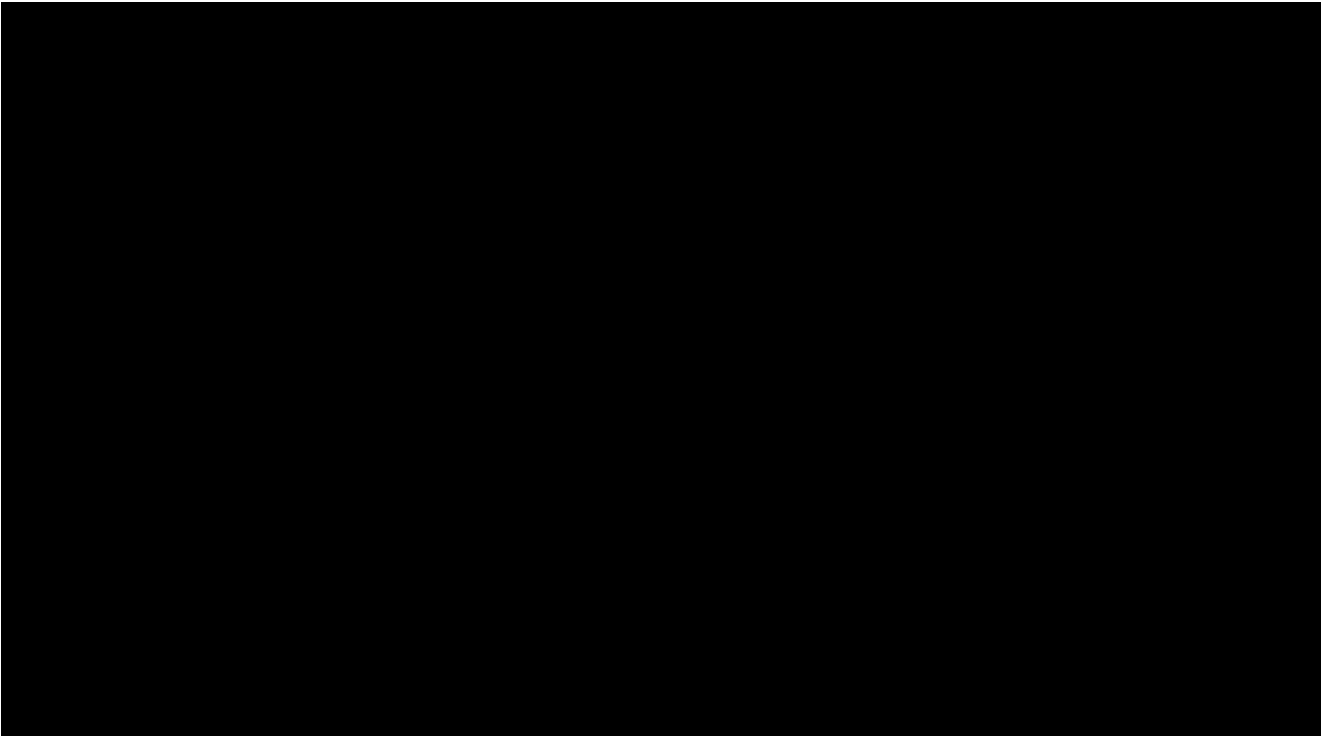
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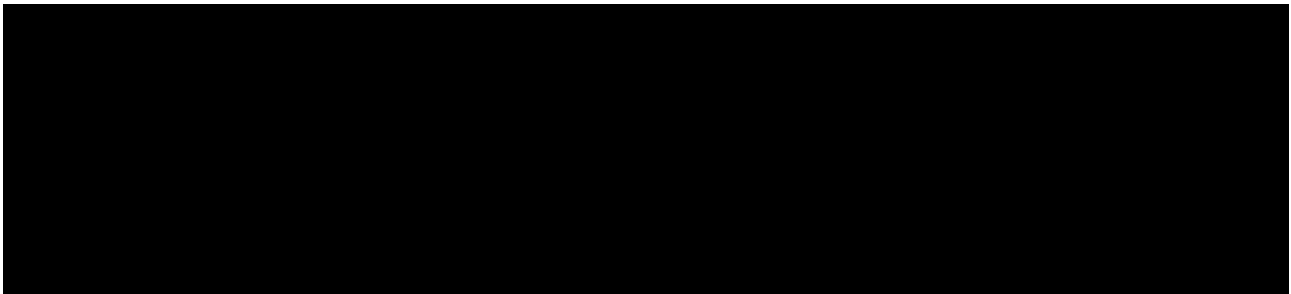
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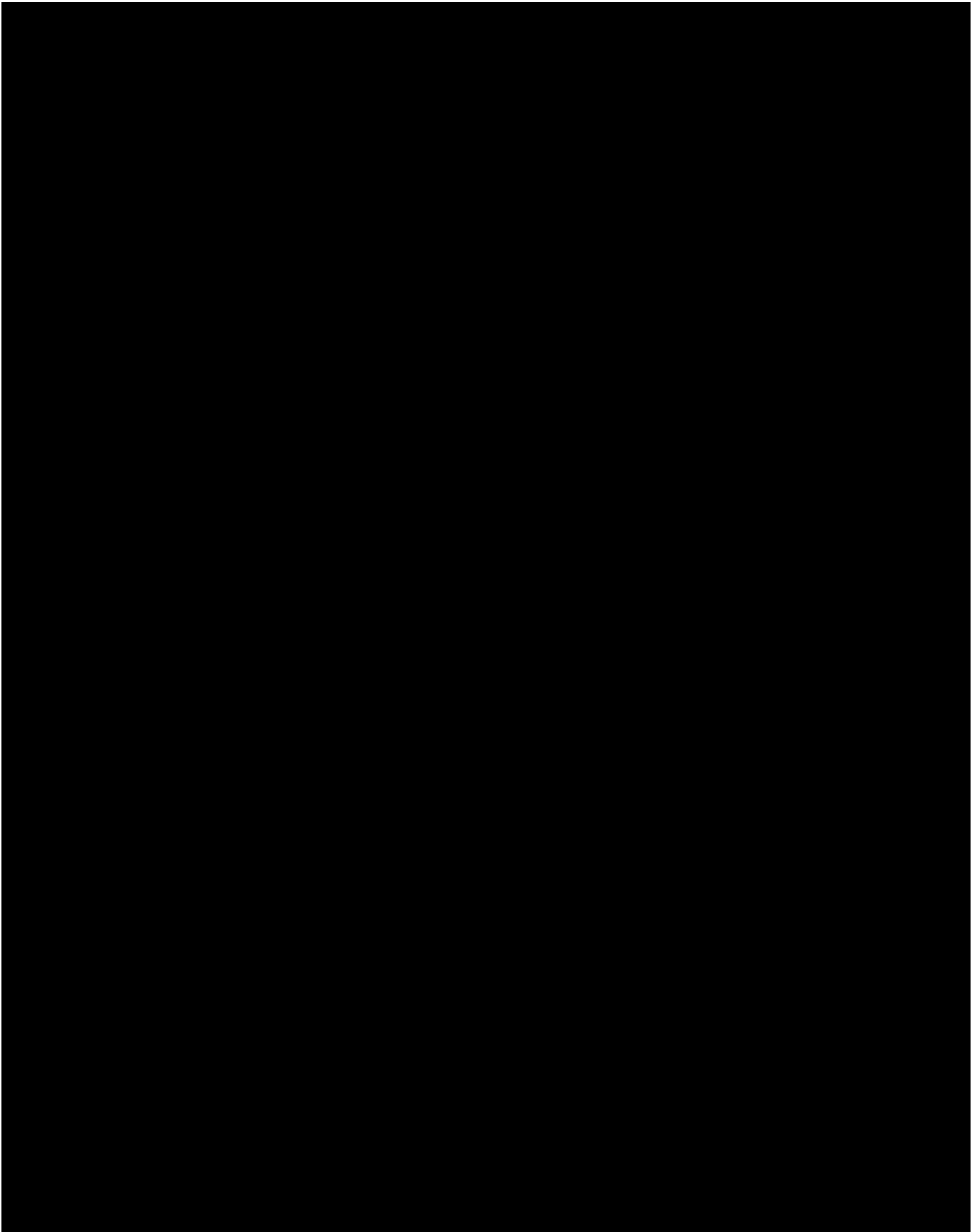


Shift Assignments. A master shift assignment roster for security personnel has been developed that identifies personnel assigned by shift, their position classification, gender, post assignment (*C-Card* only) and the number of vacancies on the shift.



Daily Shift Rosters. In addition to the master shift assignment roster, daily shift rosters are also maintained for the shifts that identify in more detail the actual staff assigned by day, their post assignment, the staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. Sample daily post assignment rosters reflected there is no recapitulation data provided or when appropriate, consistent reference to staff temporarily being assigned to the shift working extra hours.





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Recommended Post Assignment Enhancements

The following additional post assignments identify both essential and critical posts that are not normally being filled at the level consistent with fundamentally sound correctional practices.

Court Yard. The Kirkland Correctional Institution is located on an extremely large footprint that consists of fourteen separate housing units, program and service areas, an administrative building and open yards. The ability to directly observe and control movement from a central location is not possible. All inmate movement is considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement, escorted, supervised and the use of passes (OTR's) was all being used.

To proceed from the housing units to most program activities and services inmates are required to walk through a courtyard or open area leading to the cafeteria, visitation, canteen, education and medical services. It is essential and a fundamentally supported correctional practice in a maximum-security facility that security staff be available to conduct security checks throughout the facility, be available to monitor, control and authorize inmate movement and serve as responders when needed. Dedicated yard officers are being recommend for both the day and night shift. Current practice is to provide limited or intermittent coverage;

Intermediate Care Services (ICS). ICS is a residential mental health program offered by the Division of Behavioral/Mental Health and Substance Abuse Services. Inmates assigned to the program have been identified as severely impaired due to their mental illness, and require intensive treatment, monitoring and care. Access to treatment is an essential part of the program as is maintaining a safe environment.

Inmates assigned to the program are housed in one of two units, F1 and F2. ICS housing assignments are determined primarily based on the inmates functioning level. Higher functioning inmates are assigned to one unit and inmates not functioning at the same level are housed in a separate unit. Inmates assigned to the program are required to abide by the same security standards as others, including controlled movement, searches, cell inspections and counts. Providing inmate access to recreation, visitation, meals, showers, programs, medical and treatment services are also required.

Based on SCDC policy HS-19.12 *Mental Health Services – Intermediate Care Services* dated August 31, 2016 the following services are also to be provided:

- HS-19.12.3.4. *ICS inmates are provided ten (10) hours of structured out-of-cell activities weekly, which take place Monday through Friday. ICS inmates are allowed a minimum of ten (10) hours of unstructured out-of-cell time per week; and*
- HS-19.12.3.41. *Group therapy is led by a QMHP and is provided primarily Monday through Friday with limited group offerings on weekends.*

Mental health technician positions have been identified to provide support and assistance; however, should not be considered a replacement for dedicated security personnel.

To meet these requirements in a safe manner, dedicated security personnel need to be consistently present to assist in facilitating services. This should include a security supervisor, wing officers, security program support, escort and security recreation staff. These positions should be considered “core” positions, posts identified as assignments where shift commanders should fill as a priority and when necessary, explore all available resources beyond the available staff currently assigned to the shift.

The number and position classification of security personnel assigned to the ICS is essential to the success of the program as is the experience, training and motivation level of those working with a mentally ill population. Specific post assignments are identified in the Kirkland post chart located in the appendix.

High Level Behavioral Management Unit (HLBMU). HLBMU is a residential program designed as an alternative to long term segregation for inmates identified as having a mental health illness suffering from severe personality disorders and associated disruptive behaviors. According to policy²⁰ the services to be provided include crisis intervention, individual treatment and group therapy. All inmates are to be offered ten (10) hours of structured and ten (10) hours of unstructured activities outside of their cell per week. In addition, assigned security staff are responsible for conducting security checks, cell inspections, counts, meal delivery, address inmate concerns, handling disturbances, mail, linen and supply distribution, telephone access, recreation supervision and escorts.

SCDC policy HS-19.10 7.5.1 states in part, *“Uniformed staff/correctional officers for the Behavioral Management Unit program will provide support for clinical programming and safety and security of the unit. Uniformed staff will be essential to ensure the safety and security of programming.”*

To meet these requirements in a safe manner, dedicated security personnel need to be consistently present to assist in facilitating these services. This should include a security supervisor, wing officers, security program support, escort and security recreation staff. The program mission, scheduled activities and population level should be considered in determining daily staffing levels. These positions should be considered “core” positions; posts identified as assignments where shift commanders should fill as a priority and when necessary, explore all available resources beyond the available staff assigned to the shift. Specific post assignments are identified in the Kirkland post chart located in the appendix.

The number and position classification of security personnel assigned to the HLBMU is essential as is the experience, training and motivation level of those working with a mentally ill population;

Gilliam Psychiatric Hospital (GPH). GPH is a residential licensed psychiatric facility providing inpatient psychiatric care for a male inmate population. Inmates assigned to the facility manifest symptoms of severe psychiatric disorders that require acute care and treatment. Treatment includes individual counseling, group counseling, activity therapies and other out of cell structured activities.

SCDC policy²¹ states the goal “will be to provide treatment in the least restrictive setting appropriate with the inmate’s mental health and security needs. Attention will be paid to provision of out-of-cell therapeutic activities and recreation time.

²⁰ HS-19.10 “Mental Health Services-Behavioral Management Unit (BMU)”.

²¹ HS-19.13 Mental Health Services – Gilliam Psychiatric Hospital (GPH),

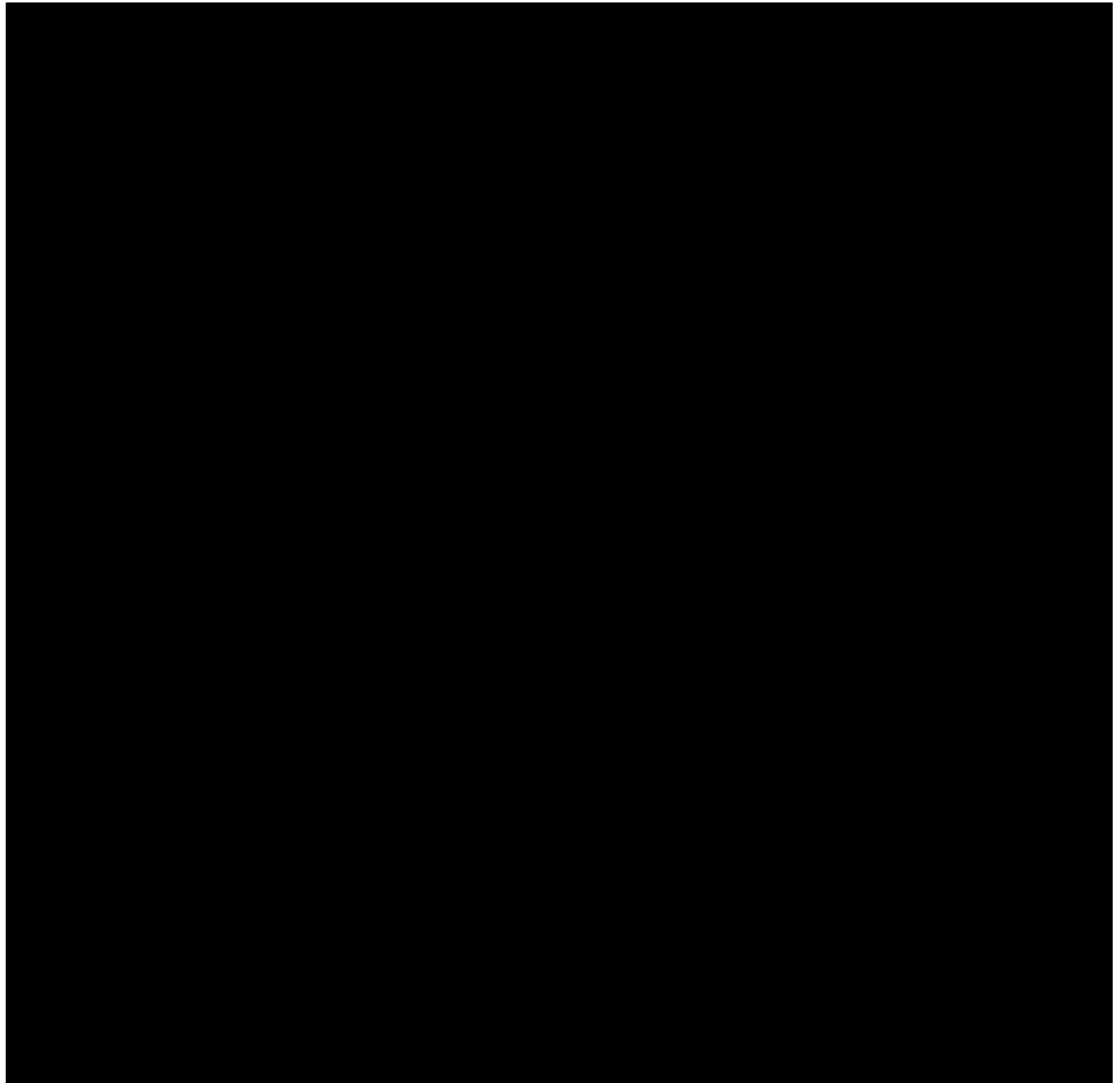
All inmates will be scheduled for a minimum of four (4) hours of structured therapeutic programming a day, Monday through Friday.” In reviewing the policy at a minimum, the following additional programs and services should be provided. The frequency and procedures may vary based on the inmates’ classification and level in the program.

- Group Therapy. Monday through Friday, on the unit and in adjacent treatment areas during identified morning and afternoon periods;
- Unstructured Recreational/Leisure Activities. “GPH inmates will be offered out-of-cell recreation seven (7) days a week. Inmates on restricted housing status will be offered a minimum of two (2) hours of unstructured out-of-cell activities per day. Inmates will have access to outdoor recreation, use of the day room areas, television viewing, and reading materials.”;
- Inmates will be provided the opportunity for showering a minimum of three (3) times per week. Daily showers will be offered when adequate staffing is available;
- Inmates may have two (2) personal phone calls for a maximum of fifteen (15) minutes each per week. Mental Health Technicians will only monitor the number of calls. These inmates will take responsibility for selecting calling times;
- A security officer must supervise the visit. Supervised visits are scheduled on Tuesdays and are two (2) hours in length; and
- Inmates will be afforded the opportunity to participate in outdoor recreation seven (7) days per week.

In addition to providing escort and appropriate security supervision for treatment, services and out of cell activities assigned security staff are responsible for conducting fundamental office responsibilities. This includes: conducting security checks, cell inspections, counts, meal delivery, address inmate concerns, handle disturbances, mail, linen and supply distribution, recreation supervision and escorts for a population that often exhibits behavior consistent with a mental health illness. This is a staff intensive unit that requires properly trained and motivated security personnel to meet established policy requirements in a safe and consistent manner.

To meet these requirements dedicated security personnel need to be consistently present to assist in facilitating these services including a security supervisor, wing officers, program support security, escort and security recreation staff. Programs and treatment should not be triaged due to insufficient security staffing levels. To comply with the mental health settlement agreement²² these positions should be considered “core” positions, posts identified as assignments where shift commanders should when necessary, explore all available resources beyond the available staff assigned to the shift; and

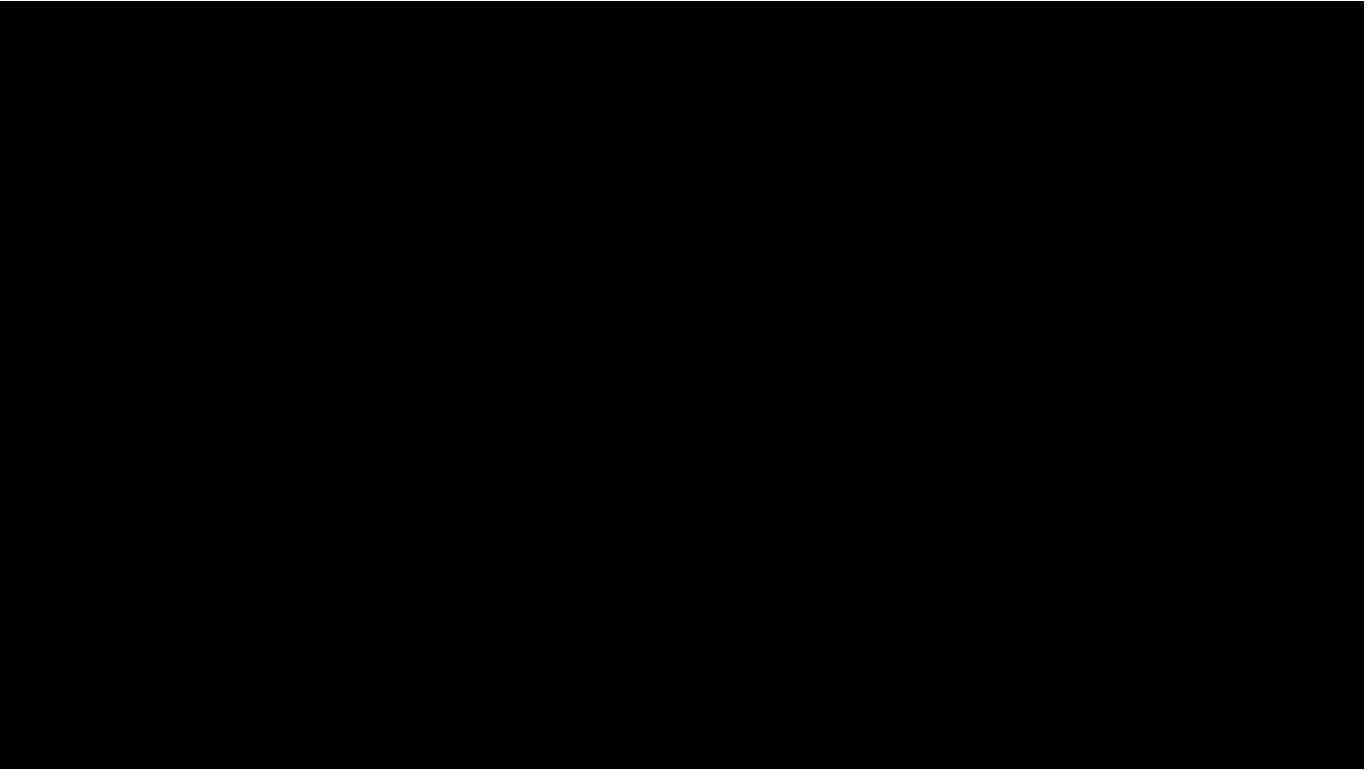
²² T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925.

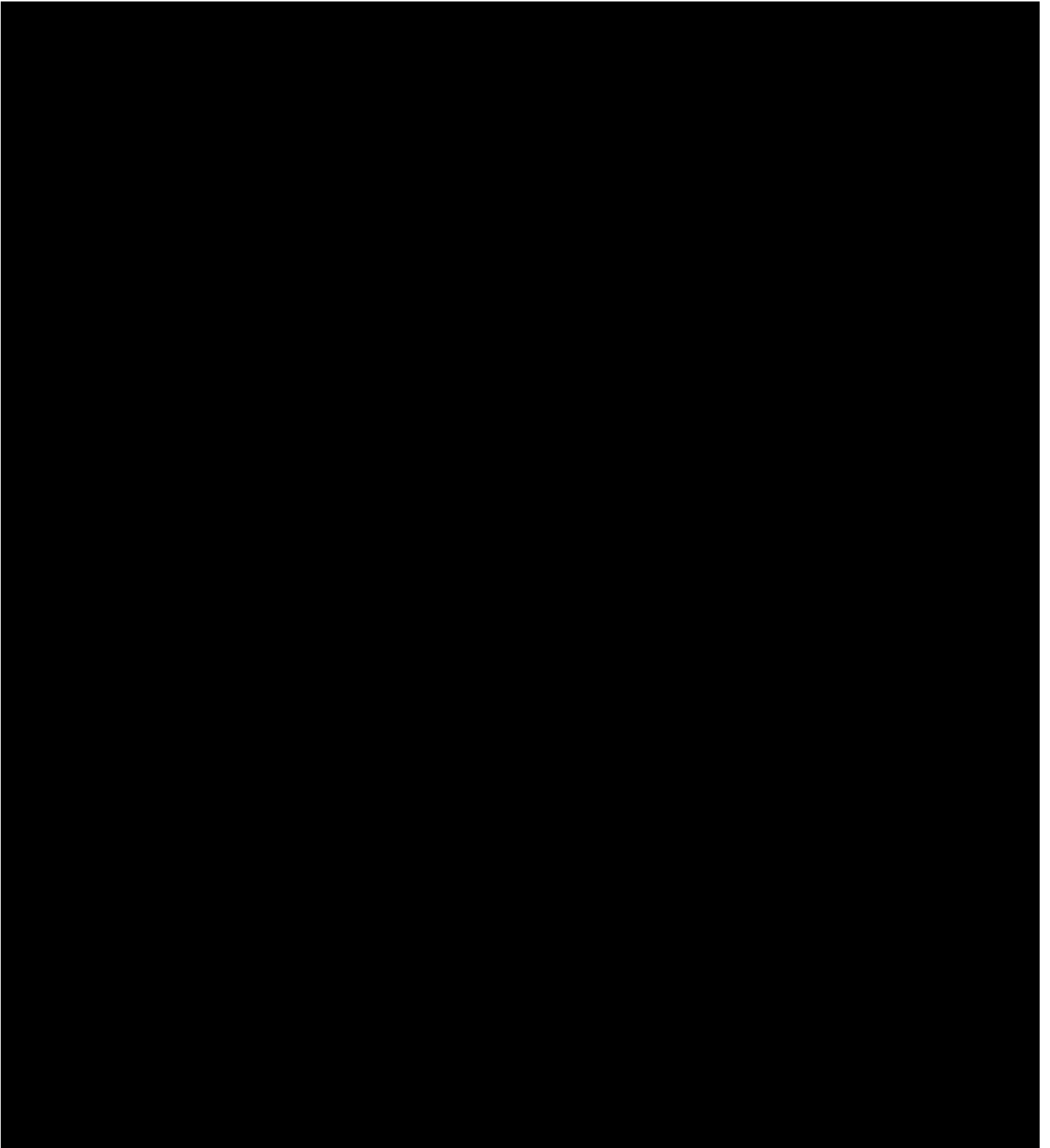


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Lee Correctional Institution

The Lee Correctional Institution (LCI) is a state operated level 3 facility located approximately 52 miles northeast of Columbia in the town of Bishopville, South Carolina. The facility was opened in 1993 and serves as one of South Carolina's adult male maximum-security correctional facilities. The reported capacity at Lee is 1,526 and the average daily population during the last six months of 2017 was 1,365. One section (half) of the Restricted Housing Unit was closed due in part to limited available security staffing levels.

While most of Lee's inmate population are considered maximum custody, approximately 20% of the inmate population had a level 2 (medium) or lower custody classification. There was a small percentage of inmates (approximately two percent) classified as level 1A and 1B that are eligible to be considered for supervised work details located outside the perimeter. Approximately 22% of the total inmate population was assigned to a mental health caseload.

In addition to providing housing and services for general population inmates, LCI also provides housing and services for special programs including the Restricted Housing Unit (RHU), the Better Living Incentive Community (BLIC) program and a Step-Down Program.

- The Restricted Housing Unit provides housing for inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed separately from inmates assigned to the general population. A combination of Maximum Security, Security Detention, Lock-Ups, Closed Custody and inmates with protective concerns can all be housed in the RHU.
- The Step-Down program is designed to provide housing and services for inmates recently released from long-term lock-up, allowing facility management an opportunity to temporarily monitor inmates on a short-term basis in a more controlled environment while providing appropriate programs and services.
- The Better Living Incentive Community (BLIC) program is a character-based program available for qualified inmates interested in addressing the impact criminality and self-destructive mentality has had on their life. In this peer-to-peer accountability program inmates are eligible for work assignments and are housed separately from general population inmates. On the date of the on-site assessment there were two units where the program was operating, one of which was being used in part for mental health caseload inmates. Since that time, it has been reported that most of those inmates have been transferred to the Broad River Correctional Facility.

Physical Plant

The physical plant at Lee was built as a maximum-security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, sensors, high-mask lighting, a vehicle access gate, perimeter towers, mobile perimeter patrol and an alarm detection system.

Inside the perimeter of the facility there are a variety of buildings, equipment and open space available to help meet existing facility responsibilities.

The facility is primarily divided into two separate courtyards, west-side and east-side, with a common support building and internal fencing located in between each yard. There are two separate dining halls, one for each side, separate canteens, separate pill-line windows and separate commissaries.

The overall physical plant contains the following: Front Gate/Vehicle Access Gate; Perimeter Towers; Administrative Services Building; Main Control; Secure Personal Property Storage; Visitation Area; Courtyards; Support Services Building; Medical; Maintenance; Education; Multi-Purpose; Greenhouse; Cafeteria; Vocational Education; Canteen; Commissary; Prison Industries; Back Gate and eight separate housing areas. Expansive internal movement control fencing, gates and security surveillance cameras are available throughout the interior of the facility.

Food Services are normally provided to the general population inmates in the main cafeteria.

All inmate movement was considered controlled movement. The type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.



Housing Unit Designs

There are four primary housing unit designs provided at LCI. All the housing units contain cells as dormitory style housing is not provided at the facility. The housing unit designs include both direct and indirect supervision units. In total there were eight separate inmate housing areas in operation at LCI.

- **Direct Supervision Units.** Five of the housing units are considered **direct supervision** units. Officer work stations are located both within the living area as well as outside the living area in the indoor sally port located immediately adjacent to the inmate living space. The unit was designed to have front-line officers assigned in the living area. Each unit contains two wings and secure cells located on both the ground floor and mezzanine level. Each cell contains a bunk-bed, toilet and wash basin. In addition to dayroom space, an open officer work station, group program space, showers and passive recreational opportunities are available on each wing. In total the maximum capacity of each of the five units is (256);
- **Indirect Supervision Unit.** There is one indirect supervision multi-level general population unit that has an operating capacity of (256). An elevated secure control center is centrally located in the unit surrounded by security glazing and four separate living areas (wings). Staff assigned to the secure control room can view activity in all four wings. Each wing contains double occupancy cells which are equipped with beds, toilet and a wash basin. Showers, dayroom and passive recreation space is available within each living area;

The cell doors in all four of the wings in this unit are considered “sliding doors” instead of “swing doors”. Sliding doors are designed to slide open/close instead of swing out from the opening of the cell. A project has been established and approved to install additional locks on the cell doors as inmates have reportedly been able to manipulate some of the cell doors. On the date of the on-site assessment, one and one-half of the wings had cells doors with additional locks installed. The remaining wings were pending completion of the cell door lock installation project. Each wing has a housing capacity of 64;

- **Infirmary.** The infirmary at LCI has an operating capacity of twenty. On the day of the site visit there were nineteen inmates assigned to the single-level unit. The infirmary is located adjacent to the medical unit and housing is provided in single and multiple occupancy cells/rooms. A small dayroom, showers, outdoor recreation and passive recreation space is provided in the unit; and
- **Restricted Housing Unit.** The Restricted Housing Unit consists of two separate multi-level units, each containing two housing wings and a secure control room located in between each wing. **One of the two housing sections was closed.** The living areas in the open section provide secure cells including four safety cells which contain security cameras. All the cells have a toilet and wash basin. Showers are located on each wing and outdoor recreation space is available in a secure area located adjacent to the unit. The reported capacity of the open unit is (92).

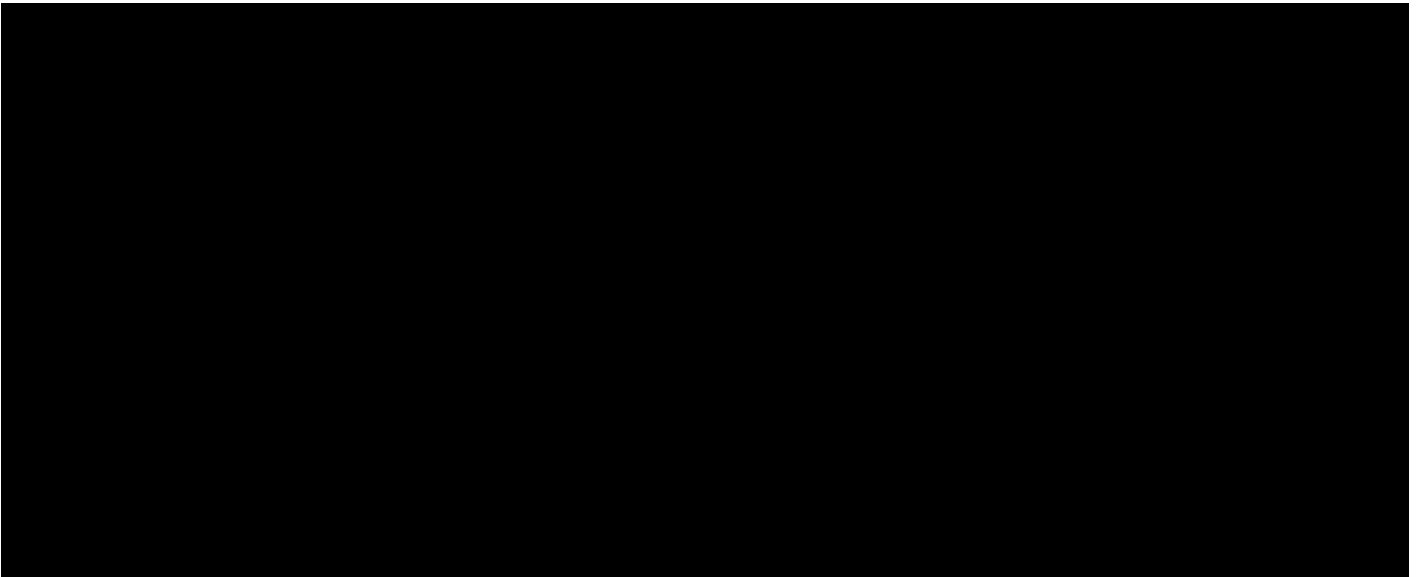
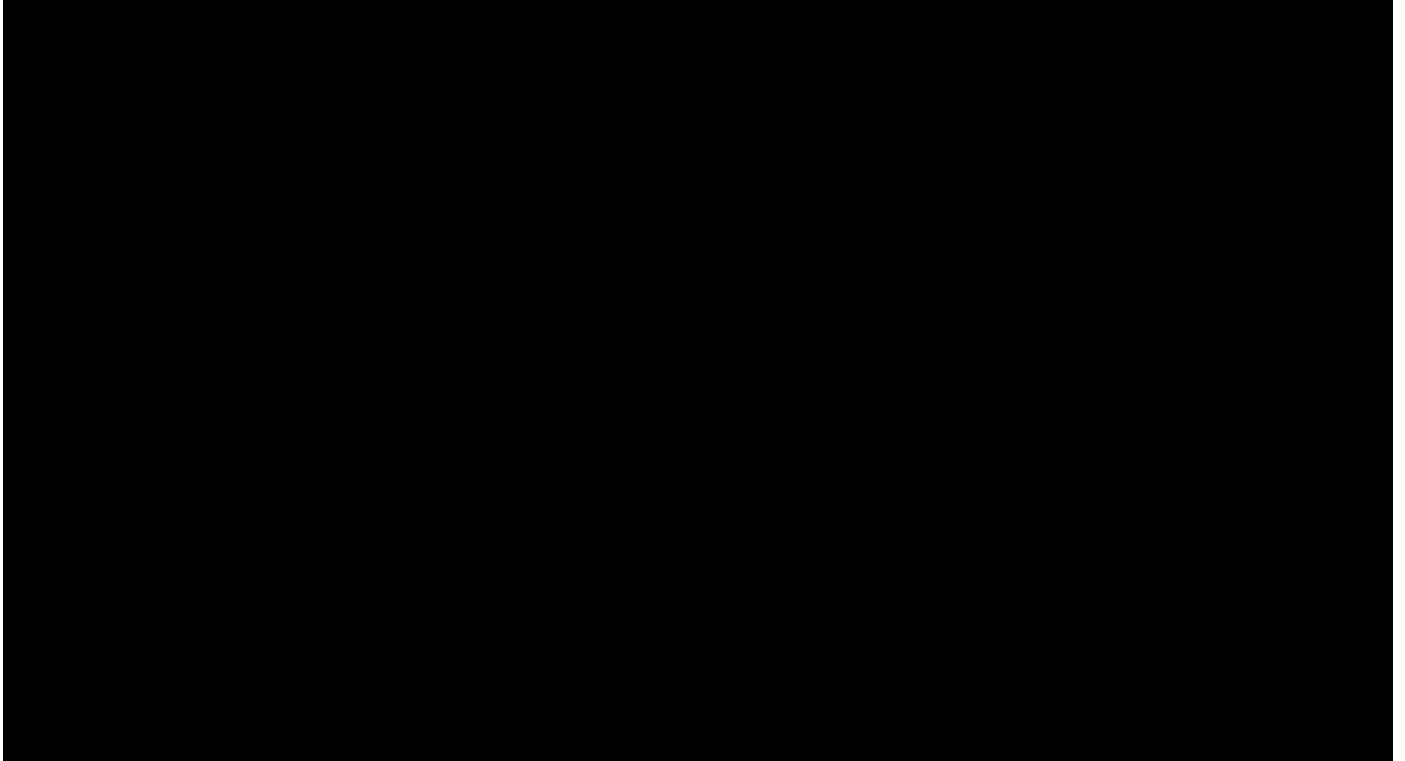
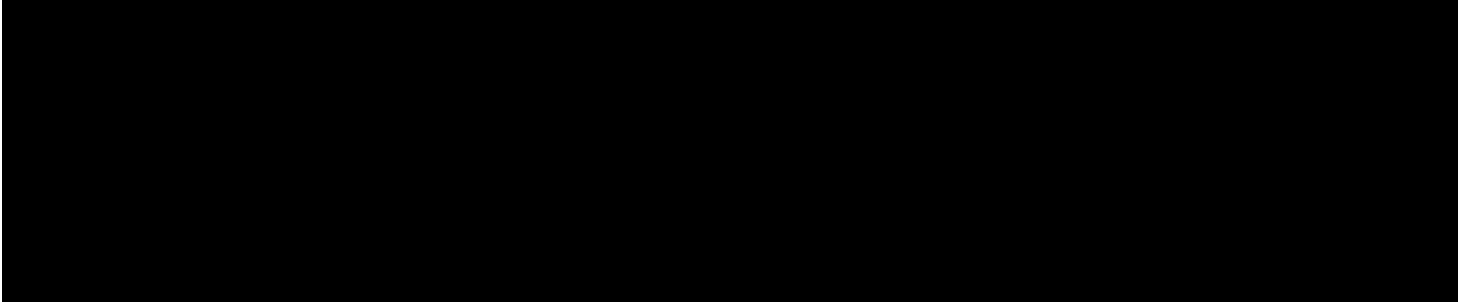
Program Services

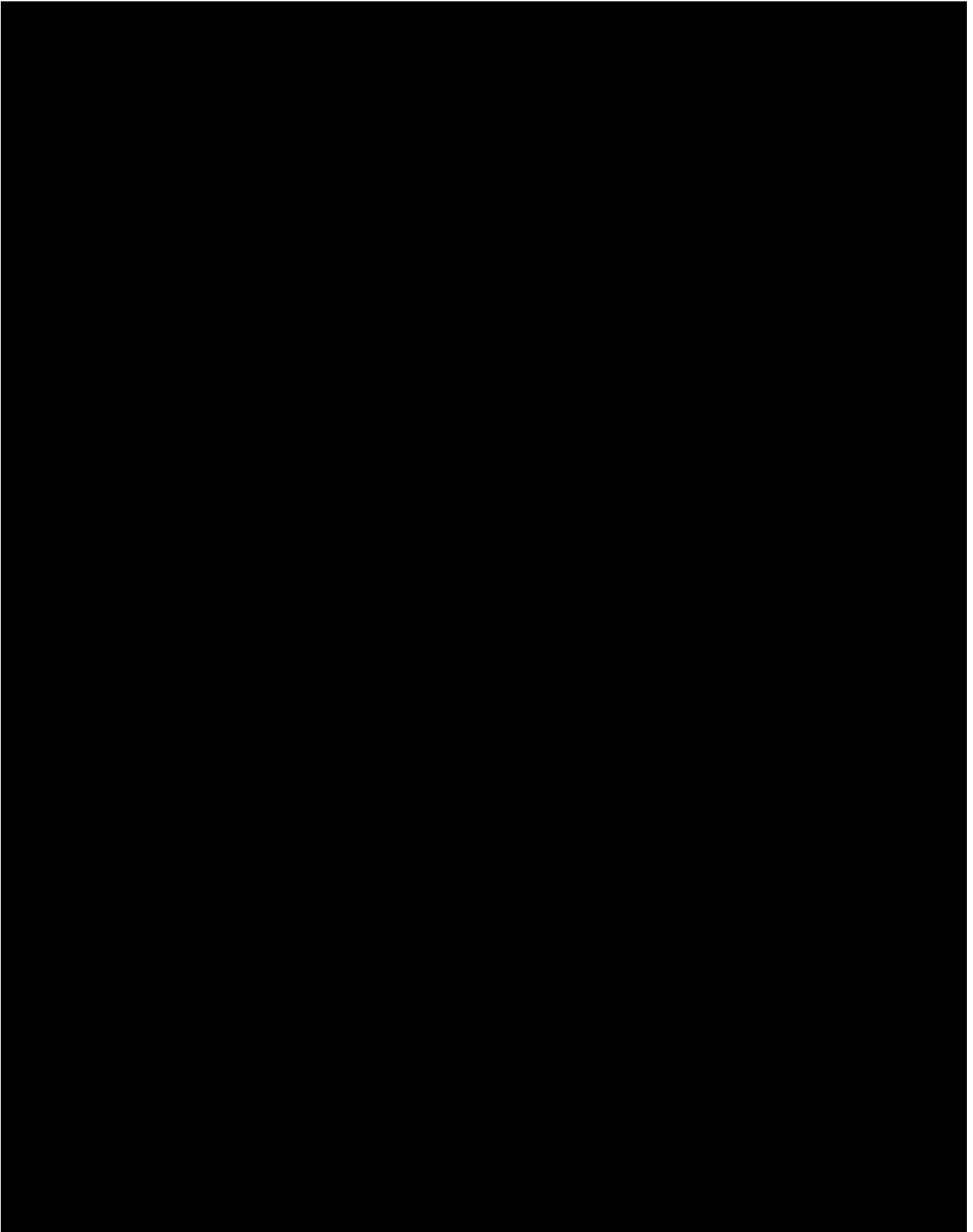
In addition to providing a secure physical plant, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These program services have been integrated into the daily facility schedule to include the following: ABE/GED, Vocational Education Programs, Religious Services, BLIC Program, Mental Health Services, Volunteer Services, Alcohol and Drug Education, Step-Down Program, Law Library, General Library, Recreation, Horticulture, Visitation, Healing Species Program, Beekeeping Program, Canteen and the Prison Industry Program.

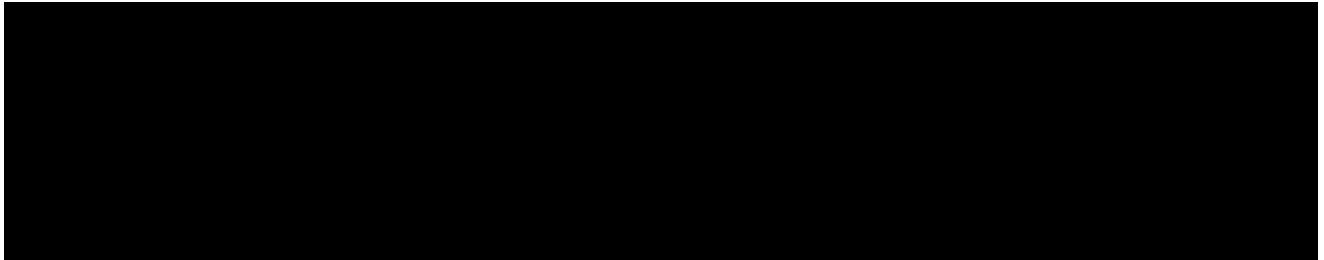
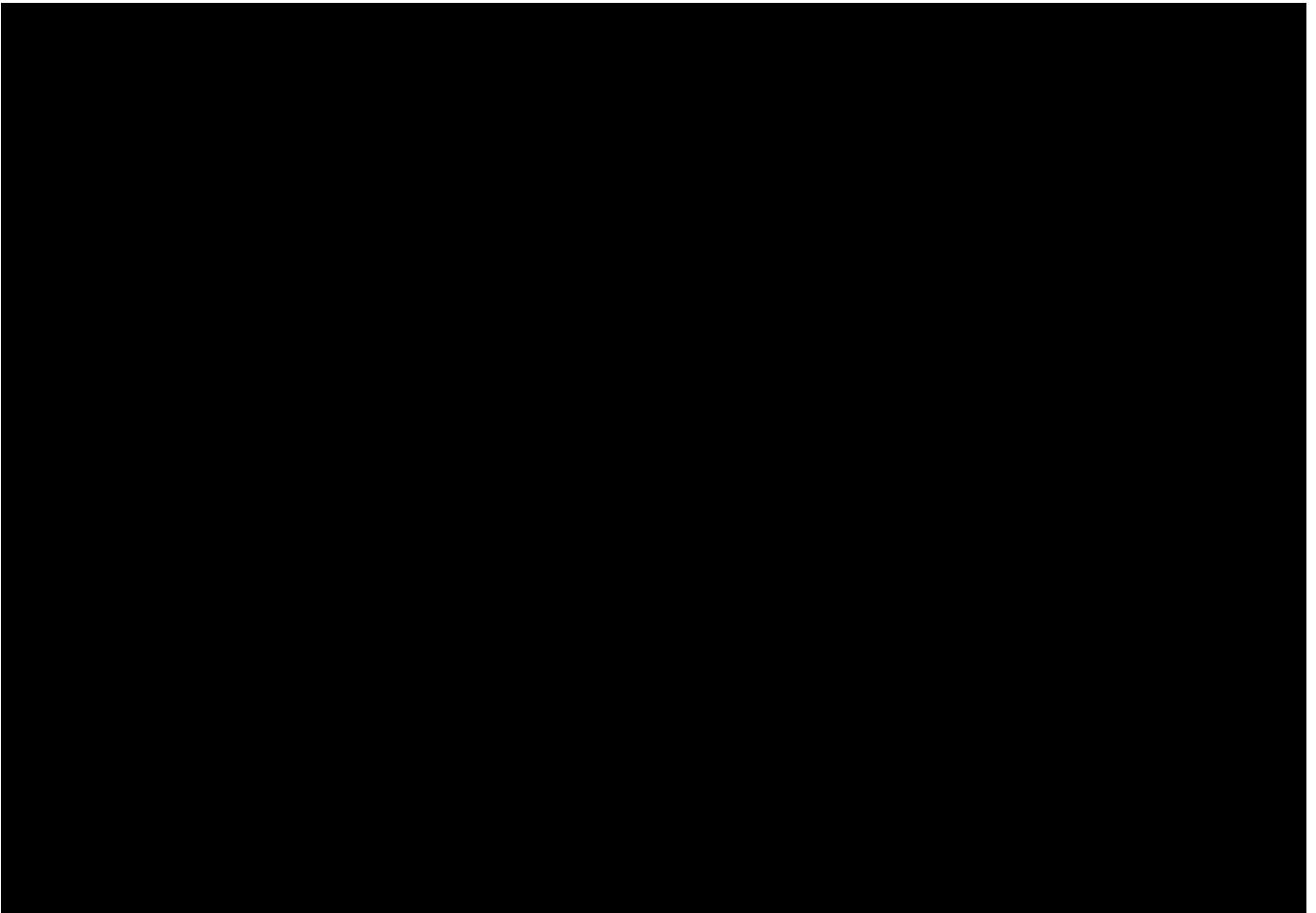
Security Staffing Profile

The primary difference in the security staffing levels during the recent years is in the number of front-line positions filled, which includes cadets, correctional officer I's and corporals. A significant decrease in front-line security (FLS) staffing levels began in 2012 and had continued to decline through the middle of 2017. Since July 2017 LCI has made strides in increasing the existing FLS staffing levels (111) and continued to increase throughout the duration of 2017. However, LCI is still operating at extremely deficient levels when compared with both the required and approved FTE levels. On January 1, 2017 the number of assigned staff was nearly (100) less than on January 1, 2011.

Recent Staffing Trends



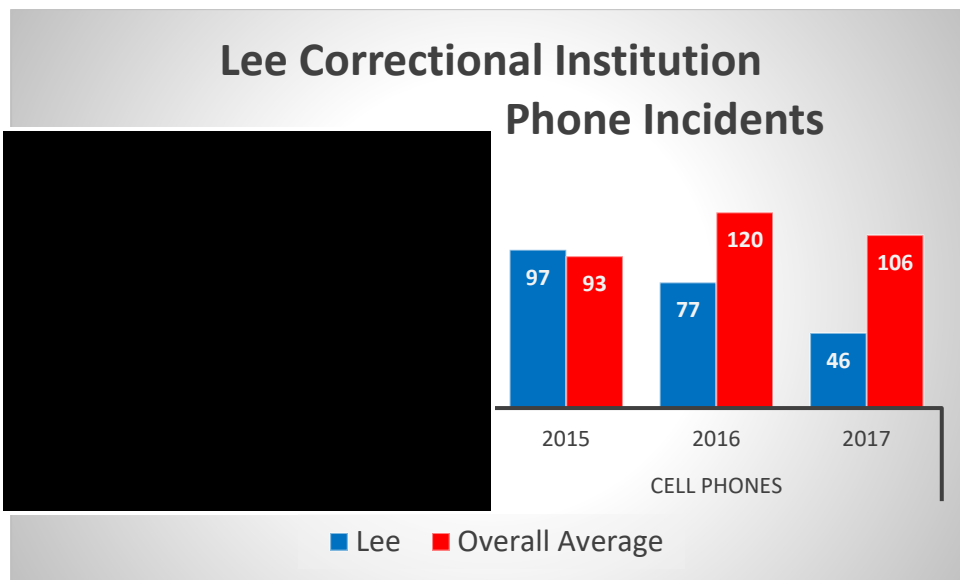
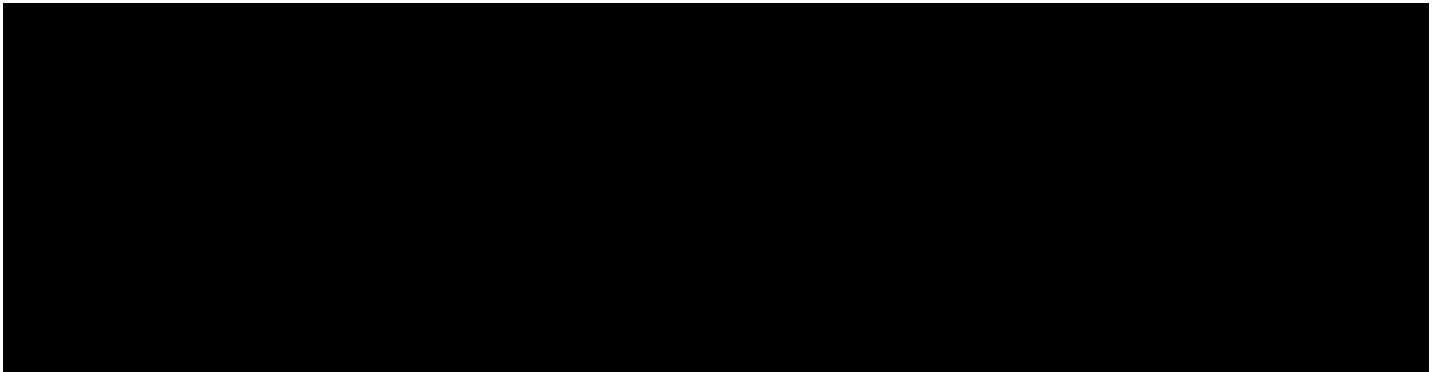
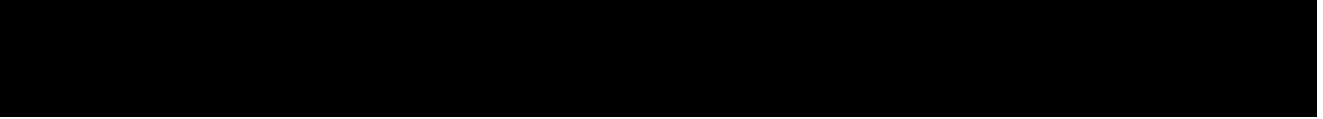




- **Staff initially not scheduled to work fill vacant post assignments beyond their normal work schedule.** During the first eleven months of 2017 the facility had \$1,207,337 in overtime expenditures for security personnel. During the same period in 2016 the facility had \$859,027 in overtime expenditures. This represented a 40.5% increase in overtime expenditures during the two reporting periods. An average of approximately (9) fewer front-line positions were filled during the first ten months of calendar year 2017 when compared with the same period in 2016. Most of the increase in overtime is the result of a reduction in the number of front-line staff, staff attending training on their off-days or temporarily filling a post assignment after their shift because of late reliefs.

Demonstrated Risk Factors

Contraband Incidents. The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity and violence.

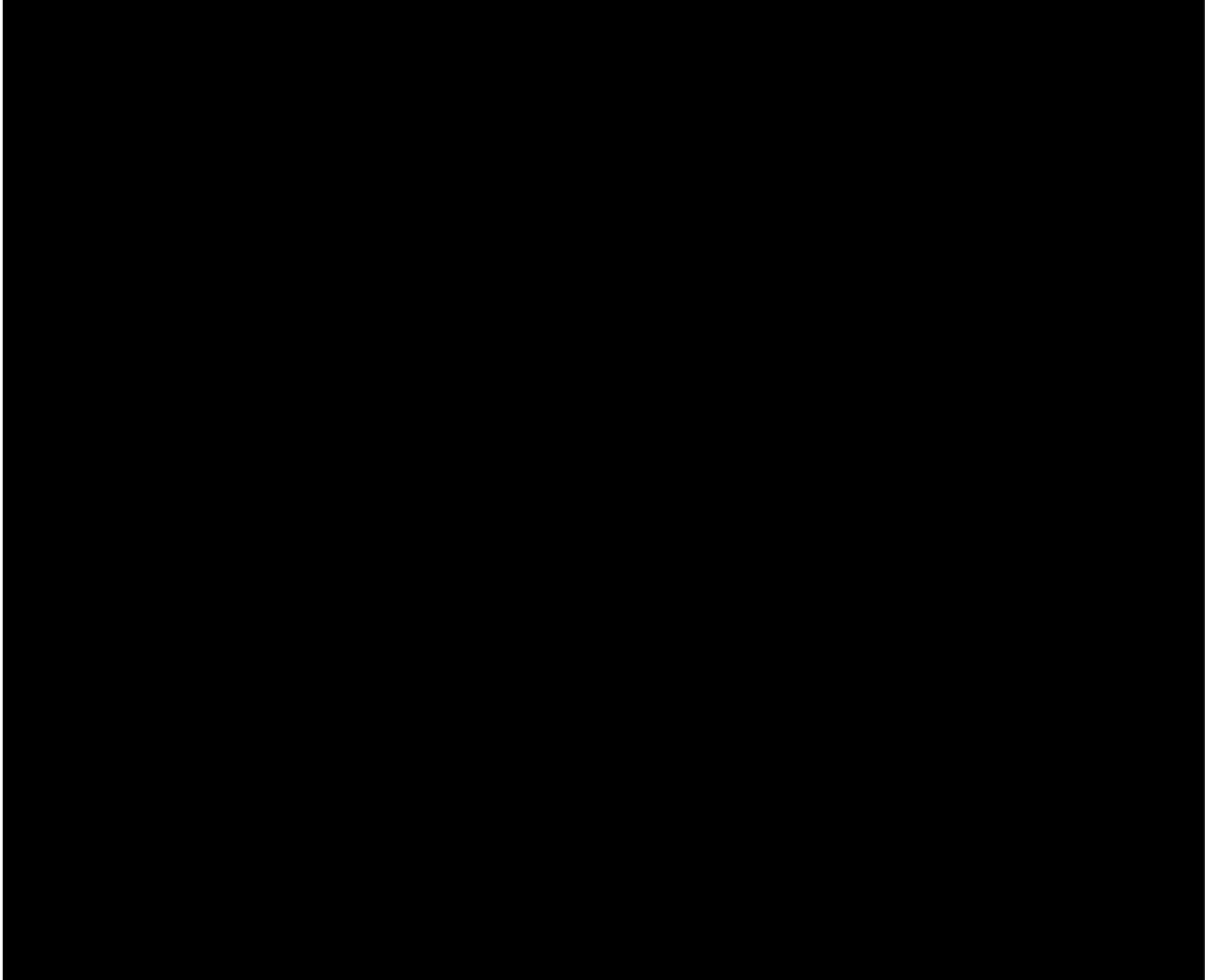


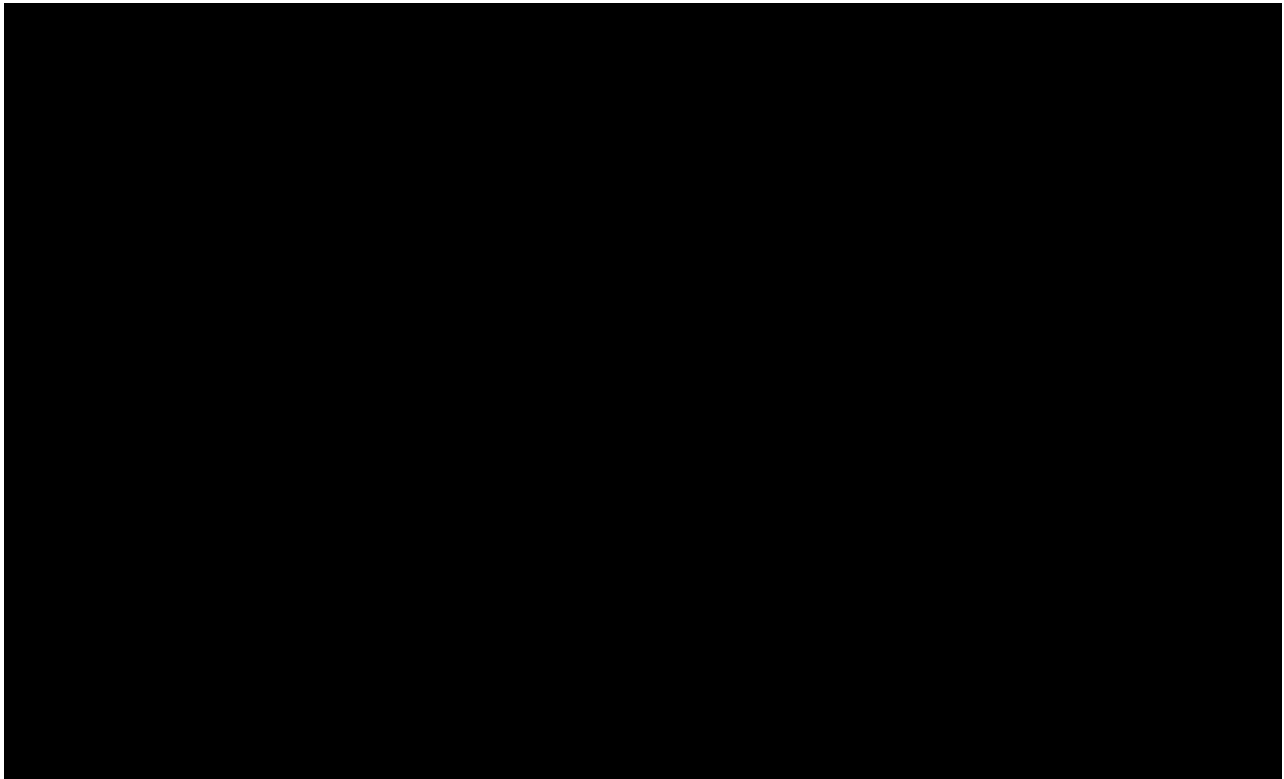
Source: SCDC RIM

One of the keys to an effective contraband prevention and detection plan is to establish a realistic plan based on existing resources to prevent, identify and detect contraband as a facility-wide goal. Part of the plan should ensure fundamental practices, including searches, patrol, detection and intelligence gathering are consistently incorporated into daily workload activities by all staff, not just those assigned to contraband control. Once an employee becomes responsible for more than one post assignment their ability to carry out all the necessary functions diminishes. It becomes extremely difficult based on the overall workload to conduct a thorough search of an individual, cell or area when the officer is the only security staff member on a wing. It takes time, skill and focus to conduct a proper search. At Lee, security staff are routinely responsible for more than one post assignment at a time due to overall staffing levels.

The Director of the department has been at the forefront on a national basis calling for federal support to change laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials. In addition, the Act prohibits the manufacture, importation, marketing, sale or operation of devices deliberately designed to jam or disrupt wireless communications.

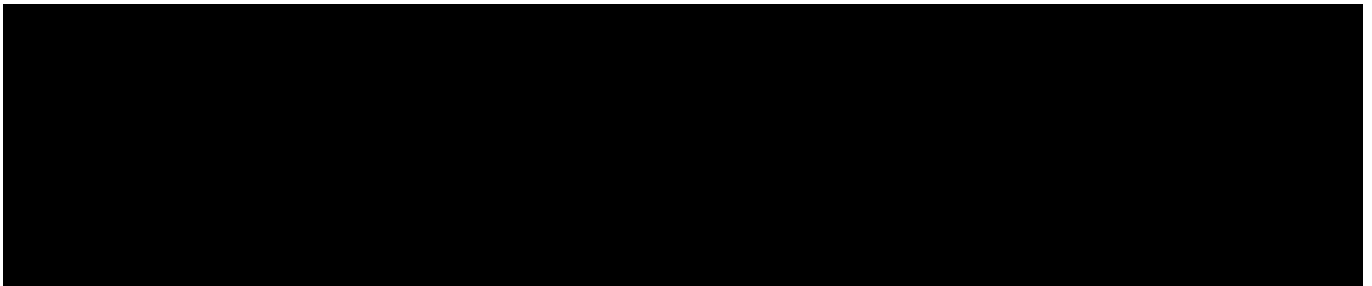
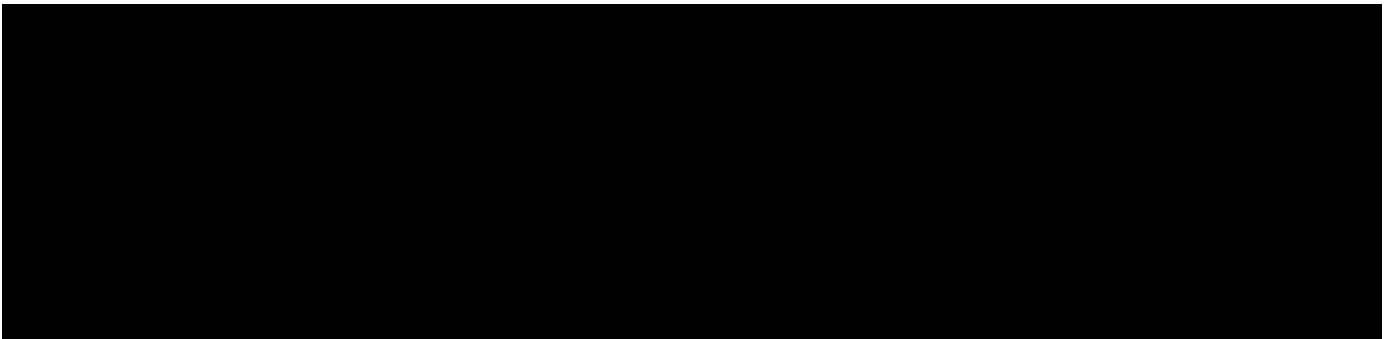
Security netting has been installed at the Ridgeland Correctional Institution expanding the height of the perimeter fence increasing the difficulty of throwing contraband over the perimeter. Additional institutions are scheduled to have the expanded netting installed.



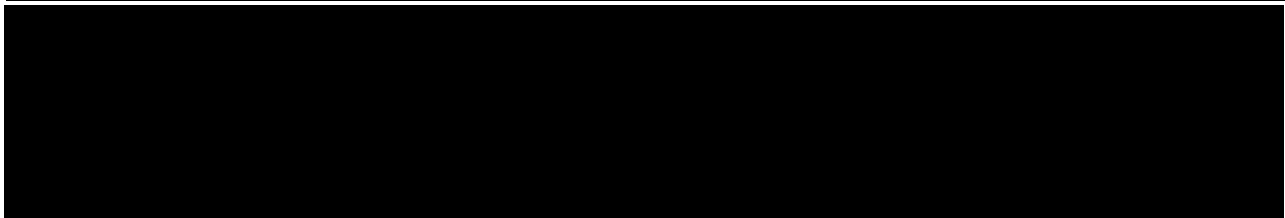
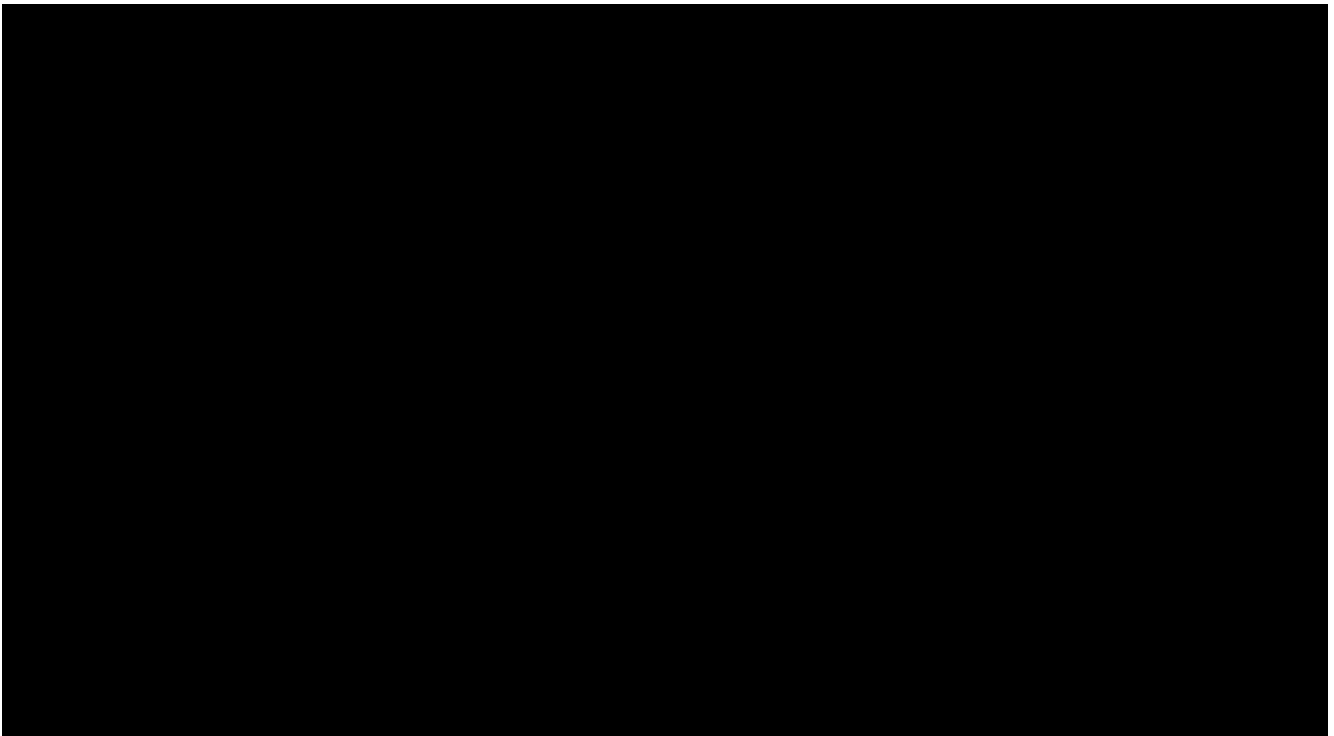
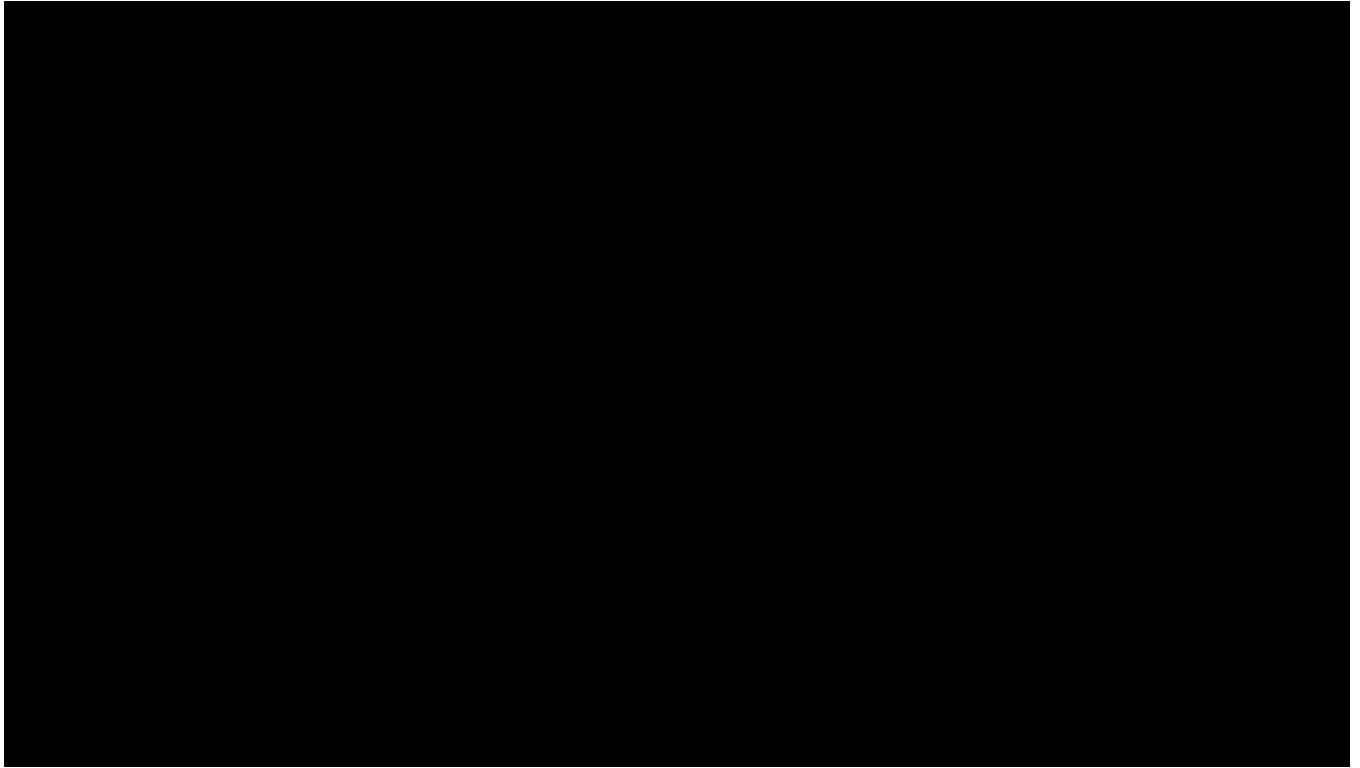


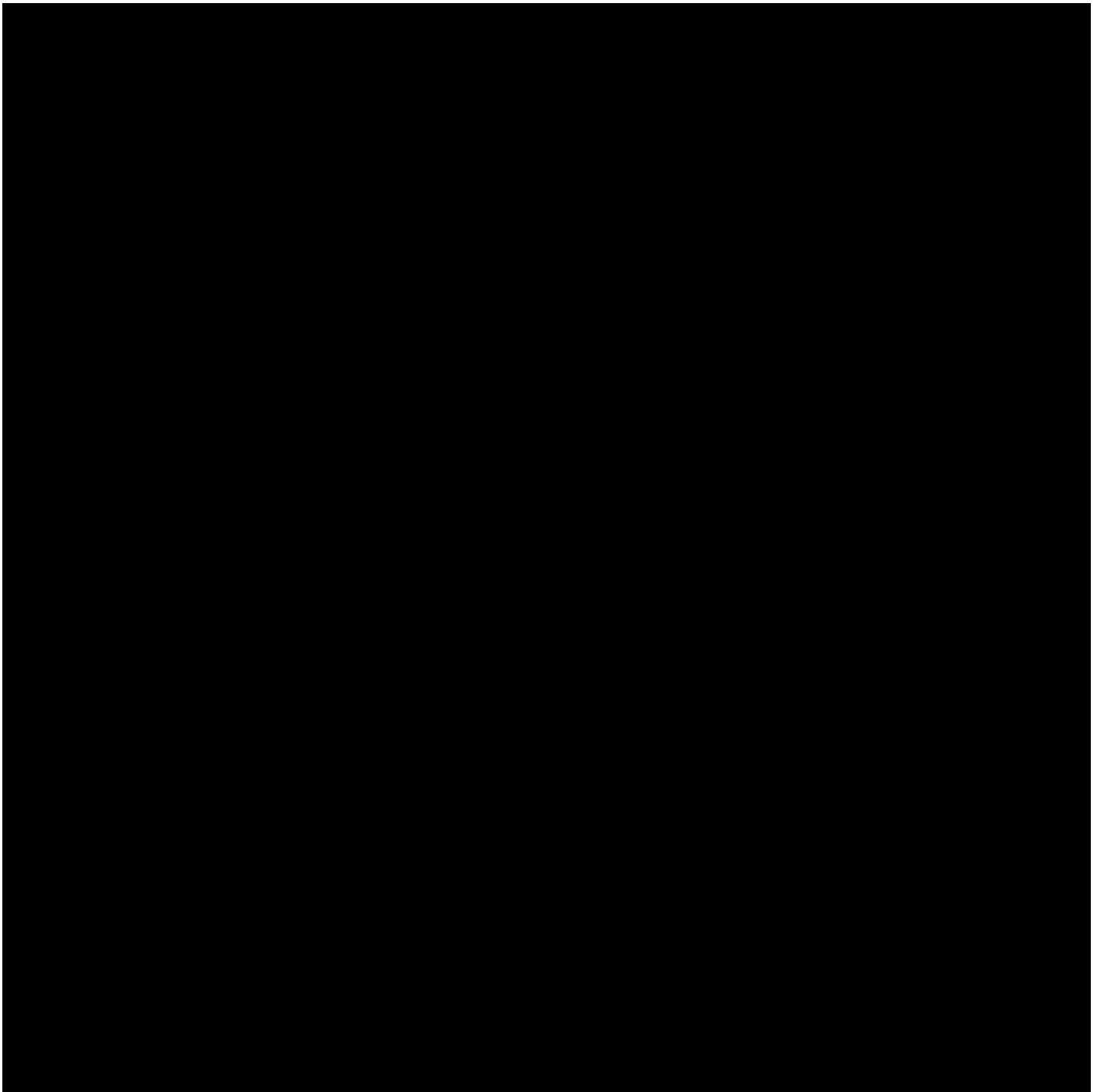
Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Associate Warden of Programs). On the date of the on-site assessment all the administrative core positions were filled. The Warden was debriefed and interviewed at the start and conclusion of the on-site assessment and was available throughout the day to discuss facility operations and to clarify pertinent staffing-related questions.





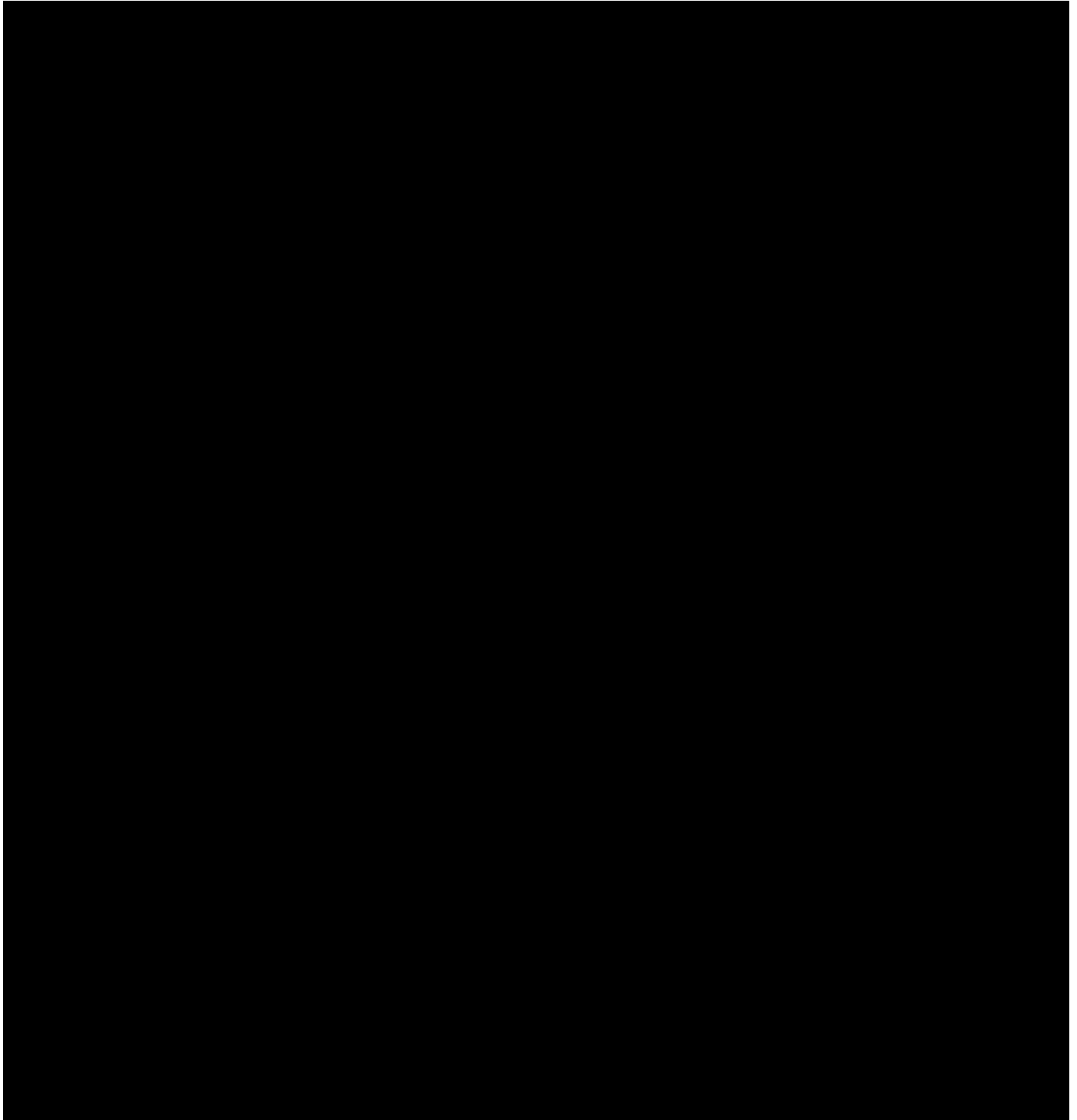


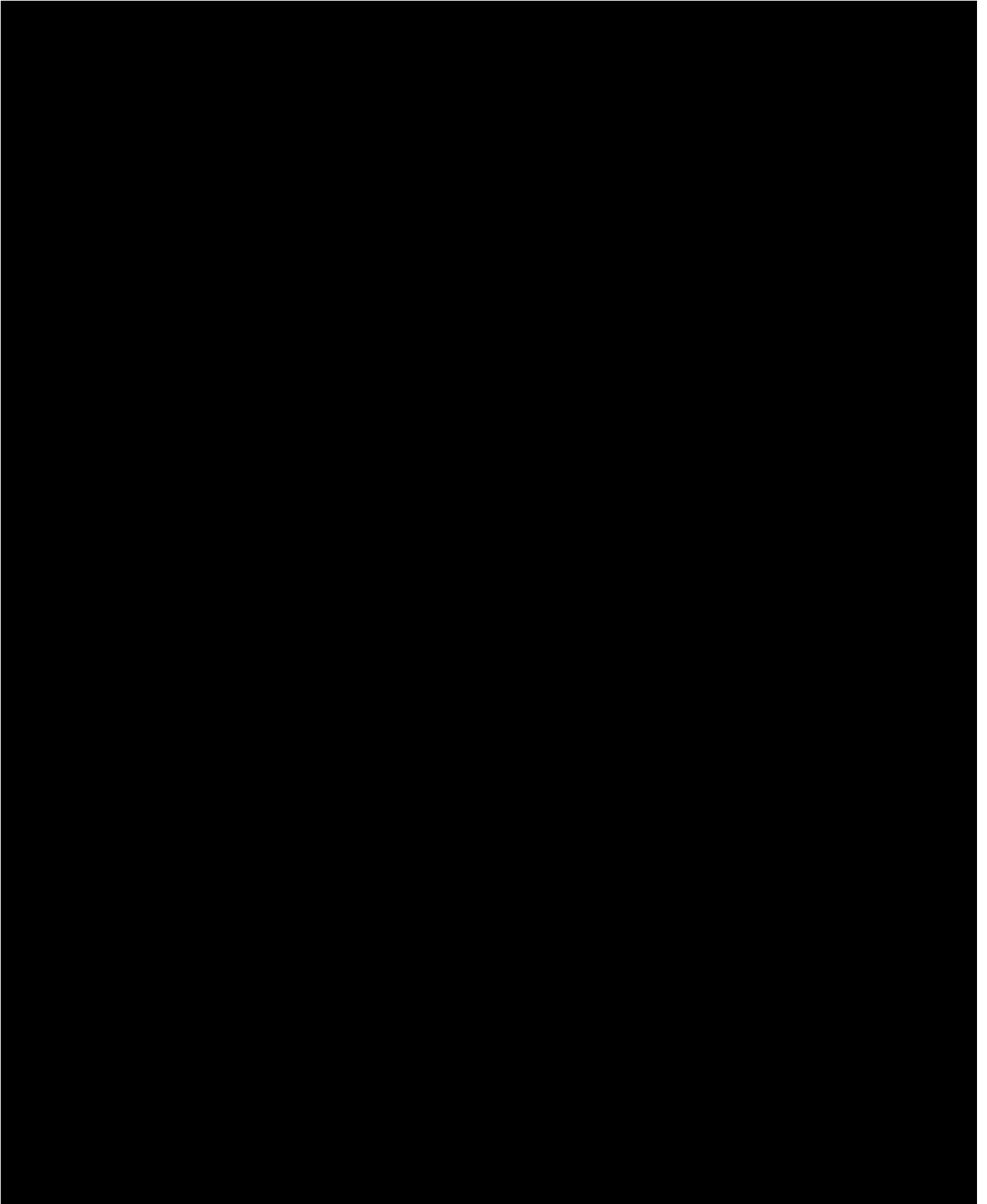


Daily Shift Roster. In addition to the master shift assignment roster daily shift rosters are also maintained for the 12-hour shifts that identify in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. Sample daily post assignment rosters reflected there is no recapitulation data provided or when appropriate a consistent reference to staff assigned to the shift working extra hours. At Lee, over a million dollars of overtime expenditures were reported during the first eleven months of 2017.

The C-Card maintains an automated daily shift roster that identifies the post number, code, post description, area, post type, responder, name of the employee, gender and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed for the C-Card. As a result, there is no reference to post classification levels or a recapitulation table for the C-Card shift.

Daily shift rosters should be considered a critical document that must be completed both accurately and completely to assist facility management on identifying how staff are utilized on each shift.





[REDACTED]

[REDACTED]

[REDACTED]

Kitchen/Dock. LCI routinely requires supervisory personnel to assist in providing security supervision during meal periods and relies on food service personnel to assist in providing on-site security. The *Division of Security* post chart identifies one seven day 12-hr. post during the day shift. Based on staff interviews and a review of daily post assignment rosters a dedicated officer is not consistently being assigned.

The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock area for the cafeteria. Food service personnel are present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. No security personnel are normally assigned to the kitchen/dock area which should be considered a critical post and high-risk area during operating hours. A Back Dock/Courtyard post has been established which would include, dock supervision; however, the post is rarely filled. The recommended post chart includes the provision for a Kitchen/Dock position;

Housing Units. The general population housing units when fully operational each have an operating capacity of 256. Approximately 84% of the inmates housed at Lee are considered level III maximum custody inmates. These are generally individuals with a history of violence with long sentences and/or inmates who have exhibited behavioral problems while in the system. Security surveillance cameras are available in select common areas within the unit to support assigned personnel.

In five of the general population units the inmates are housed in one of two multi-level wings located within each unit. Each wing is separated by an interior sally port that contains a secure entry/exit to the building, work space and entry into each wing. Visibility from the sally port area into each wing is limited. The BLIC character-based program is provided in two of the units.

In the sixth general population unit, there is a secure elevated control room surrounded by four separate housing unit wings. Some of the cell doors in two and one-half of the wings were reported to be able to be manipulated to not lock; however, a locking project was being completed during the on-site assessment to include installing additional locks on all cells in the housing unit. Current operational practices include staffing on a continuous basis the control room and when available, security staff be assigned to the housing wings. Actual staffing levels vary by shift, day and the availability of supervisory staff and unit management personnel.

Based on the everyday responsibilities of an officer and the activity levels of each unit, the practice of having between one and two officers assigned to provide security, custody and control of 250 maximum custody inmates is inconsistent with realistic expectations of what an officer can accomplish. Relying on supervisory staff to assist in front-line responsibilities impacts the ability of the supervisor to meet their position responsibilities. As a result, sufficient supervision in the housing units is not consistently being provided in the units. Additional posts assignments are recommended for the housing units to meet established responsibilities;

Medical. The medical unit at Lee provides a variety of traditional services found in the operation of a correctional facility medical unit. Pill lines, Insulin, Exams, Chronic Clinics, Doctor Appointments, Dental services, Interviews and Sick Call. In addition, there is a 20-bed infirmary connected to the medical unit. Since maximum security medically dependent inmates reside in the unit, staff should be present always.

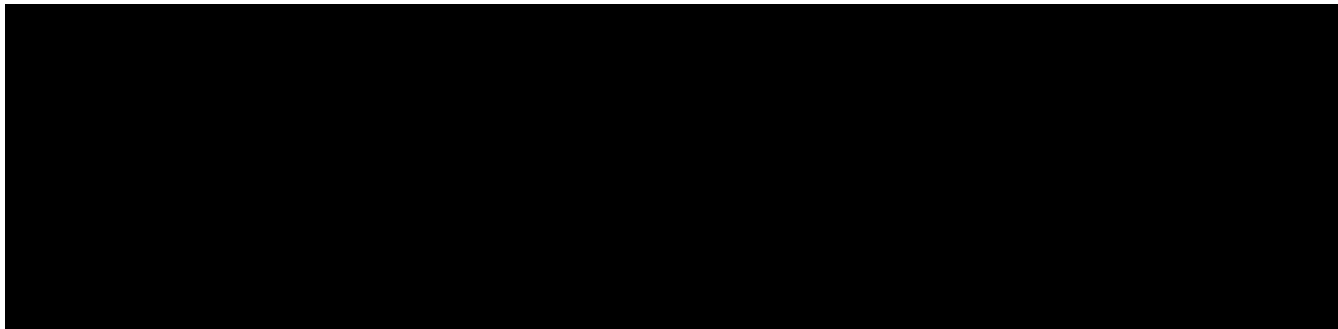
Since the activity level during the days shift involves inmate interaction between civilian staff and contractors, security staff should be present to monitor and control movement and activity levels in the service areas.

The current practice is to have one FLS staff assigned to the medical unit, including the infirmary. The primary workload responsibilities of the officer include controlling access into the medical unit, supervision of the inmate waiting area, conducting counts, circulating throughout the service area and supervising the infirmary. Based on the location of the front entrance of the medical unit, medical waiting room, activity schedule and the limited surveillance technology available, a minimum of two FLS staff during the day shift is recommended, and one FLS to be assigned to the infirmary at night;

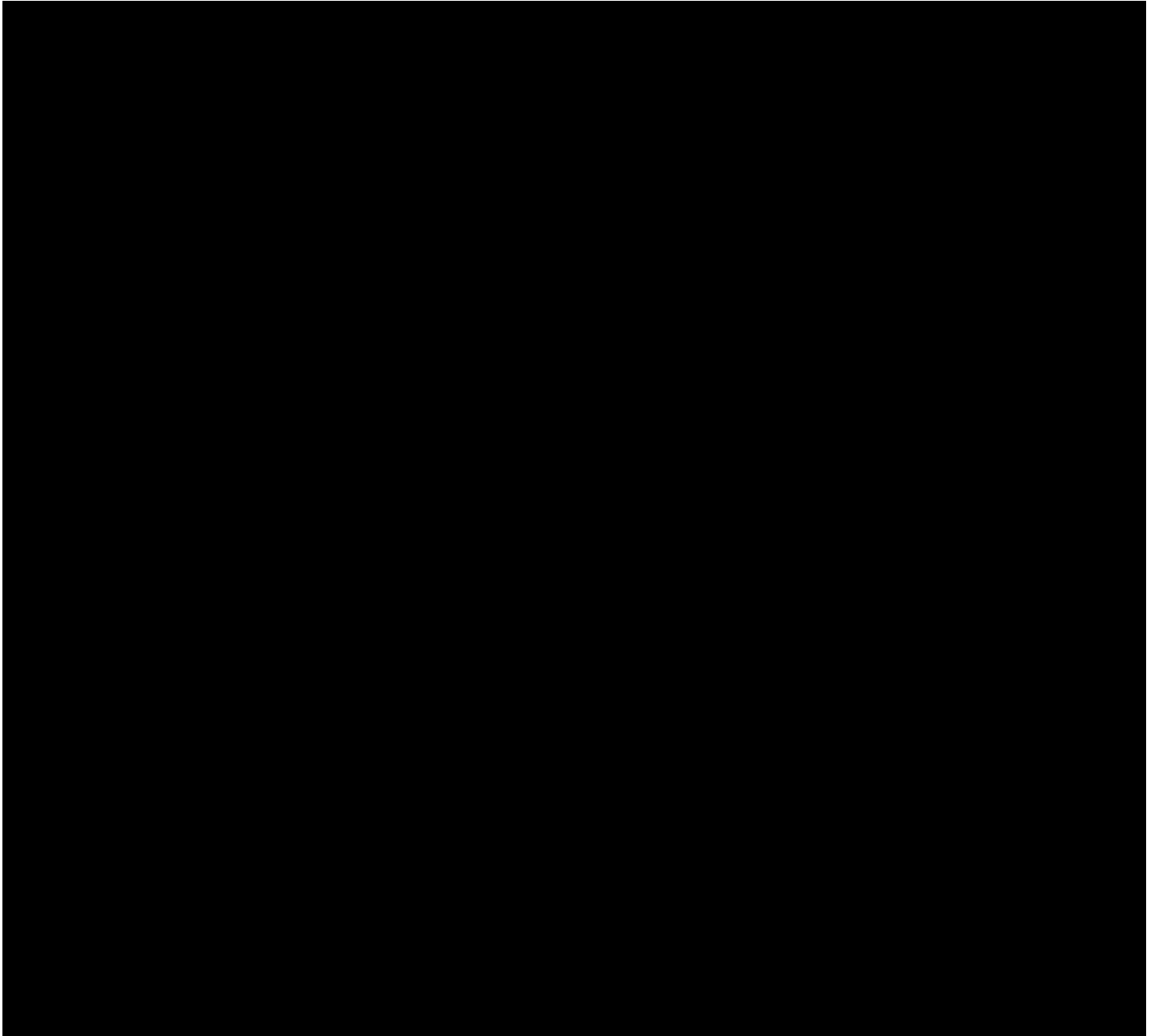
Hospital Coverage. LCI is responsible for providing security supervision for inmates assigned to an outside hospital when needed. Hospital coverage records provided by LCI for a recent ninety-day period (August – October 2017) reflected that for forty-five days staff were assigned to an outside hospital to provide on-site supervision of an inmate that had been admitted. Although this workload responsibility does not occur every day it does occur on a relatively frequent enough basis resulting in staff being pulled from other post assignments or being assigned at an overtime rate. A total of (83) inmates were admitted to an outside hospital during the ninety-day period resulting in LCI staff supervision. Additional hospital/transportation posts are recommended to address the increase in workload;

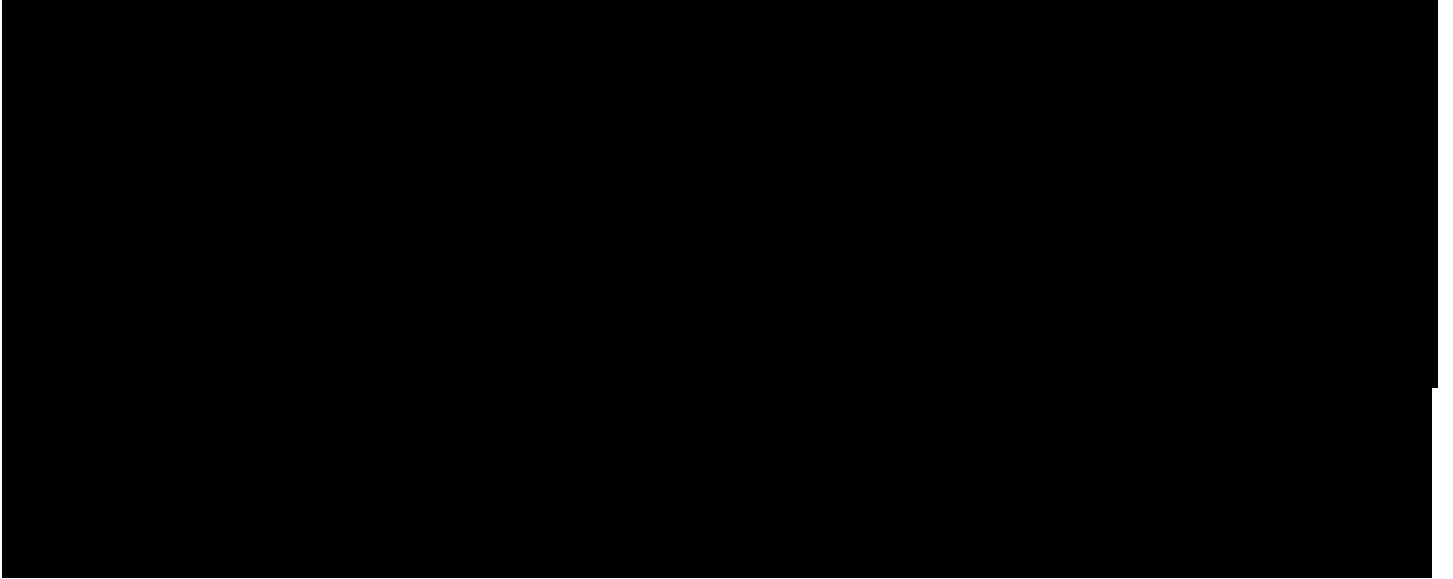
Restricted Housing Unit. The Restricted Housing Unit consists of two separate multi-level sections, each containing two housing wings and a secure control room located in between each wing. **One of the housing sections was not being used and considered inoperable.** The living areas provide secure cells including four safety cells which contain security cameras. All cells have a toilet and wash basin. Each wing contains two tiers, surveillance cameras, a small dayroom area, secure cells, recreational space and showers. The capacity of the one unit is (92);

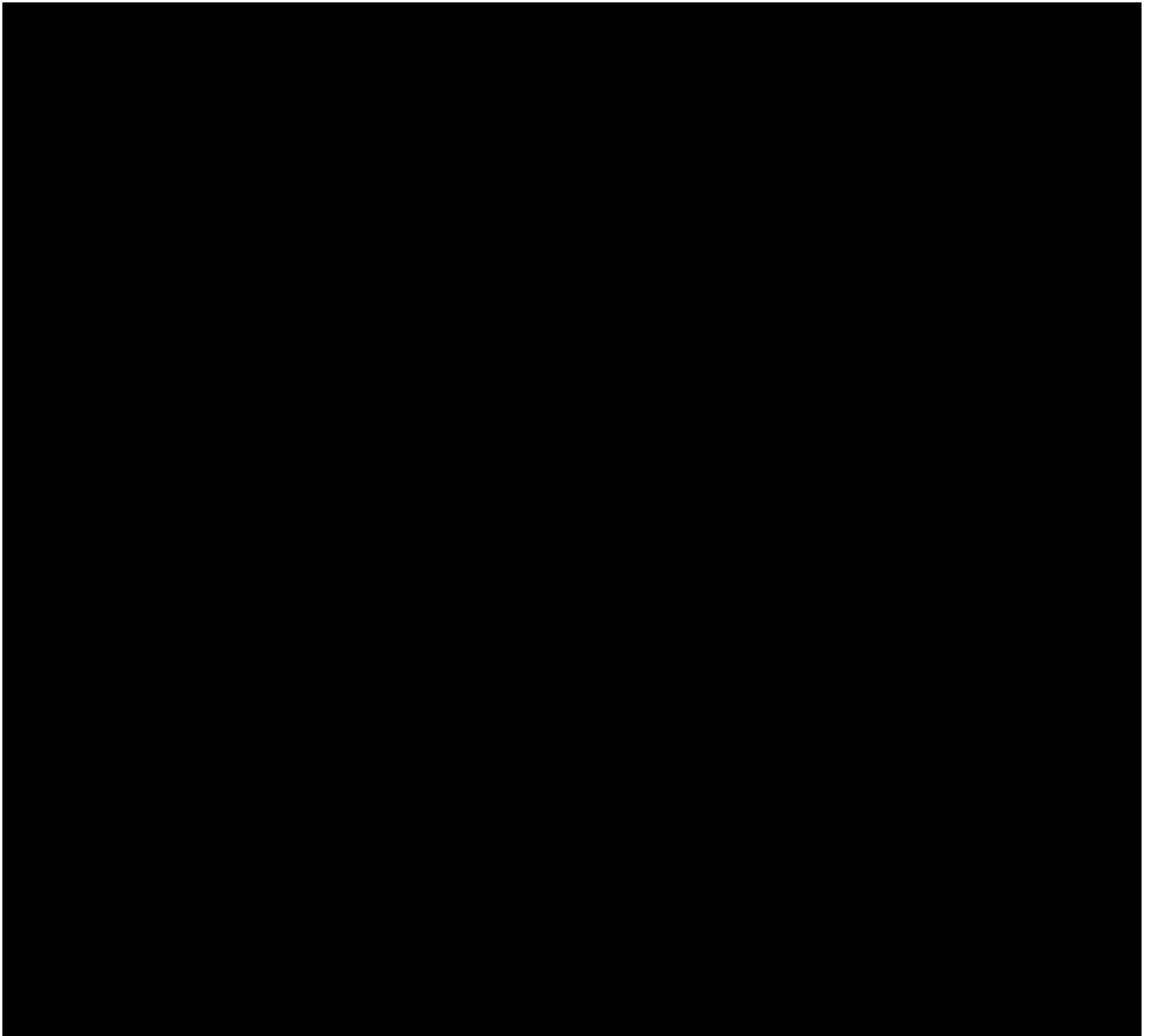
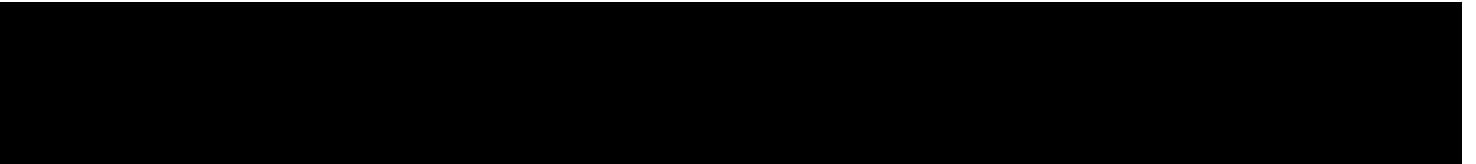
The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support. The control room is required to be staffed on a 24-hour basis. In-house policy requires assigned staff to conduct 30-minute security checks, escort medical personnel on the wing, deliver mail as needed, deliver meals, conduct inmate counts, escort inmates to the shower, visitation and recreation area, complete cell searches and conduct building security checks. For inmates to be escorted out of their cell, a minimum of two staff are required to be present. All these responsibilities require additional security personnel other than the officer assigned to the control room. This is a staff intensive high security unit and when sufficient personnel are not available, required responsibilities may not usually be met, including providing access to showers and/or recreation in a manner consistent with policy. Additional posts are recommended to provide sufficient personnel to meet responsibilities consistent with policy;



Shift Relief. A shift relief factor is not consistently reflected in the current staffing levels. Applying the number of security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments. A shift relief factor is being recommended for most post assignments.







Lieber Correctional Institution

The Lieber Correctional Institution (LCI) is a state operated level 3 facility located approximately 90 miles southeast of Columbia in the town of Ridgeville, South Carolina. The facility was opened in 1986 and serves as one of South Carolina's maximum-security adult male correctional facilities. The reported capacity at Lieber is 1,294 and the average daily population during the first nine months of 2017 was 1,194. One wing of a housing unit was not being used during the on-site assessment due to limited staffing levels resulting in a reduction in the current operational capacity.

While most of LCI's inmate population is considered maximum custody a small percentage of inmates (less than 9 percent) were classified as level 2 or below. Approximately 24% of the population was identified as being on a mental health caseload.

Since 1997 LCI had served as the departments' facility providing housing and services for male inmates assigned to Death Row. On September 26, 2017 the Death Row inmates were transferred out of Lieber and sent to the Kirkland Correctional Institution due in part to limited staffing levels at Lieber.

LCI currently provides housing and services for both general population and special housing programs including the Restricted Housing Unit. The Restricted Housing Unit is available for inmates requiring more intense behavioral levels of supervision and the inmates are housed and programmed separately from inmates assigned to the general population.

The physical plant operates as a maximum-security facility and is surrounded by a double fence which is reinforced with multiple rolls of concertina wire, razor ribbon, electronic surveillance equipment, high-mask lighting, sensors, roving perimeter patrol, vehicle access gates and an alarm detection system. Three new elevated security towers strategically located the outside of the perimeter fence were built to further enhance the overall security of the facility. These Towers were undergoing final construction at the time of the site visit and were not routinely being staffed as of December 2017.



Inside the perimeter are a variety of buildings and services designed to help meet existing responsibilities. The physical plant includes the following: six housing units, two separate Prison Industry Programs, Transport/Transfer Area, Recreation space, Green House/Maintenance Area, Support Services Building, Administrative Services Building and a large open yard located between the General Population Housing Units, the Administrative Services and Support Services Buildings. Internal security fencing, gates and limited surveillance equipment are available to assist in controlling internal movement.

All authorized inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (cafeteria), escorted, supervised and the use of passes (OTR's) was all being used.

Food Services is normally provided to the general population in the main cafeteria.

Housing Unit Designs

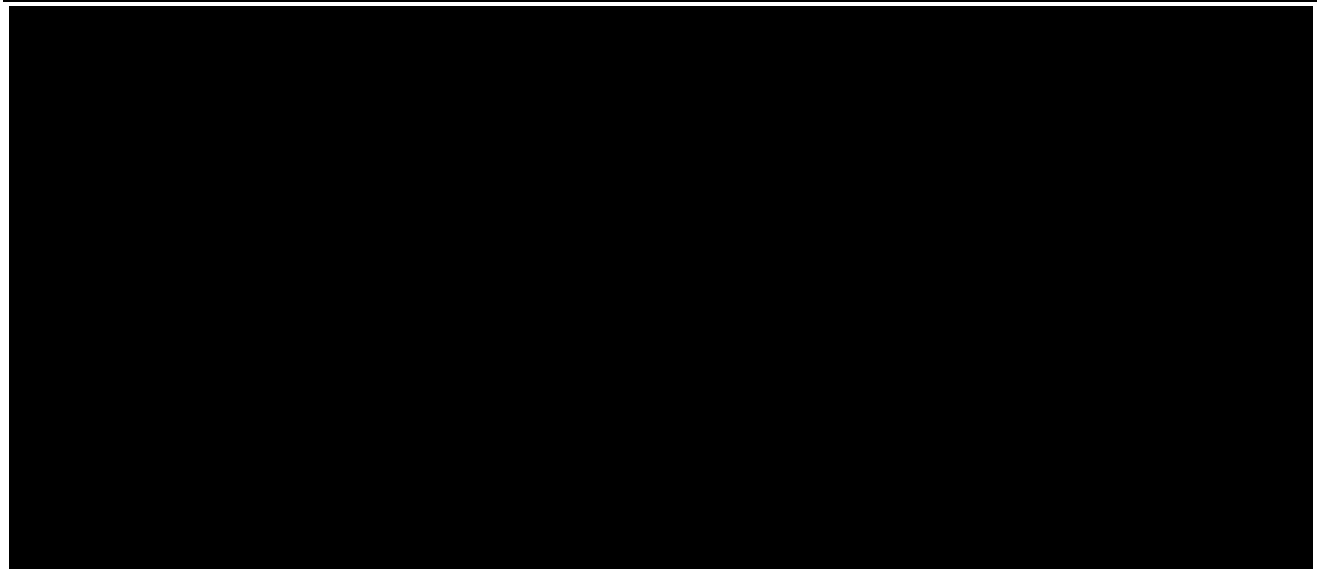
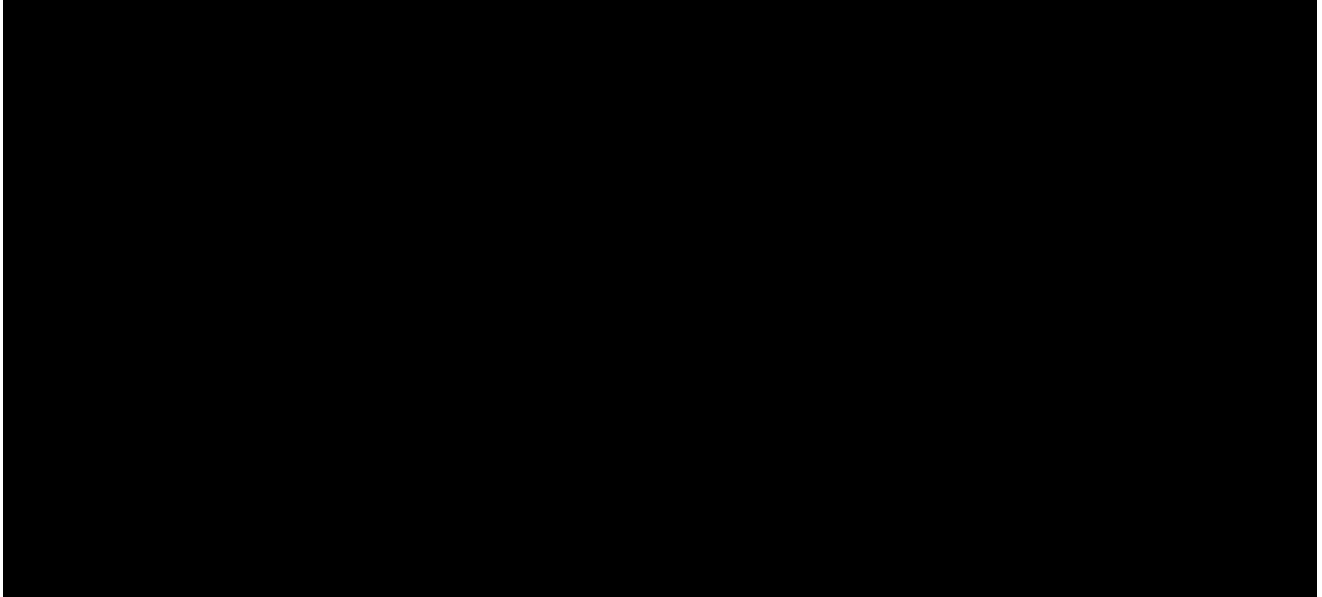
There are three primary housing unit designs at LCI. All the housing units contain secure cells as dormitory style housing is not available at this facility. The housing unit designs are consistent with nationally recognized practices for a level 3 facility. In total there are six inmate housing units at LCI.

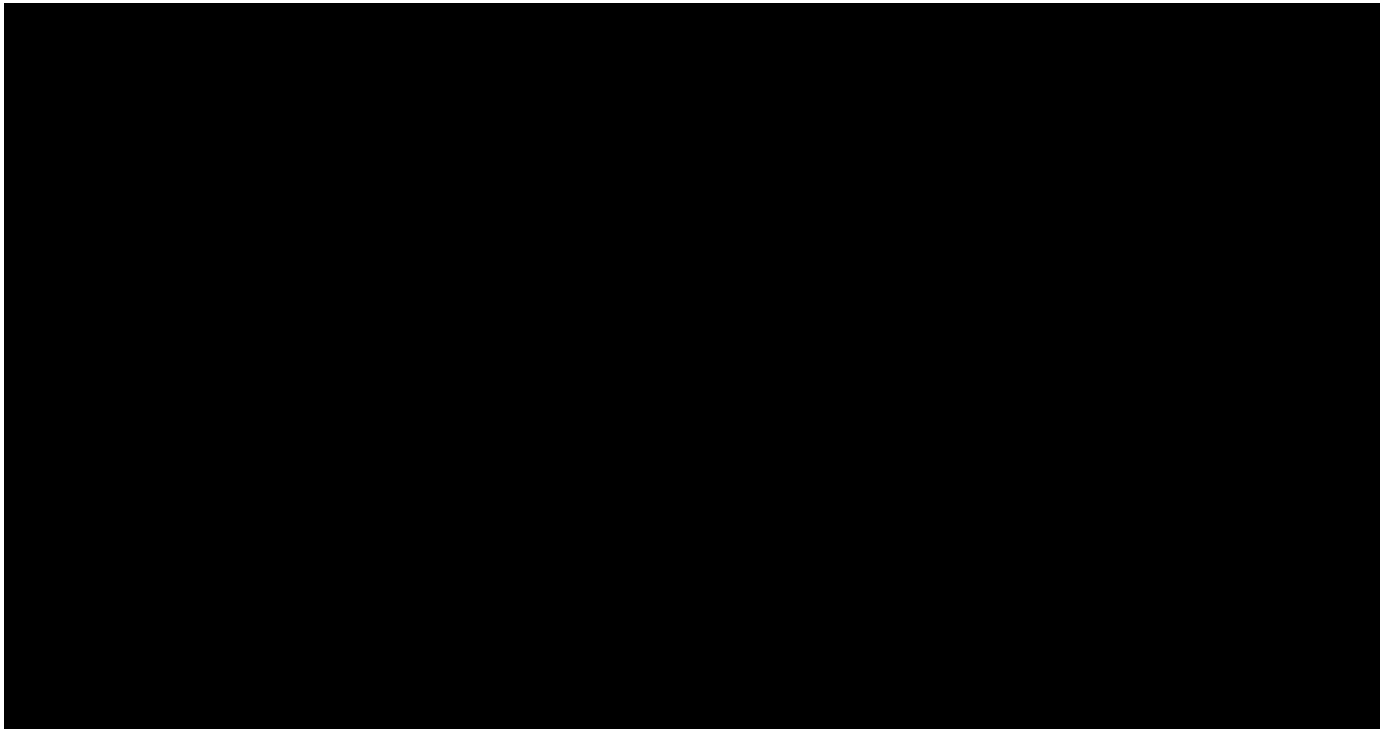
- **General Population.** The general population Inmate housing units consist of five two-tier units of which four are similar in design. **In the front center of each of the four similar designed units is a secure sally port and staff working space. Limited visibility into the living areas is available from the sally port.** The living areas within the units are referred to as "wings" as they represent one of two primary housing areas. The living areas contain double occupancy cells and each cell contains a toilet, bed and wash basin. Showers, dayroom space, telephones and passive recreation are available in the living area. A secure outdoor recreation space is located adjacent to each unit. The total **capacity of a wing** in the four indirect supervision housing units is approximately (126).
- **Wando.** The fifth general population unit, referred to as "Wando", has a secure elevated control center located in the middle of the unit and is surrounded by four wings each having a housing capacity of approximately (62). Security staff are assigned to the control room on a 24-hour basis and have visibility into each housing wing. The two-tier living areas contain cells, dayroom space, showers, telephones an open officer work station for the wing officer and passive recreation. Outdoor recreation space is available adjacent to the building.
- **Restricted Housing Unit (RHU).** RHU consists of two separate housing units. Each housing area has a secure control room and (2) wings one on each side of the control room. The control rooms contain video monitors, security equipment and an electronic access control panel that operates the security doors within the unit. Each wing contains two open levels (ground and mezzanine), surveillance cameras, a dayroom area, secure cells, recreational space and showers. All cells contain toilets and wash basins.

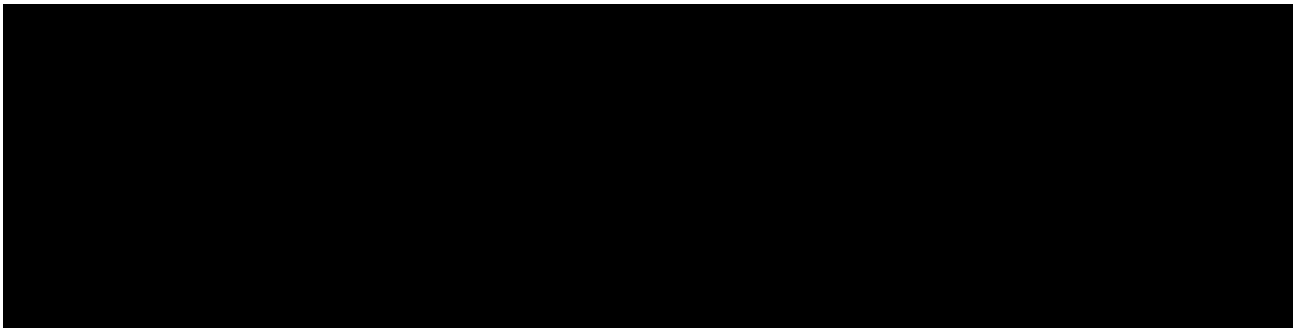
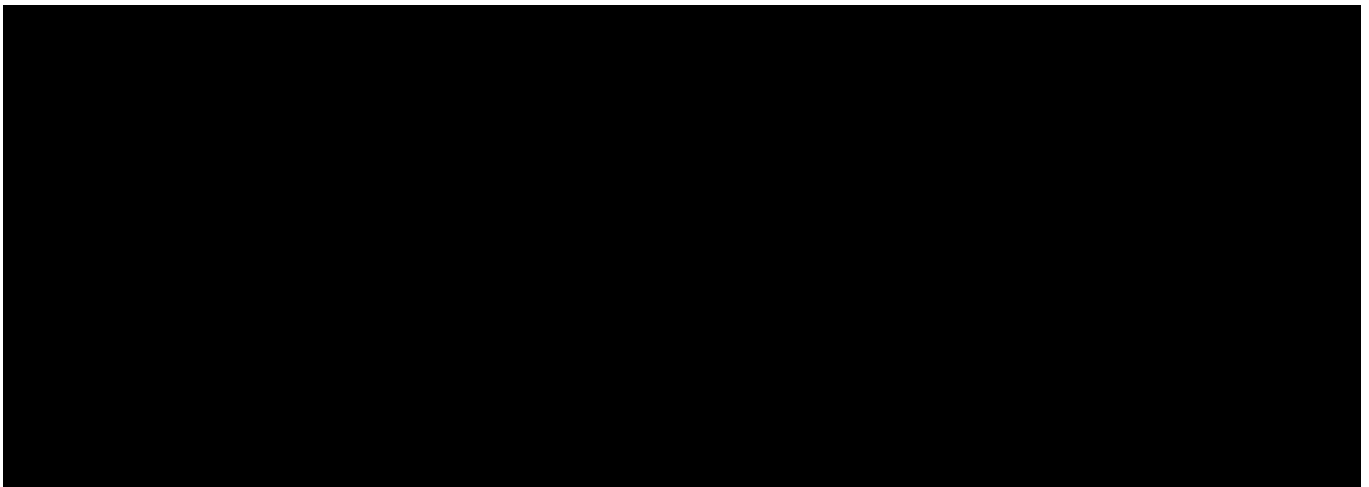
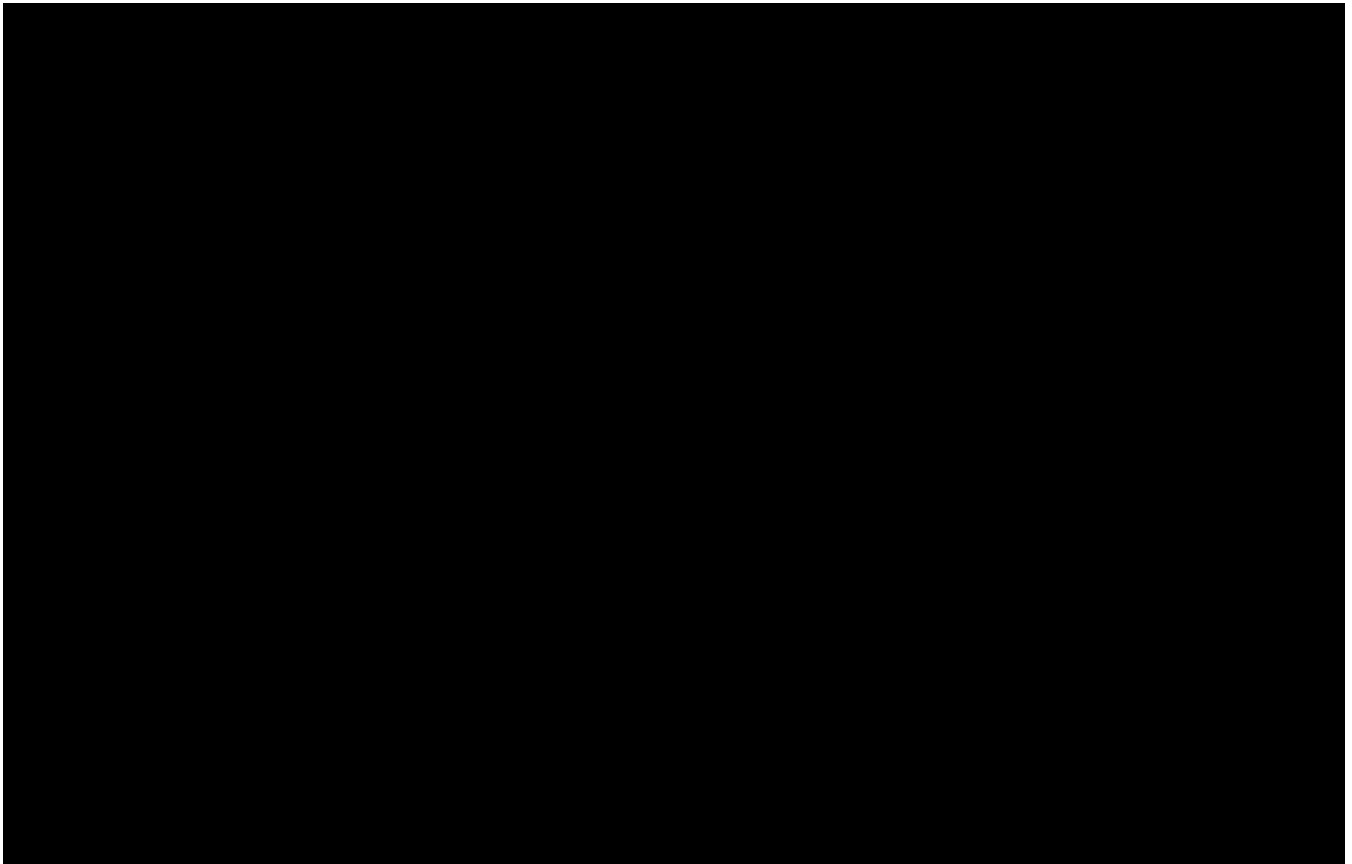
One of the units had previously been used to house male inmates sentenced to death. Department and facility policy requires a minimum of two officers to be present when opening an inmates cell door and while escorting an inmate assigned to the RHU in and out of their cell. Policy also requires staff be present when an inmate is assigned to the recreation yard.

Program Services

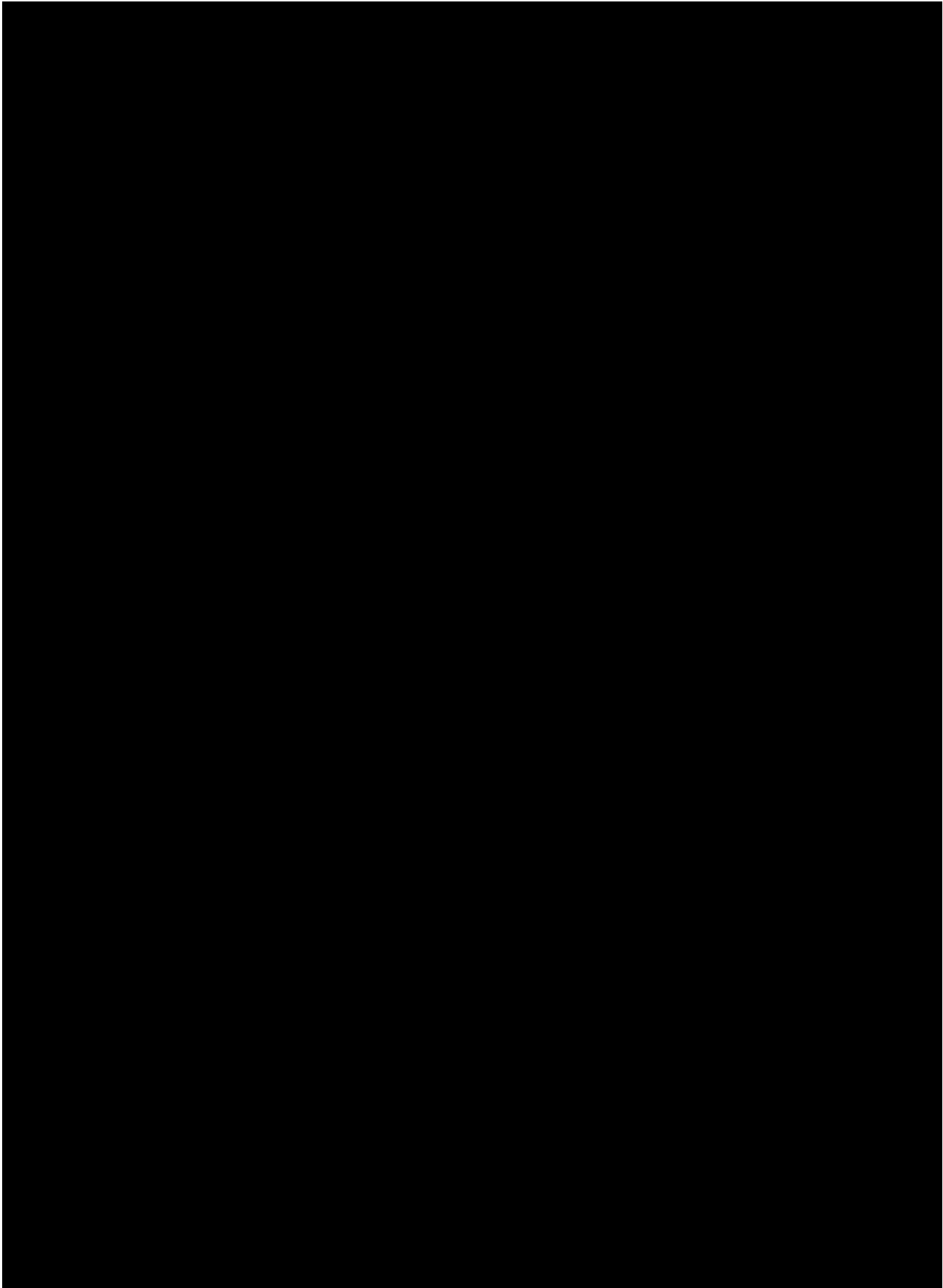
Program services are available at LCI and integrated into the daily facility schedule. Primary programming includes: ABE/GED, Vocational Education, Religious Services, Anger Management, Volunteer Services, Alcohol and Drug Education, Mental Health Services, Recreation, Character-Based Program, Visitation, Commissary and two separate Prison Industry Programs.

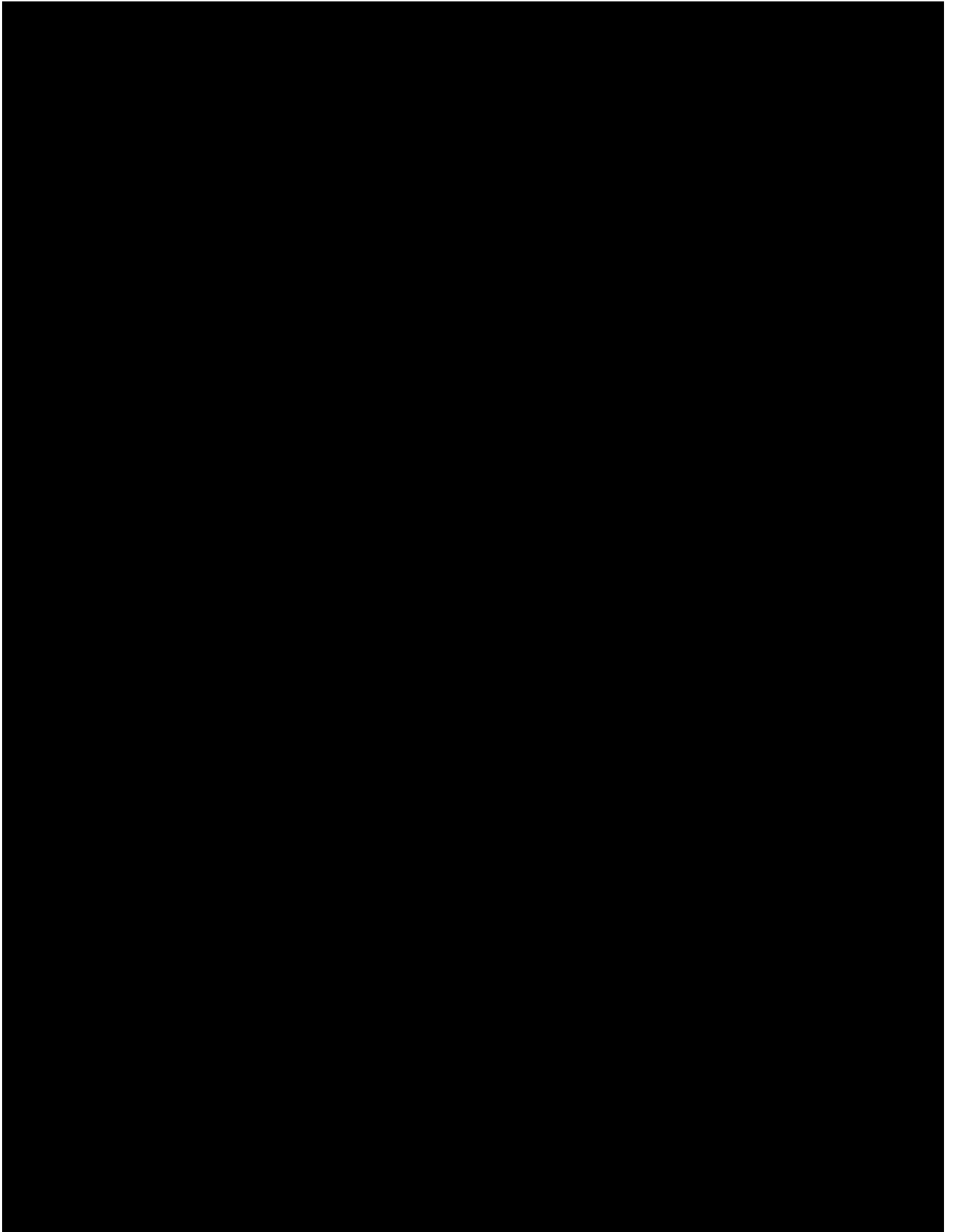


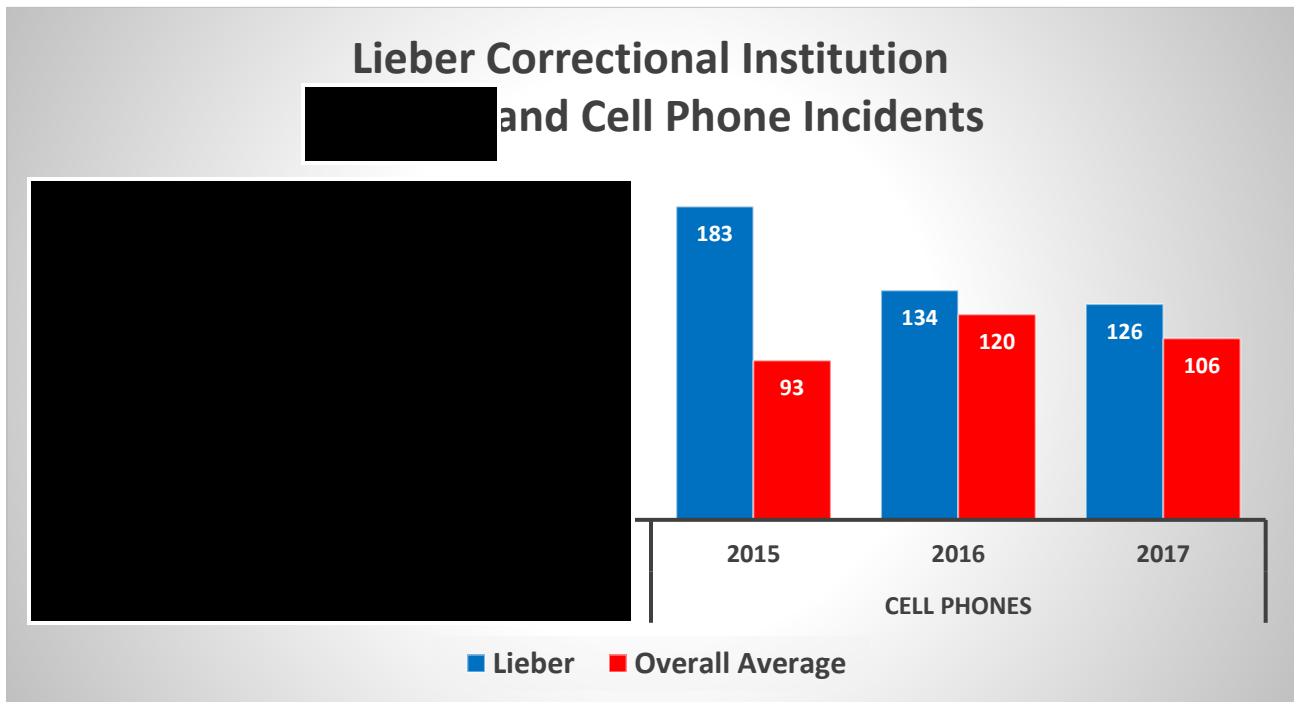




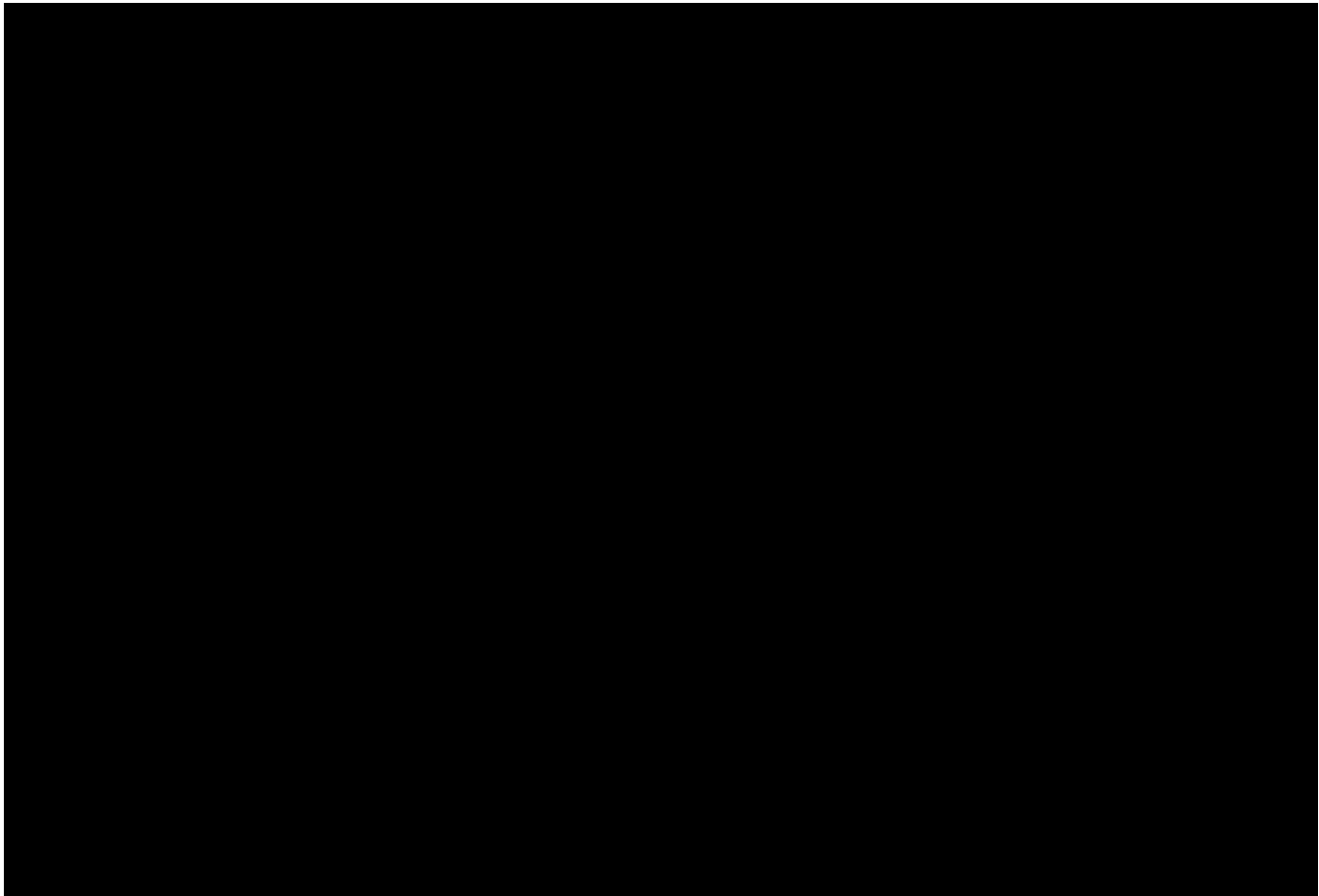
²⁵ SCDC Policy OP.22.24 Post Orders.



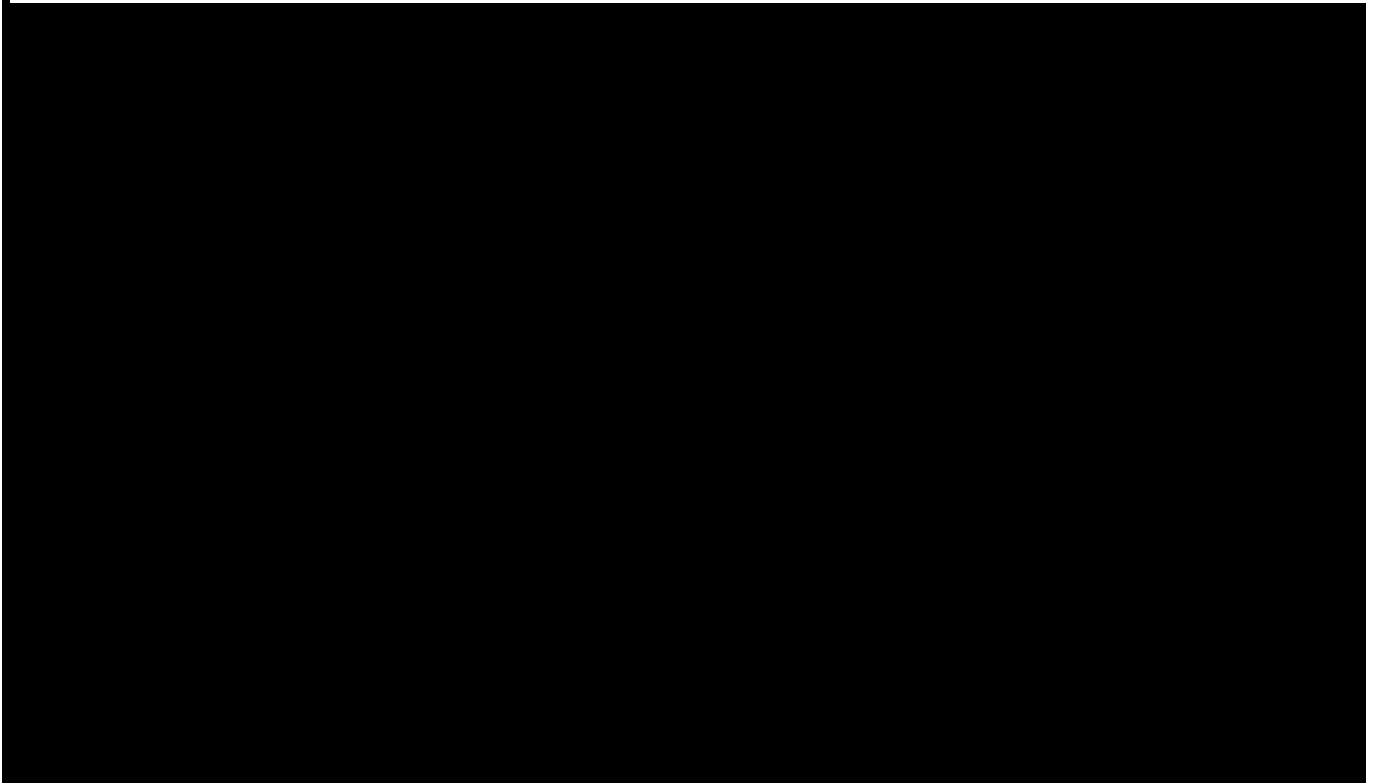




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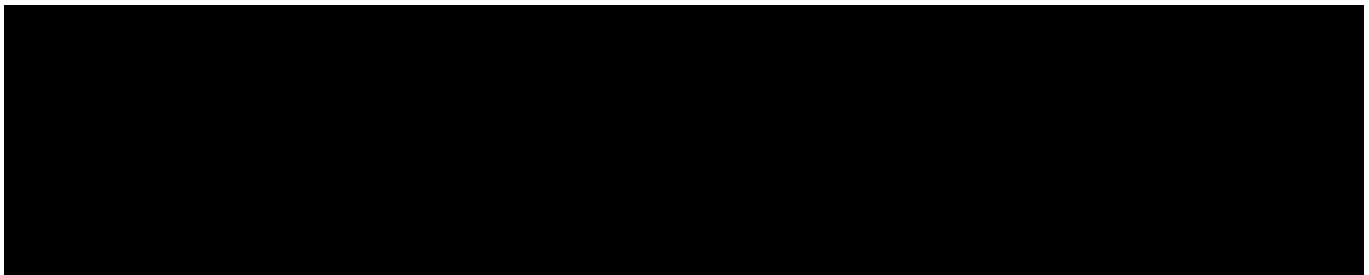
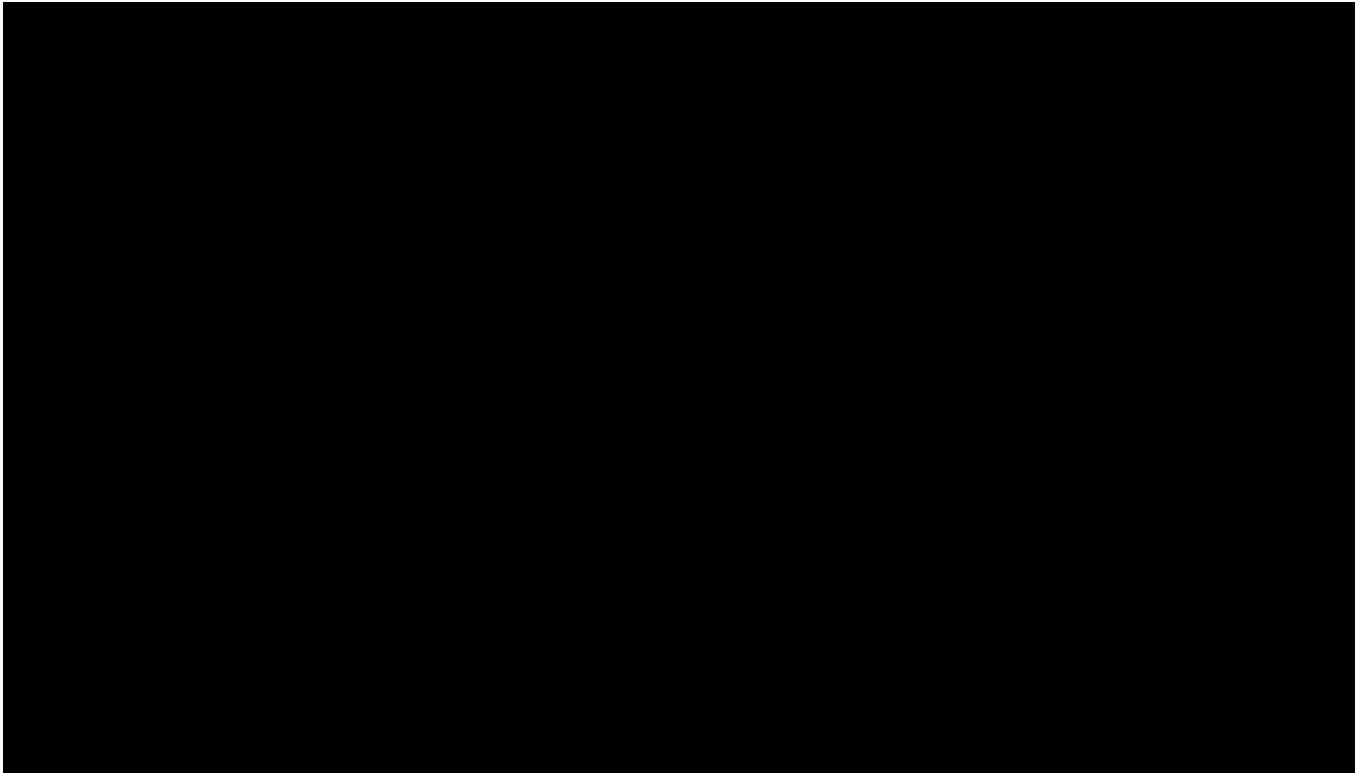
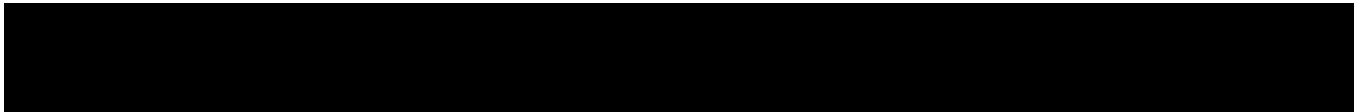
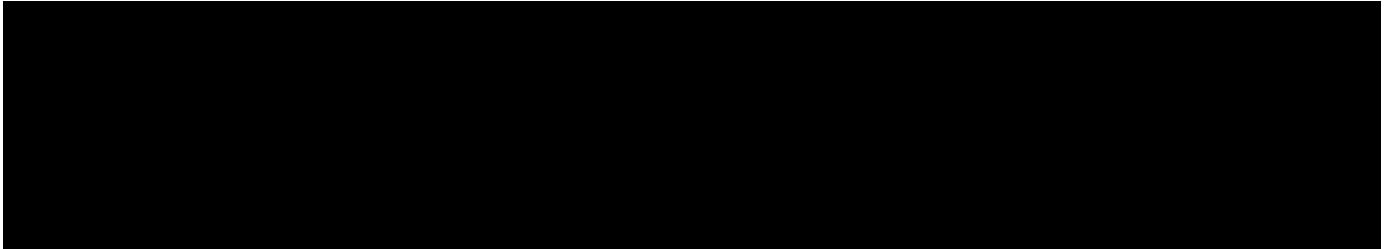


The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials.



Key Positions

Administration. The administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). Both the interim warden and associate warden of operations had been in their current position for less than two months on the day of the site visit. During the review period, the associate warden of operations was named the warden and was contacted via telephone for input regarding the project.




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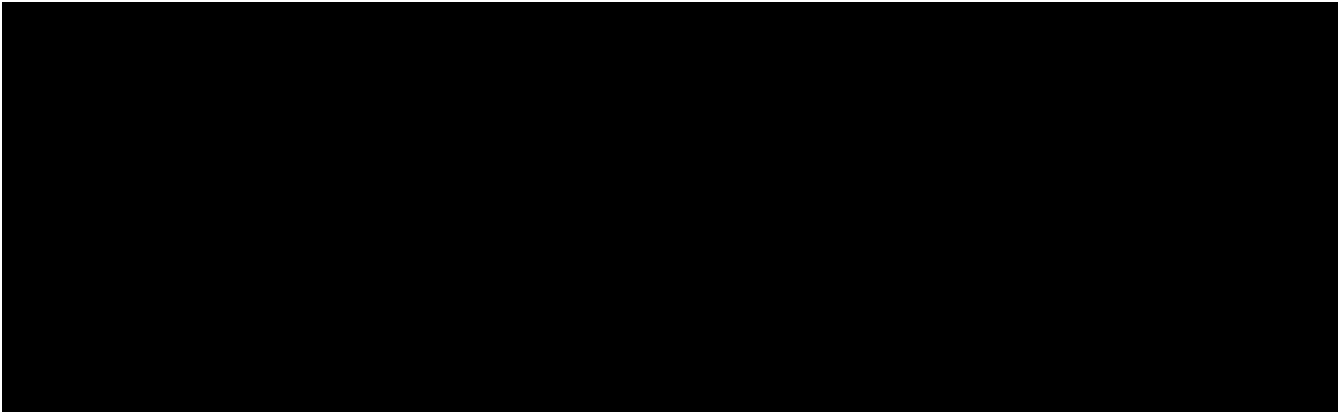
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Shift Assignments. Facility management personnel at LCI have developed a master shift assignment roster for security staff that identifies the names of the personnel assigned to each shift and their position classification. The *C-Card* roster also identified the employee's normal post assignment.



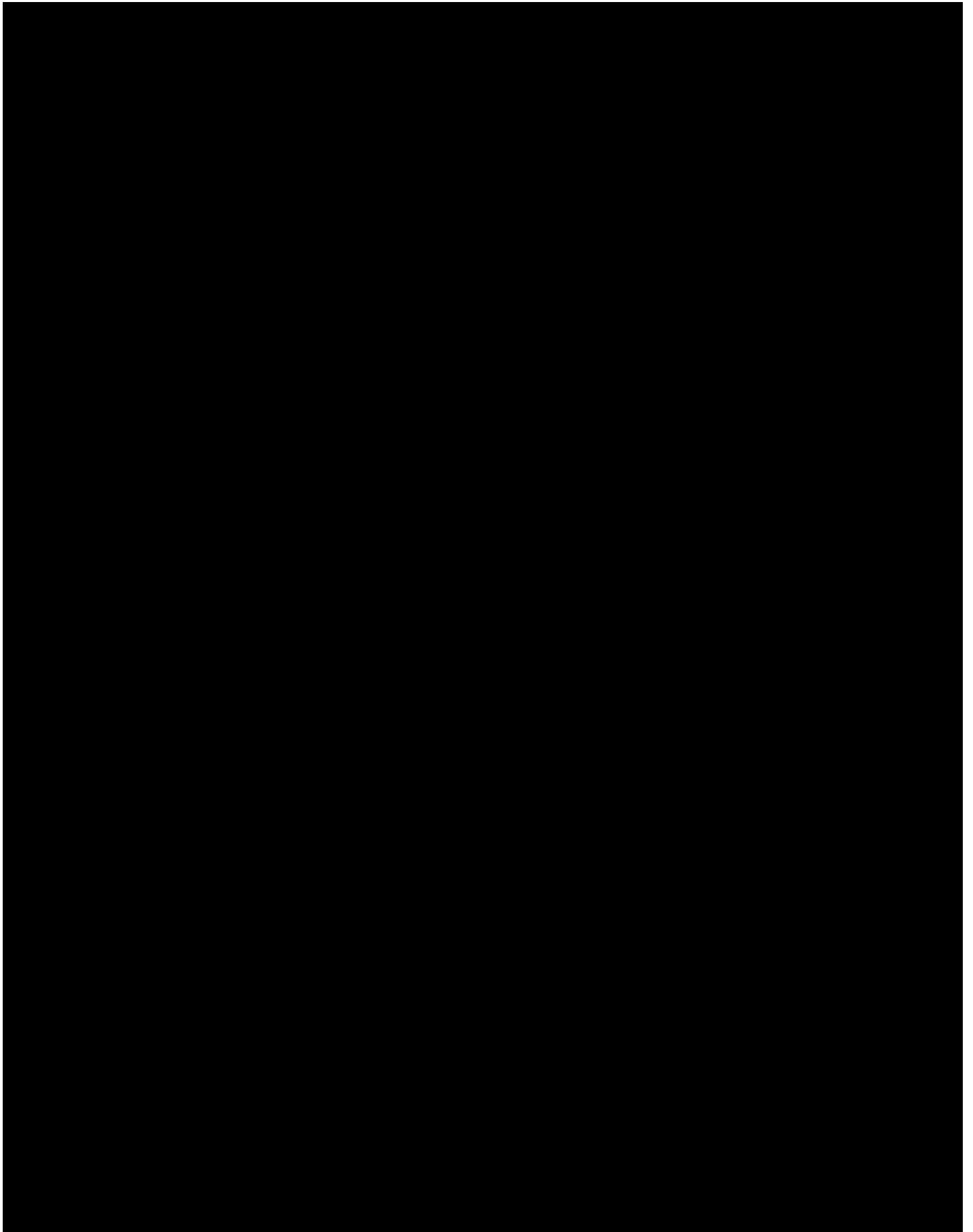
Daily Shift Rosters. Daily shift rosters are also maintained that identify in more detail the actual staff assigned by day and shift and their corresponding post assignment. The daily shift rosters are intended to document how scheduled personnel are utilized and to provide a necessary management tool to ensure staff accountability. It was extremely difficult to identify on the manual daily rosters how every staff member assigned to the shift was being utilized.

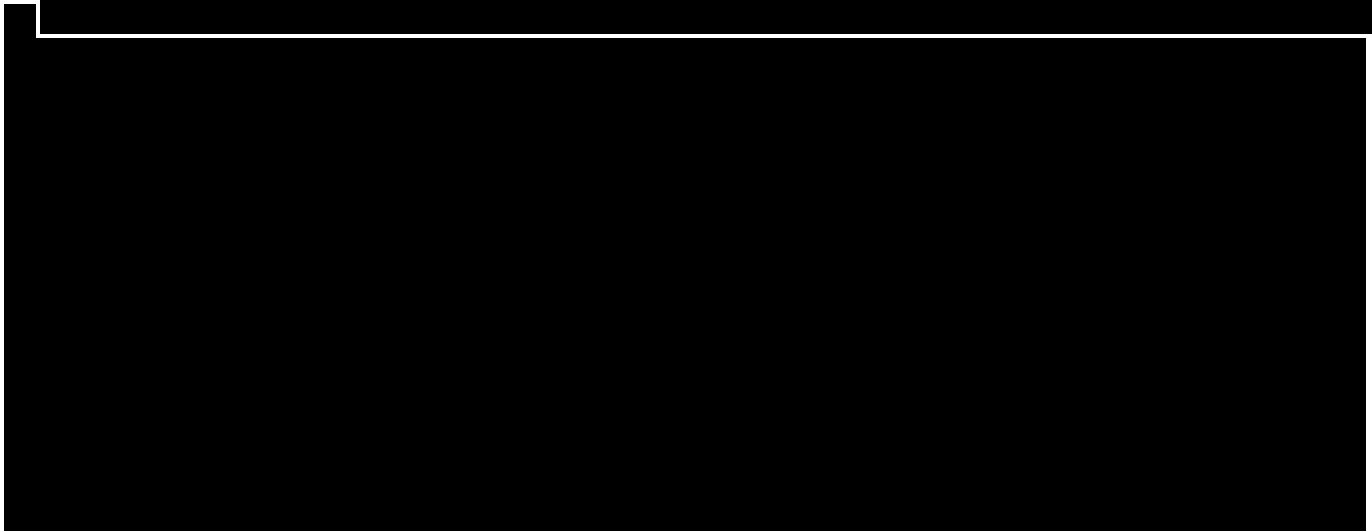
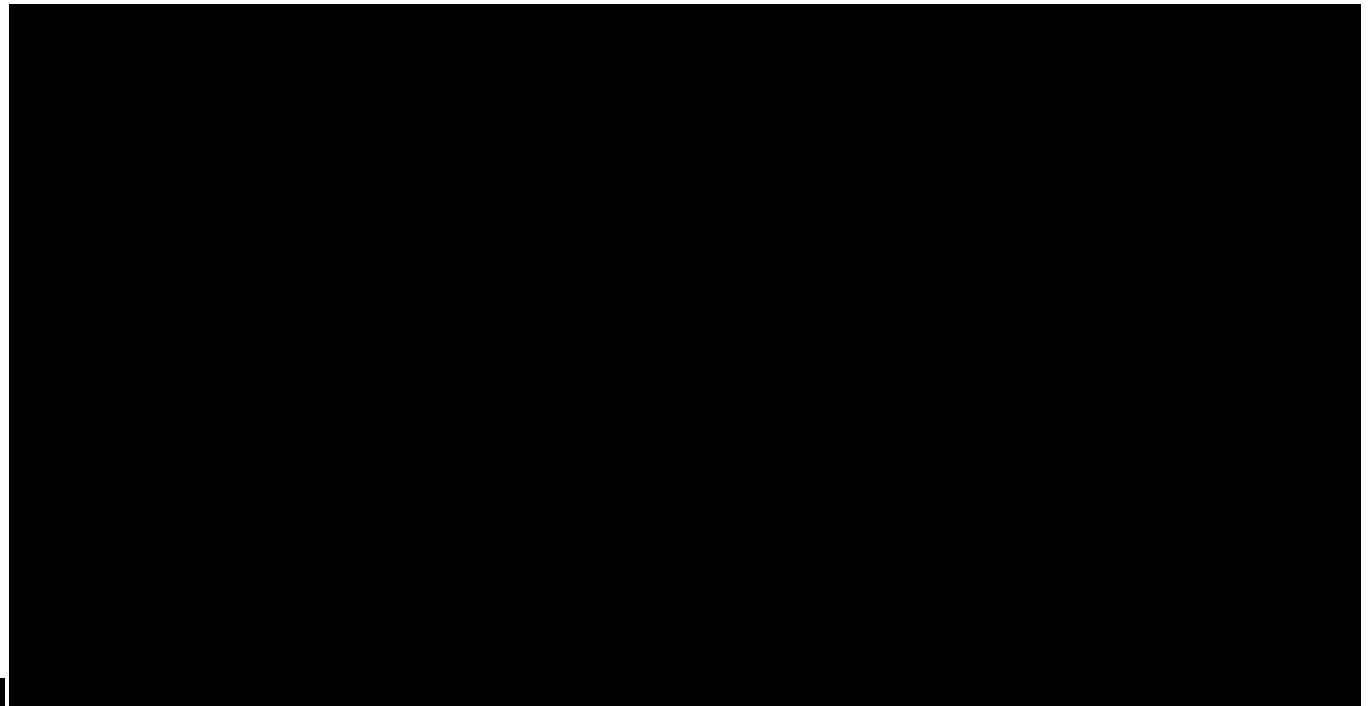
There is no **consistent** reference in the manually completed daily rosters of staff on leave-status, responders, staff working overtime, if applicable, post classifications or a recapitulation table that identifies the status of every staff member assigned to the shift. On the automated version of the daily shift roster post assignments and staff on-leave status were identified.

The *C-Card* shift daily shift rosters are completed on a different template and lack specific details that are clearly identified including, shift supervisor, staff assigned to transportation or a recapitulation table that identifies how all staff assigned to the *C-Card* were used.

Daily shift rosters should be considered a critical document that must be completed both accurately and completely to assist facility management on identifying how staff are utilized on each shift. Based on the sample completed daily rosters it was difficult to identify how all staff assigned to the shift were utilized.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies or overtime. The classification of post assignments is designed to ensure certain post are shut down first. Due in part to limited available staffing, the need for post classifications to be identified is not as critical as when staffing levels allow additional posts to be filled.





Post Assignment Enhancements

In reviewing current operational practices, supported by daily rosters and staff interviews, to meet the mission of the facility additional post assignments are recommended to be filled by qualified staff on a consistent basis. An updated post chart has been developed to identify post assignments that should be filled on a consistent basis.

The following post assignments identify critical posts that normally are not routinely being filled and when considering the mission of this facility, should be considered.

Housing Units Wing Officers. The general population housing units, when fully operational, each have an operating capacity of close to 250. Approximately 91% of the inmates housed at Lieber are considered level III maximum security inmates. These are generally individuals with a history of violence with long sentences and/or inmates who have exhibited behavioral problems while in the system.

The inmates are housed in one of two wings located within each unit. Each wing is separated by a common sally port that contains a secure entry/exit to the building, officer work space and entry into each wing. Visibility from the sally port area into each wing is limited.

The current operating practice is to provide at least one officer into each general population housing unit, except for the housing unit referred to as "Wando", which has a secure control room and four housing wings, where a minimum of two officers are assigned. Actual staffing levels vary by shift, day and the availability of supervisory and unit management personnel.

Based on the everyday responsibilities of the officer and the activity levels of each unit, the practice of having not only one, but two officers assigned to provide security, custody and control of 250 maximum custody inmates is inconsistent with realistic expectations of what an officer can accomplish. At this level, the front-line officer becomes a "watchman" that no longer functions as a trained correctional officer, but primarily reacts and notifies when situations occur. As a result, effective supervision in the housing units is not consistently being provided. Additional posts are being recommended in the updated post charts;

Medical/Psych Clinic Supervision. Current operating practice is to have one officer assigned to the medical unit. Primary post responsibilities include monitoring and controlling movement into/out of the unit, placing inmates in a secure waiting area, escorting inmates within the unit and completing security rounds. Based on the location of the front entrance to the building and the holding area, most of the officers' time is required in the front of the unit, near the inmate holding area and front entrance, as they are in possession of the keys to the unit. Exam rooms and staff interviews, including mental health interviews/clinic, occur in areas not always in direct line of site of the officer.

For example, the psychiatric clinic generally occurs two to three days per week, every other week for approximately six hours per day. Security personnel are required to be in direct line of site, outside of the interview room, while the interview takes place to provide site supervision. Additional interviews and consultations occur five days a week throughout the medical unit. This requires an additional officer to be on-site and an officer to provide inmate escort to/from the housing unit. No dedicated staff are normally provided, resulting in delays in escorting the inmate, and delays in conducting the clinic/interviews. Dedicated security staff are recommended in the updated post chart to meet this responsibility;

Medical Unit Coverage: Inmate services at the medical unit were reported to occur from approximately 5:00 am until approximately 8:00 pm. Security medical unit coverage is generally provided normally during the day shift only. The revised post chart reflects post recommendations that include providing a security presence whenever inmates are normally scheduled to be in the medical unit;

Yard. Lieber is a campus-style institution with five general population housing units, programs and service areas surrounding a large open courtyard. To move from the housing unit to most program activities and services, inmates are required to walk through the open courtyard. It is essential and a fundamentally recognized sound policy, that security staff be present to monitor and control the inmate movement throughout the facility, and to be able to respond when necessary. Internal fencing and gates are present throughout the courtyard to assist in controlling movement.

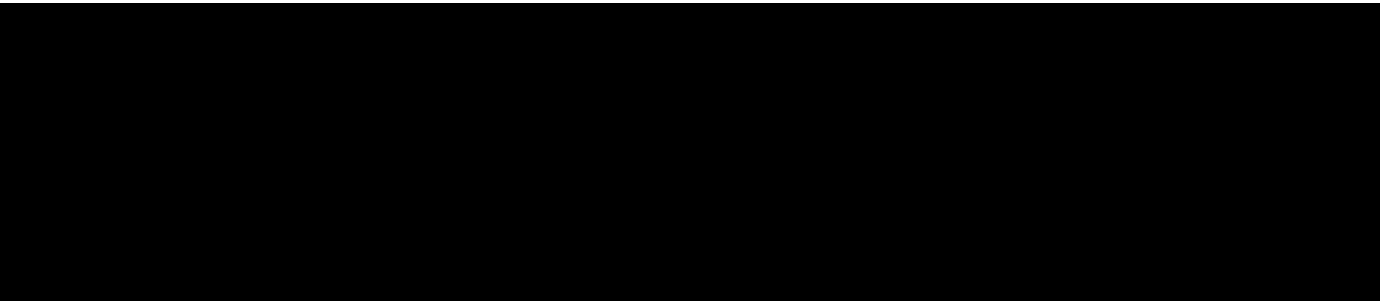
Based on the size of the facility and location of the cafeteria, education, medical, canteen, multi-purpose building and prison industries in relation to the housing units, dedicated yard officers should be consistently assigned to the courtyard to assist in monitoring existing inmate movement, provide roving physical plant security and serve as responders.

Specific areas of concern include the Wando Gate, Access Gate and Pill line window where inmates congregate while waiting for access. Dedicated security staff are recommended in the revised post chart to increase the number of yard post assignments during both the day and night shift;

Kitchen/Dock. LCI routinely requires supervisory personnel to assist in providing security supervision during meal periods. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains the food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock areas for the cafeteria, canteen and commissary. On the date of the site visit the rear door leading to the dock was unsecure, allowing for unsupervised access to the loading dock. Food service personnel are present in the area; however, their primary focus appeared to be on food preparation. No security personnel are normally assigned to the kitchen/dock area which should be considered a high-risk area. The revised post chart recommends a post assignment for the kitchen/dock area;

Education. Primary educational programming is provided normally Monday through Friday during the day shift. In the education building are classrooms, civilian staff, maximum security inmates, a general library and law library. Dedicated security personnel should be assigned whenever inmates are scheduled to be in the building;

Operations. LCI is designated as a regional holding and processing facility for inmates being transferred to the Kirkland Reception and Evaluation Center. As a result, individuals admitted to the department from neighboring counties within the area are brought to Lieber, Monday through Friday during the day shift to be transferred on a bus to Kirkland. Current operating practice is to use transportation and unit management personnel that may be available to assist in initial processing, documentation management and on-site supervision. This is a five-day post assignment that requires dedicated personnel;



New Perimeter Towers. Three new elevated staff towers have been built along the perimeter of the facility. Staffing towers is more than just about preventing escapes; it is also about controlling movement near the perimeter and preventing the introduction of contraband into the facility through the perimeter fence. The recommended post chart includes a provision for staffing the three new perimeter towers; and

Shift Relief Personnel. The relief factor established for Lieber reflects over the past three years assigned staff are available to fill a post approximately 79.4% of their scheduled time. The rest of the time staff are using benefit time or are unavailable to fill a post assignment. Shift relief personnel are rarely readily available to fill required post assignments during the absences of assigned staff. The recommended post chart includes the provision of applying a shift relief factor for most post assignments.

Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Lieber, based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

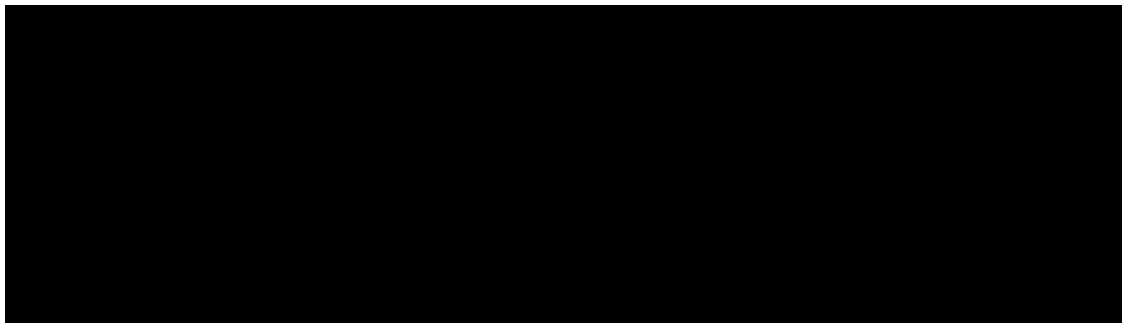
Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

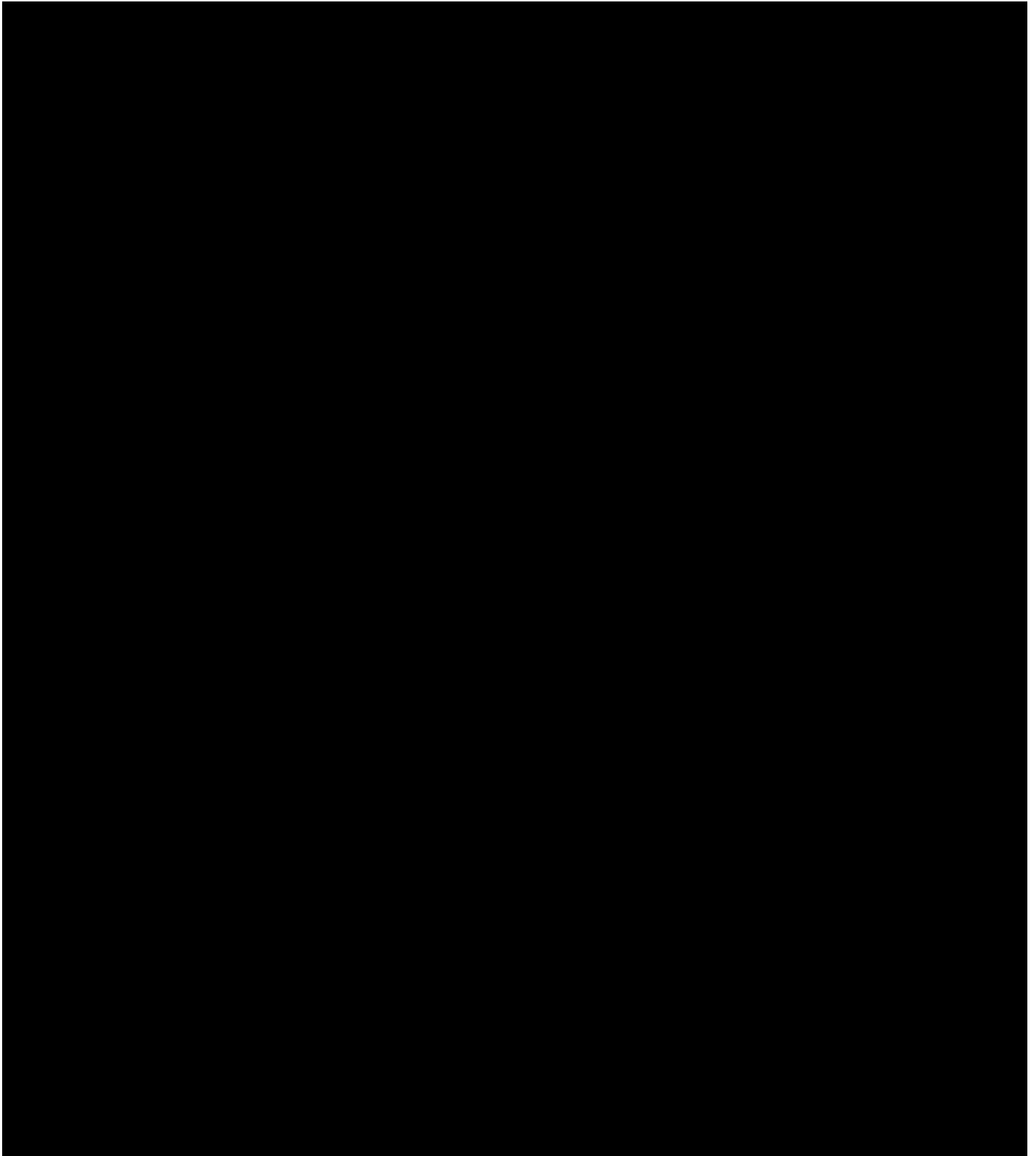
At Lieber the use of "sick-time" has fluctuated over the past three years. The average full-term security employee used (87) hours of sick-time in 2017, compared to (102) hours in 2016 and (72) hours in 2015;

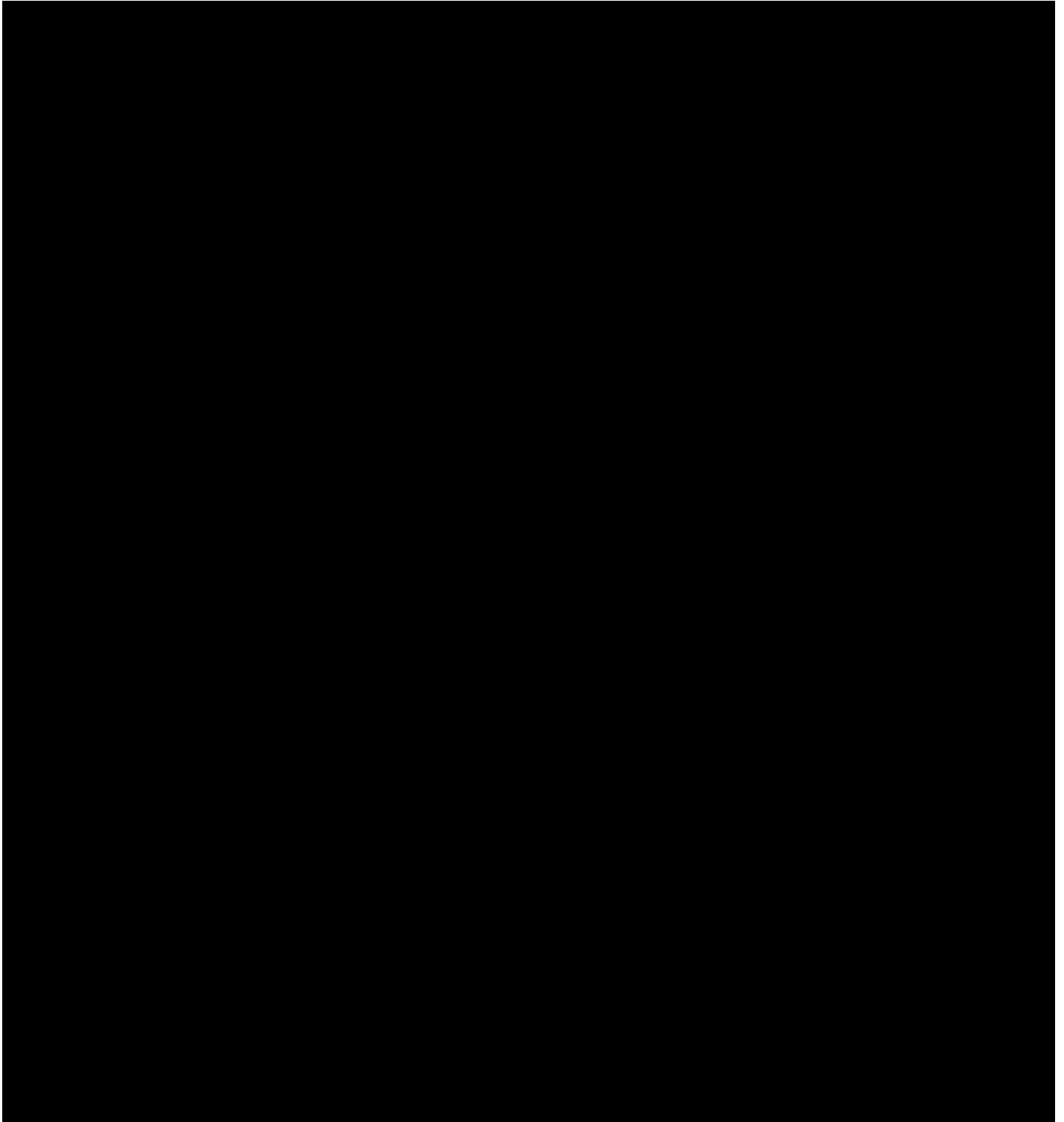
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.



A shift relief factor of 5.04 can be translated to mean that for one year, an average of approximately five staff will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for an 8-hour post assignment requires an average of 1.30 staff throughout the year.

Staffing Level Recommendations





McCormick Correctional Institution

The McCormick Correctional Institution (MCI) is a state operated level 3 facility located approximately 75 miles southwest of Columbia in the town of McCormick, South Carolina. The facility was opened in 1987 and serves as one of South Carolina's adult male maximum-security correctional facilities. The reported capacity at McCormick is 1,108 and the average daily population during the last six months of 2017 was 990. One of the four 252-bed housing units was closed in November 2017 reducing the facility operational capacity to 856.

While most of McCormick's inmate population is considered maximum custody, approximately 10% of the inmate population was classified as level 2 (medium) or lower during the reporting period. At the time of the review, approximately 17% of the inmate population was on a mental health caseload.

In addition to providing housing and services for the general population, MCI also provides housing and services for special programs including the Restricted Housing Unit and an Assisted Living Unit. The Restricted Housing Unit is available to house inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed separately from inmates assigned to the general population. The Assisted Living Unit is a residential housing unit for inmates with confining medical conditions.

The physical plant at McCormick was built as a maximum-security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, armed perimeter patrol, high-mask lighting, vehicle access gate, sensors and an alarm detection system.



Inside the perimeter of the facility are a variety of buildings and open space provided to help meet existing facility responsibilities. The physical plant includes the following: Front Gate/Vehicle Access Gates; Administration Building; Main Control; Personal Property; Visitation; Medical Unit; Education; Multi-purpose; Grounds Maintenance; Plant Maintenance; Cafeteria; Prison Industries; Chapel; Restricted Housing Unit; Assisted Living Unit and General Population Housing. Expansive internal movement control fencing, gates and security surveillance cameras are available throughout the interior of the facility.

Food Services are normally provided to the general population inmates in the main cafeteria. Meals may be provided in the housing units when the facility is on a full or partial lockdown.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

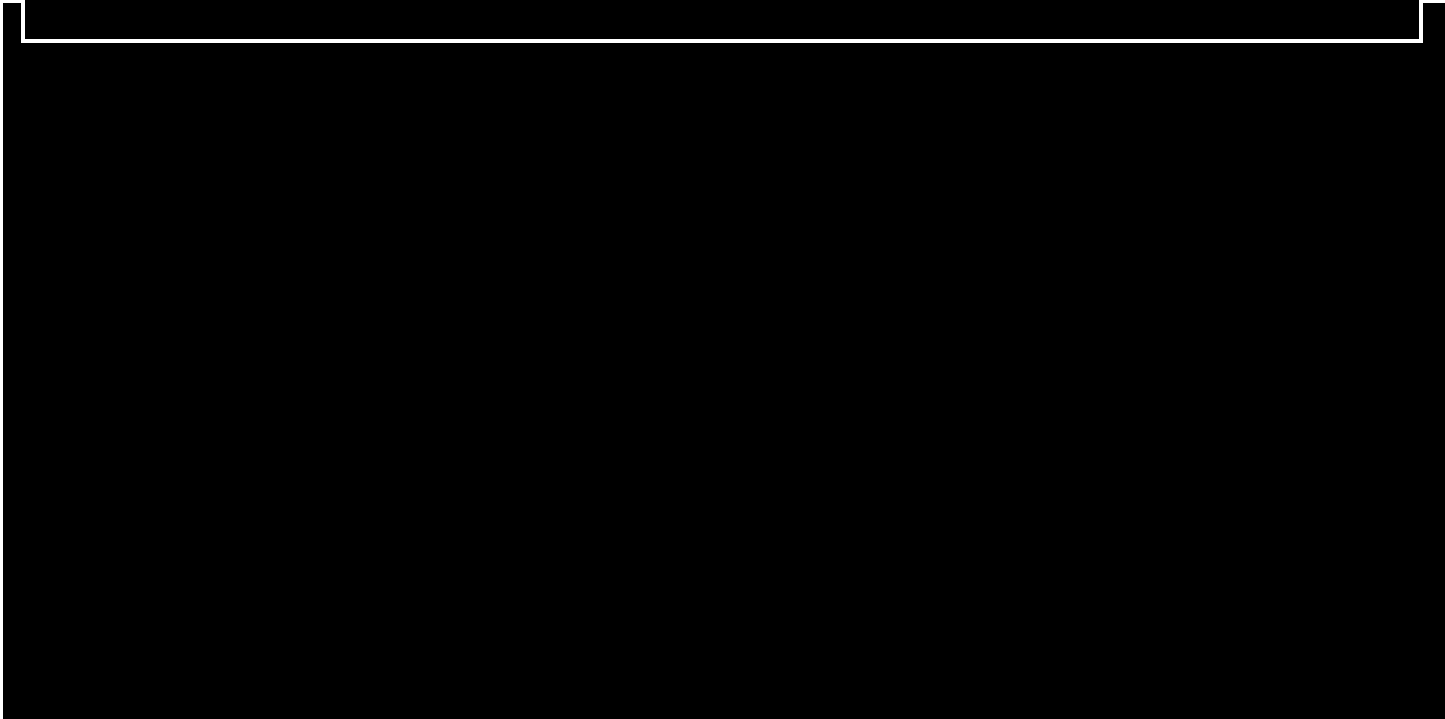
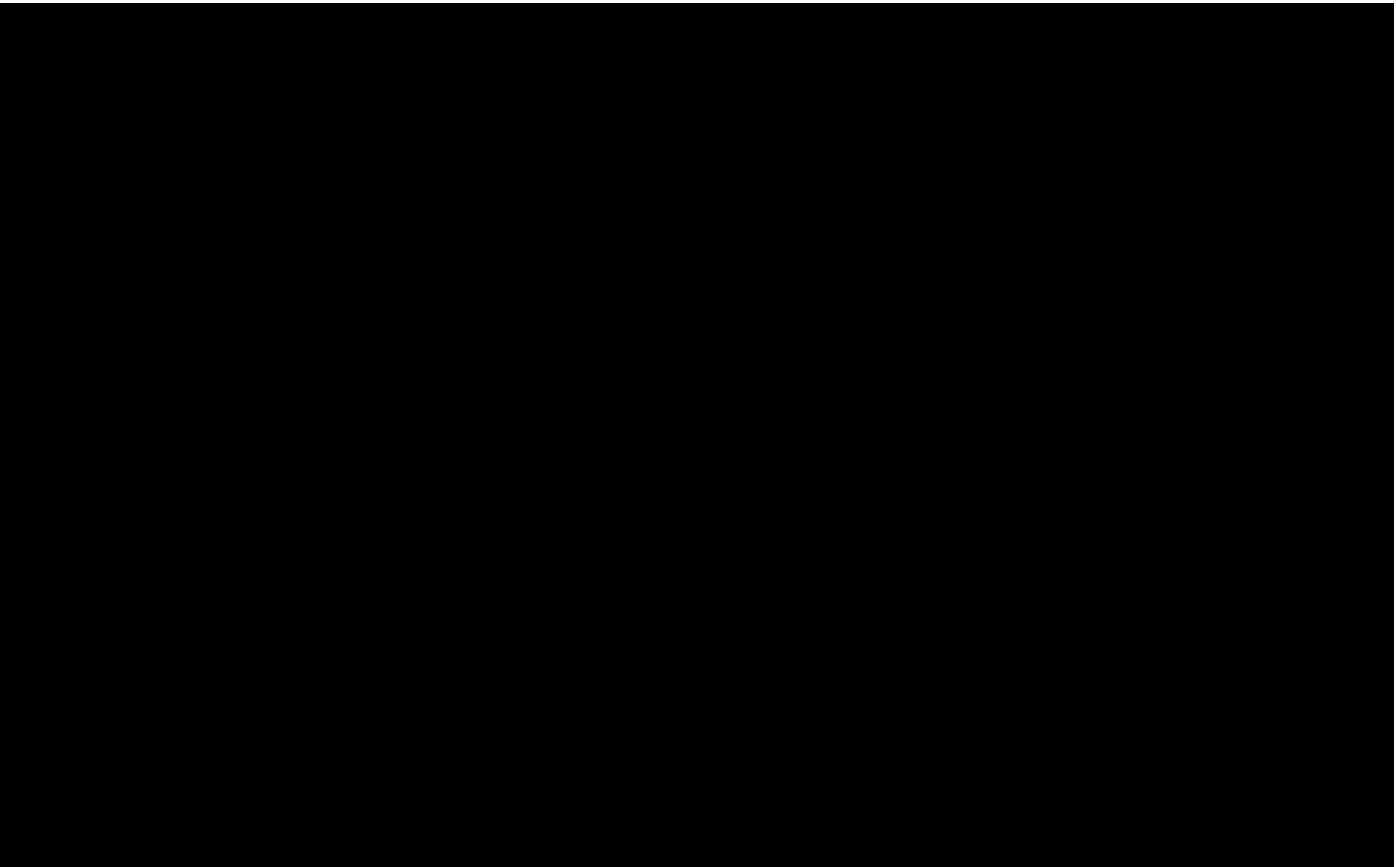
Housing Unit Designs

There are three primary housing unit designs at the McCormick Correctional Institution. All the housing units contain secure cells as dormitory style housing is not available at this facility. All cells are equipped with a bed, toilet and wash basin. The housing unit designs are consistent with nationally recognized practices for a level 3 facility. In total there are six housing units at MCI.

- **General Population Units.** Four of the general population housing units are similar in design. The capacity of each of the housing units is 252. Staff working space is located both inside and outside the living area. Each housing unit contains double occupancy cells located on one of two tiers on each wing. All the cells have a toilet and wash basin and showers are in the common area within the wing. In the front center of the building is a secure sally port which contains staff working space. This area is located directly adjacent to the living areas and to the entrance of the unit. Secure outdoor recreation is also available immediately adjacent to the back of each housing unit. One of the housing units; F2, was temporarily closed during November 2017;
- **Restricted Housing Unit.** The Restricted Housing Unit (RHU) has an operating capacity of (101) and consists of two separate housing areas, referred to as A-Wing and B-Wing. Each wing contains two tiers, surveillance cameras, a small dayroom area, secure cells, recreational space and showers. Some cells have a single entrance door and others have a double door entrance. The cells with a double door have a secure vestibule located between each door. The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support. This unit is designed as a high-security controlled unit. On the date of the site visit one wing was vacant and the remaining wing was being used to house (47) inmates. The RHU also contains (2) safety cells; and
- **Assisted Living Unit.** The Assisted Living Unit is located adjacent to the health care unit. The operating capacity of the unit is (20). There are ten double-occupancy cells located on one single story common hallway. An outdoor passive recreation space is located immediately adjacent to the outside of the unit.

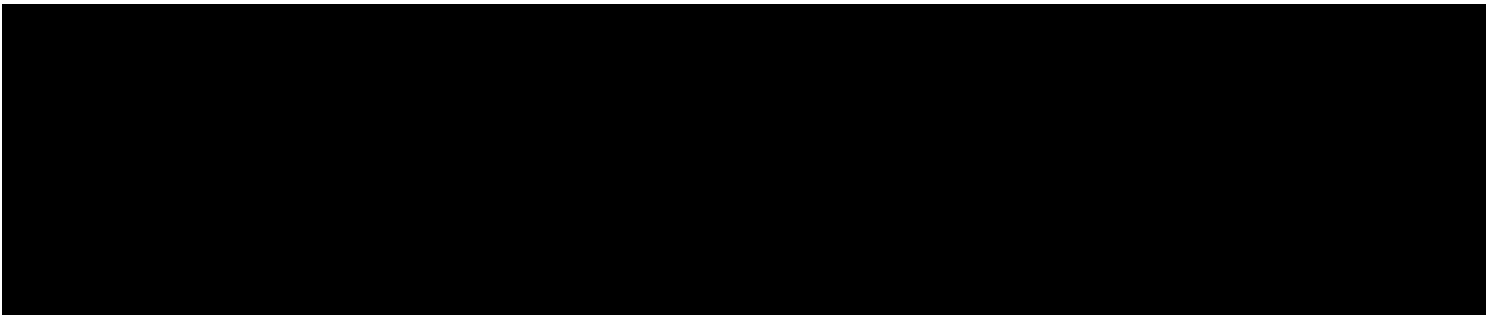
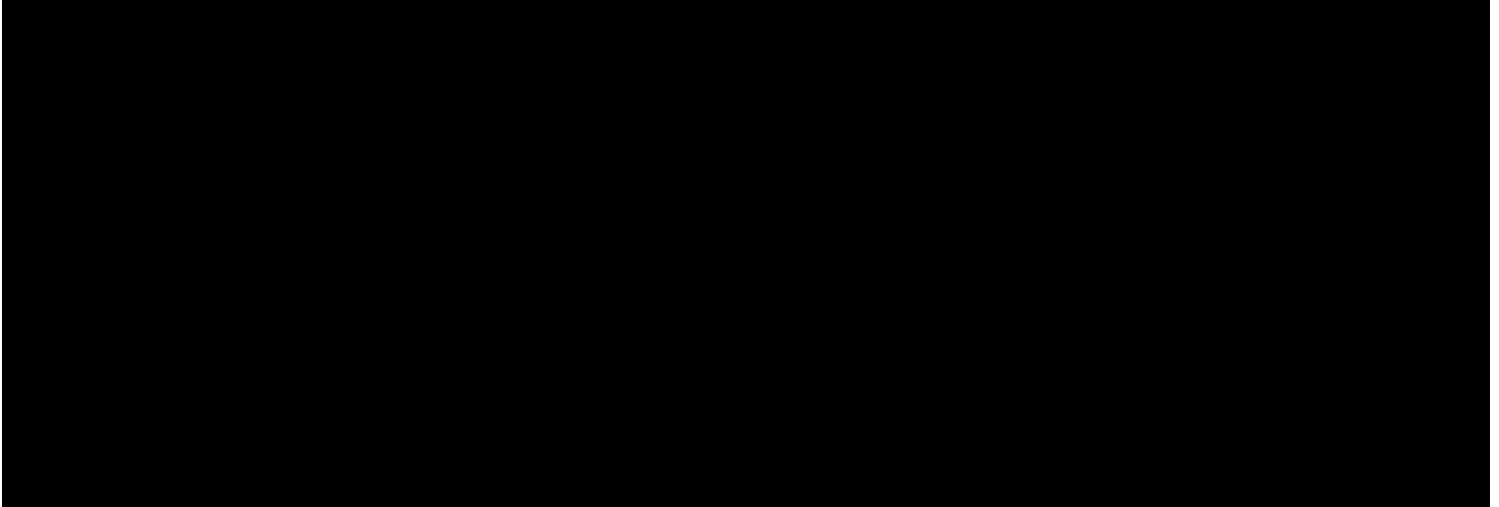
Program Services

In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These program services have been integrated into the daily facility schedule to include the following: ABE/GED, Vocational Education Programs, Religious Services, Character Program, Volunteer Services, Alcohol and Drug Education, Law Library, General Library, Recreation, Horticulture, Second Chance Program, Visitation, Canteen and the Prison Industry Program.



The primary difference in the security staffing levels between each year is in the average number of front-line positions that were filled. A continuous decrease in front-line security (FLS) staffing levels began in mid-2015 and had continued to decline through 2017. FLS staff at MCI in 2015 averaged 98.5 and in 2017 the average was 62.1.

At MCI there were ten security staff on FMLA/Extended Leave status that were unavailable to fill a post assignment on the date of the site visit. The facility averaged 4.2 security staff on extended leave status each month during July through December 1, 2017.



As previously noted, MCI had several occasions in 2017 where fewer than ten staff reported to work for a shift. Facility personnel cited the lack of annual and/or merit increases, alternative employment options, an unsafe reputation and overall work conditions as reasons potential candidates are not genuinely interested in working at MCI.

Operational Initiatives in Response to Staffing Levels

Facility management personnel have deviated from the original staffing plan and implemented several security initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:

- **Required security posts are often filled by staff from other SCDC areas.** McCormick management personnel rely on staff from other SCDC facilities and the *Division of Security* to assist in filling required post assignments. During the on-site visit staff representing several facilities had been detailed to MCI to assist in maintaining minimum operations;
- **Staff initially not scheduled to work fill vacant post assignments at an overtime rate.** The first eleven months of 2016 the average monthly overtime expenditure for security staff was \$33,415 (rounded). In 2017 overtime was \$50,985 (rounded)²⁸. **This represents an average increase of approximately 53% in monthly overtime expenditures during the two reported periods.** A consistent increase in overtime expenditures started to occur in May 2016 and continued throughout calendar year 2016 and into calendar year 2017. Most of the overtime is the result of staff not initially scheduled to work filling vacant required post assignments, providing inmate transports, fewer staff being available, attending required training and filling a post due to late reliefs. An average of (6.7) fewer front-line positions were filled during calendar year 2017 when compared with calendar year 2016;
- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)²⁹. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post;
- **Staff are augmented to leverage existing personnel resources.** Since 89% of the vacancies were in the front-line staff positions, personnel outside those position classifications frequently are required to fill front-line staff post assignments. Based on a review of daily shift assignment rosters sergeants, lieutenants, captains, counselors and unit managers are routinely used to meet front-line post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;

²⁸ SCDC RIM

²⁹ SCDC Policy OP.22.24 Post Orders.

- **Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** The first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 81³⁰ days due to staff shortages. This resulted in limited access for the inmate population to programs and services during those days;
- **Out of cell recreation is not consistently being offered in RHU.** Based on staff interviews and a review of available documentation inmates assigned to the Restricted Housing Unit do not consistently receive access to recreation outside their cell at a frequency consistent with policy;
- **Close a Housing Unit.** One 252-bed housing unit was temporarily closed in November 2017;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures;
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through October 2017, reflect all recognized post assignments in the housing units, interior gates, Restricted Housing Unit Wing Officers, transportation, cafeteria and yard are not routinely being filled;
- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as, the yard, medical and housing units; and
- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts do not receive a recognized break from their post assignment. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does.

³⁰ SCDC Operations. Lockdown Statistics.

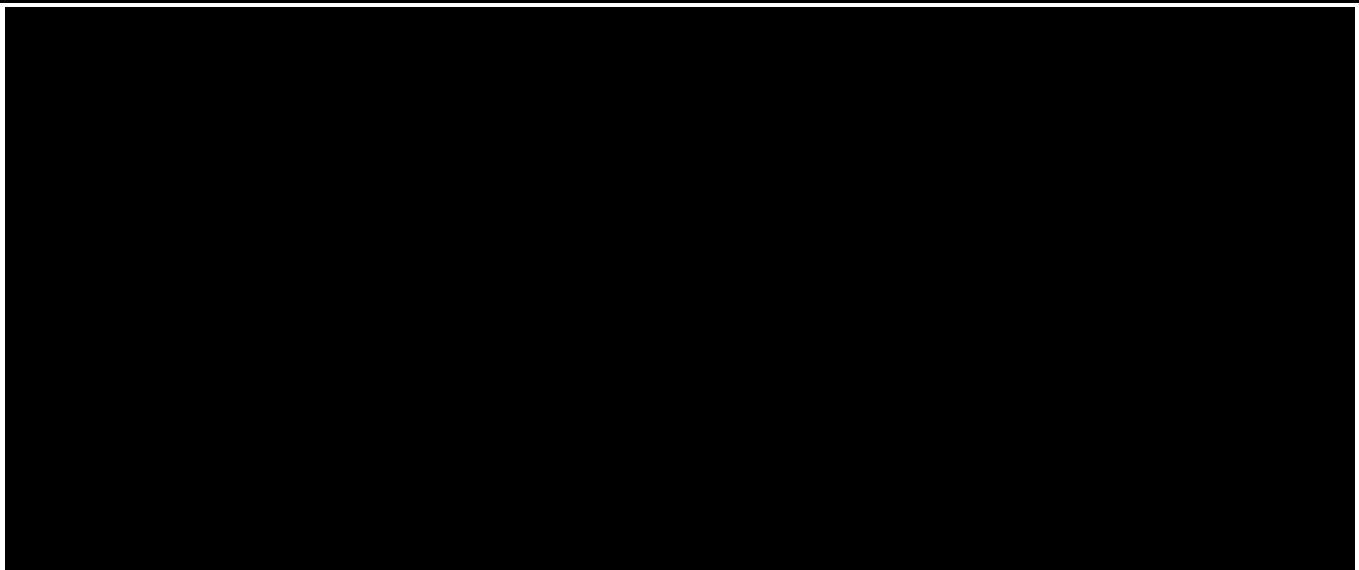
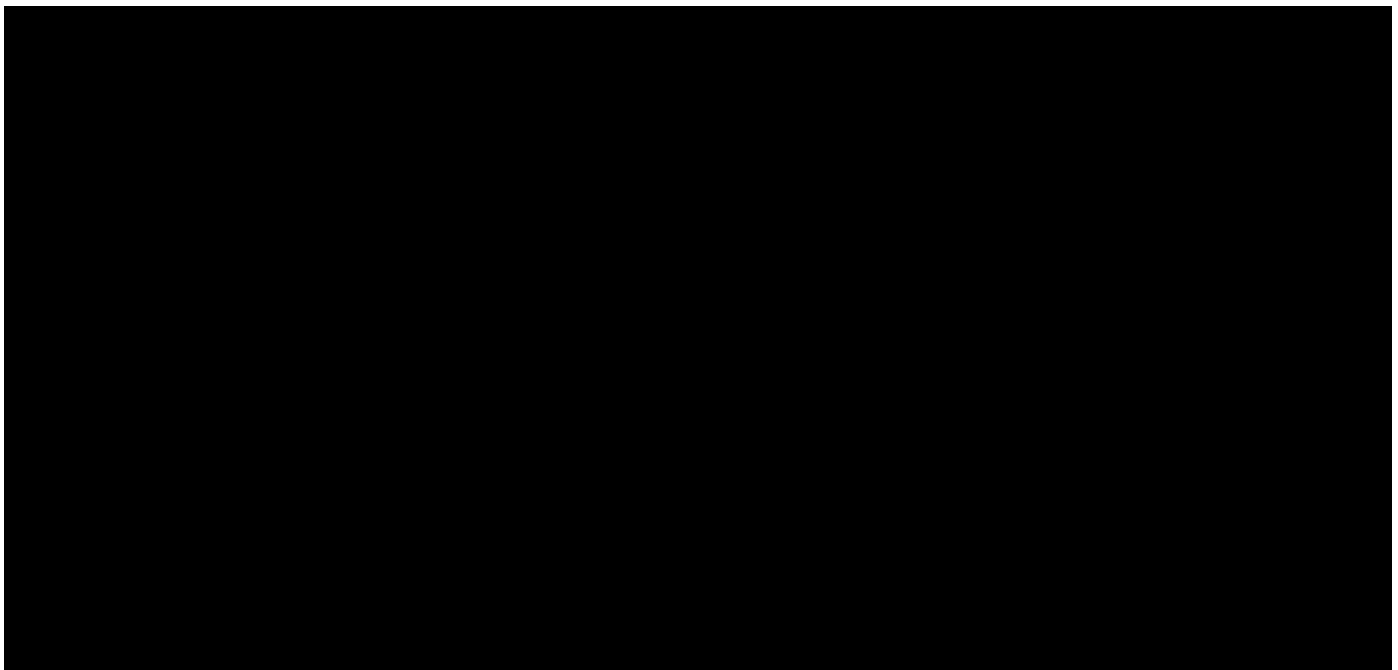
SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift.

Demonstrated Risk Factors



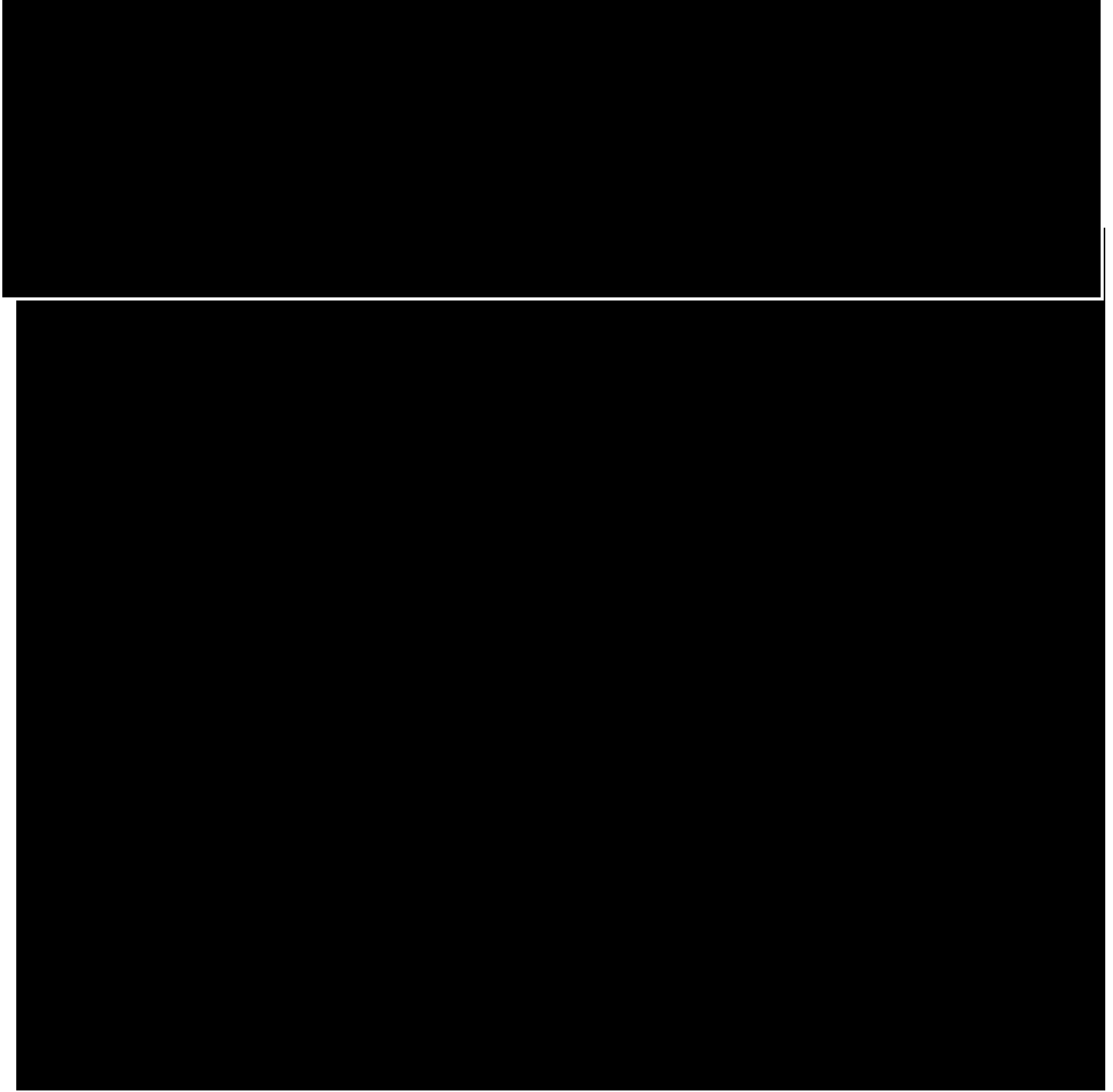
One of the keys to an effective contraband prevention and detection plan is to recognize there is often an extreme amount of pressure placed on staff, especially inexperienced staff to be involved in contraband trafficking. It is often initially presented as a harmless venture that can often lead to intimidation, violence and a risk to the public, staff and inmates.

The established plan needs to consider available resources and be developed as a facility-wide goal. Part of the plan should ensure fundamental practices including searches, patrol, detection and intelligence gathering are consistently incorporated into daily workload activities by all staff, not just those assigned to contraband control. Once an employee becomes responsible for more than one post assignment at a time, their ability to carry out all the necessary functions diminishes. It becomes extremely difficult based on the overall workload to conduct a thorough search of an individual, cell or area when the officer is the only security staff member on a wing or to the yard. It takes time, skill and concentration to conduct a proper search. At MCI security staff are routinely responsible for more than one post assignment. The department has recognized the impact contraband has on institutional operations.



Key Positions

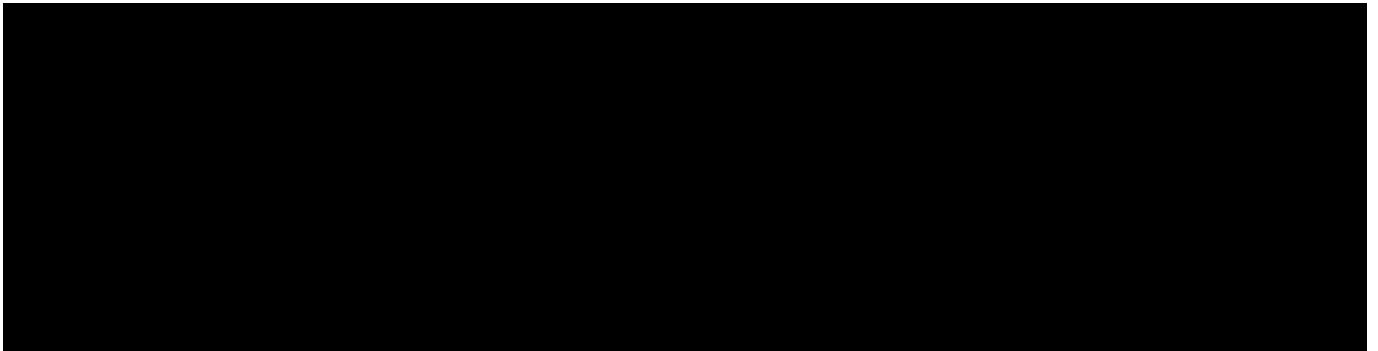
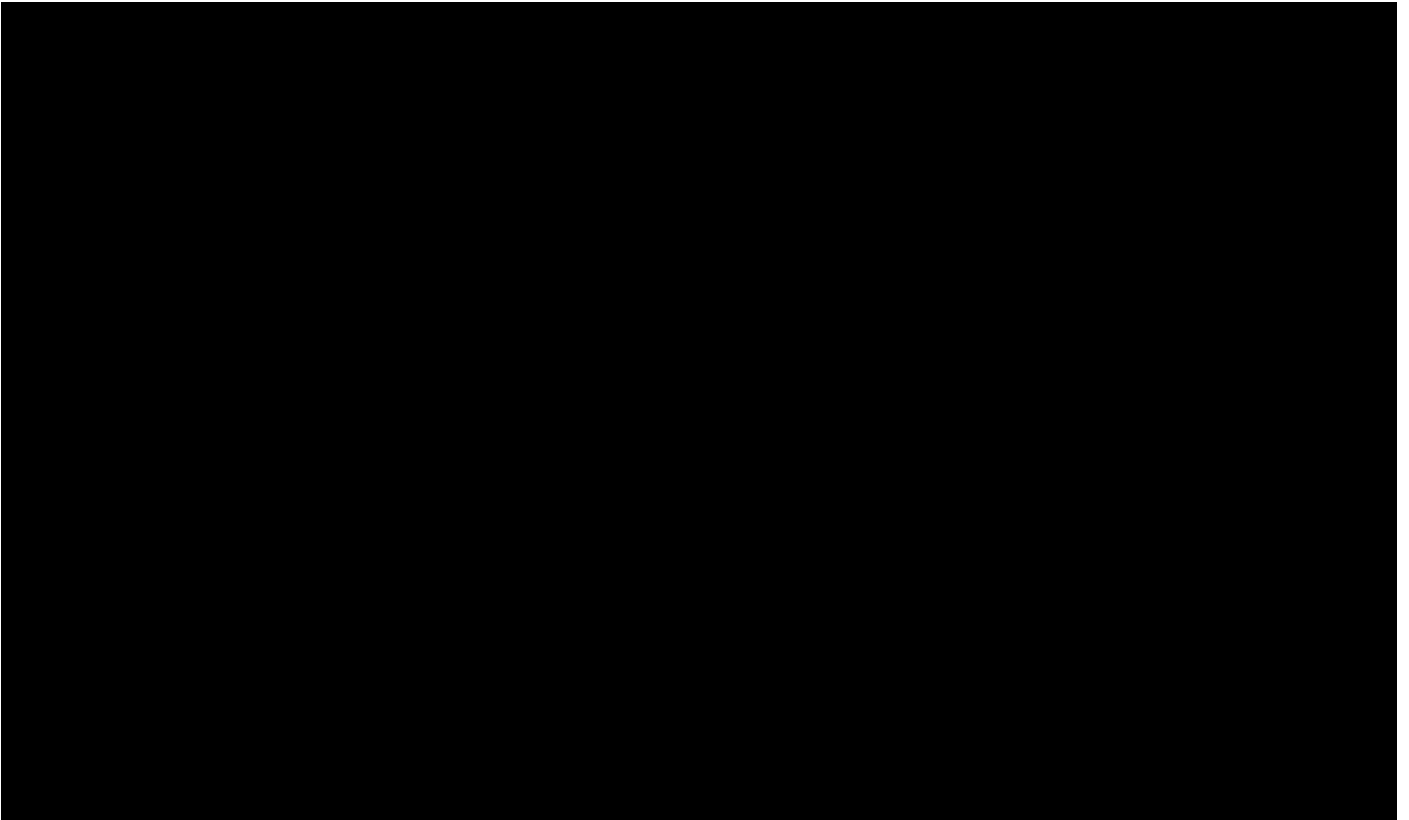
Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). The Associate Warden of Operations was on extended leave status on the date of the on-site review. The Warden was initially debriefed and interviewed at the start of the on-site assessment and was available throughout the day to discuss facility operations and to clarify pertinent staffing-related questions. Since the date of the on-site assessment the warden had been transferred and follow-up communication was made via telephone with the Associate Warden of Programs.

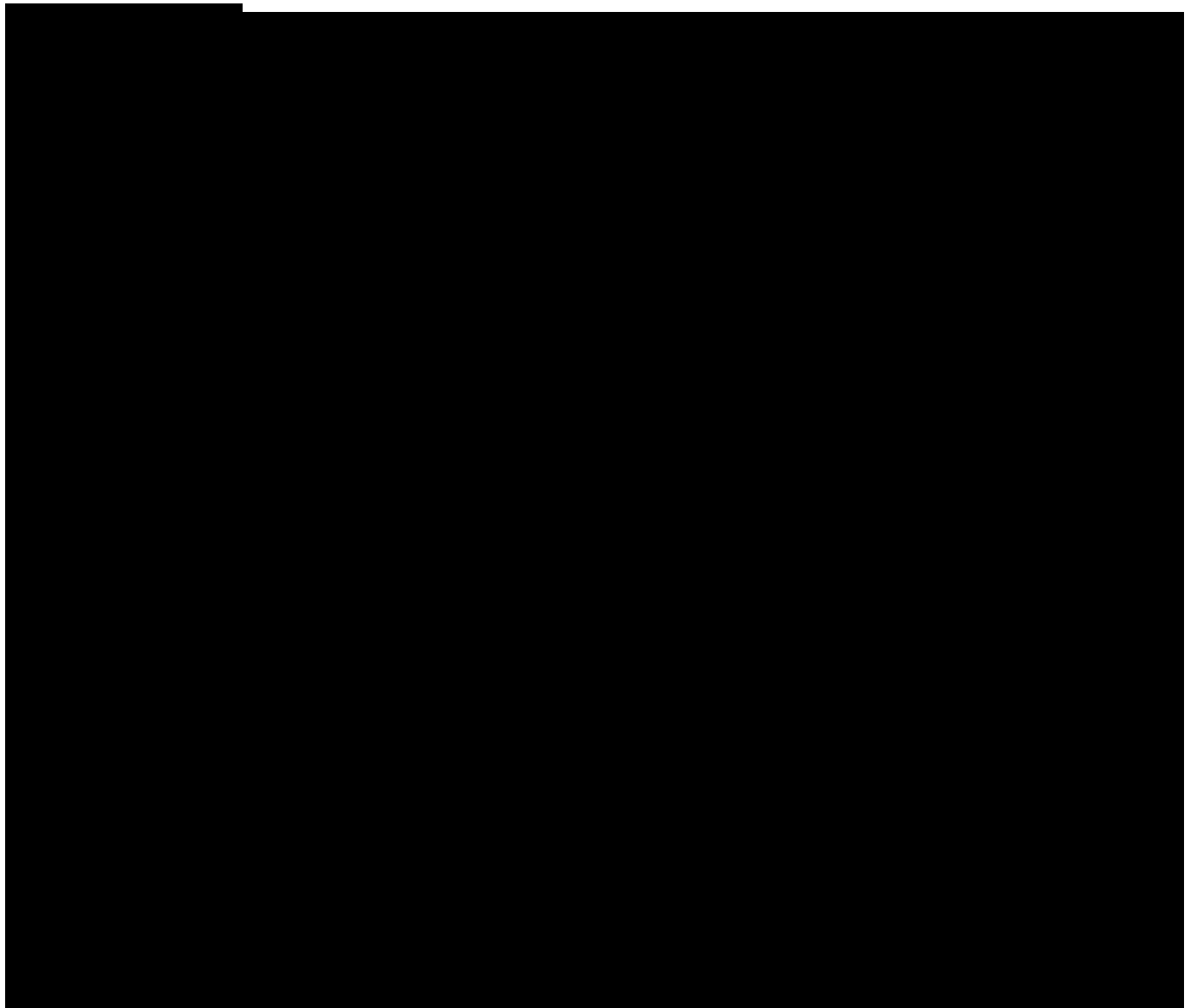


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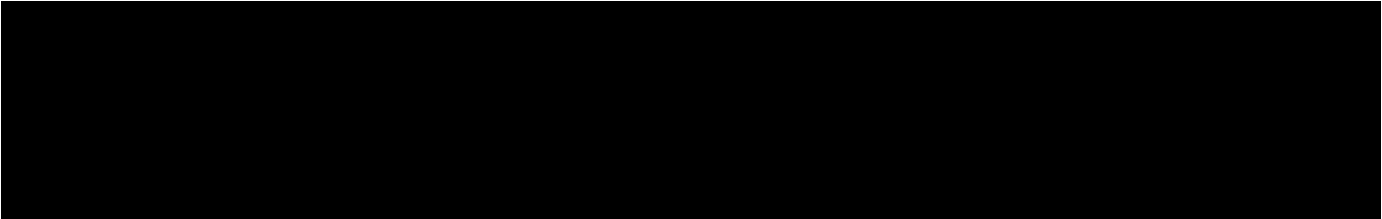
Daily Shift Roster. In addition to the master shift assignment roster daily shift rosters are also maintained for the 12-hour shifts that identify in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability.

Based on a review of sample daily post assignment rosters there is no consistent reference to staff scheduled as working overtime, responders, post classifications or a recapitulation table to identify how all scheduled staff were utilized. In reviewing the daily shift roster, it is extremely difficult to identify whether all staff assigned to the shift are scheduled and where they are assigned.

The *C-Card* maintains an automated daily shift roster that identifies the name of the employee, gender, employee number, where they are assigned and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed. As a result, there is no reference to post classification levels or a recapitulation table provided for the *C-Card* shift.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first. The approved Post Chart identified several post assignments as mandatory.

In reviewing sample daily shift rosters and interviewing staff at the facility it appeared all the mandatory posts identified in the *Division of Security* post chart were not consistently being filled. The discrepancy between operational practice and recommended mandatory posts was widespread and not a reflection of just one or two posts.

- 
- Housing Units (9); and
 - Restricted Housing Unit Wing Officer (4/3).

The housing units routinely had fewer than nine front-line staff and the restricted housing unit normally had fewer than four wing officers on the day shift and three on the evening shift.

The operating practice reflected that when supervisory personnel were present they were performing both supervisory functions as well as front-line responsibilities. When supervisory staff were not present front-line staff were responsible for their post as well as an additional front-line post.

At McCormick the basic elements of a roster management system are in place, except for having an appropriate number of security personnel. A post analyses has been completed, master shift assignment rosters have been developed and daily shift rosters are completed on the main shifts. The primary concerns identified are there are not enough security personnel to meet existing workload responsibilities without relying on staff from other facilities, staff working outside their position classification or staff working extra hours.

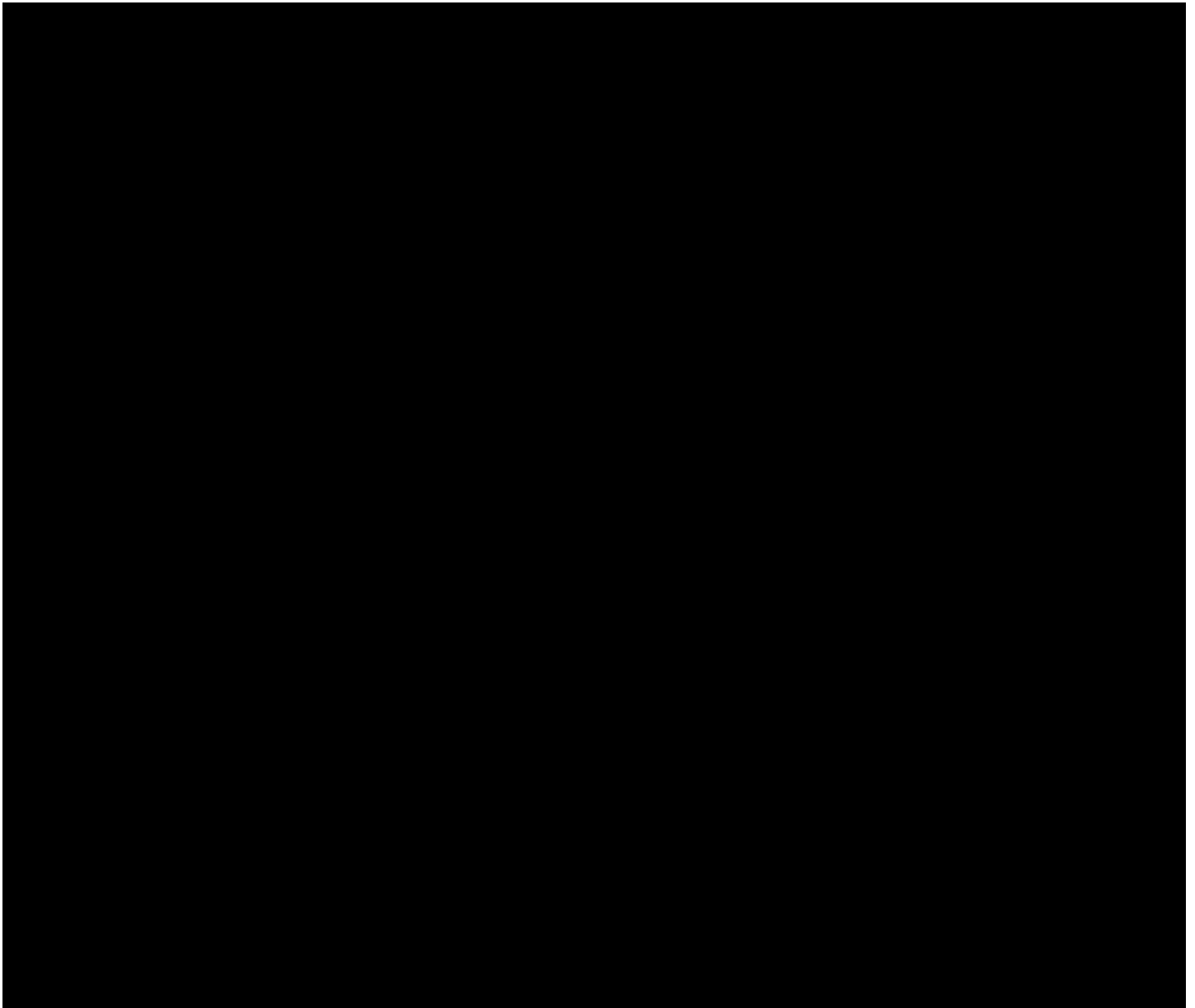
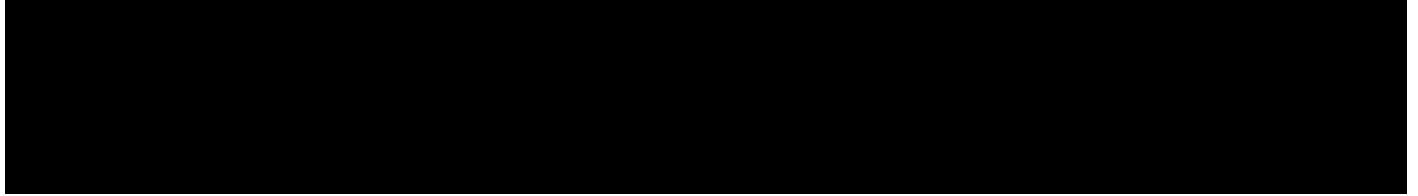
The second concern is in the completeness and accuracy of daily shift rosters. The daily rosters should be considered potential legal documents that identify how all staff scheduled are utilized. When properly applied, roster management systems can consistently identify how staff are utilized and potential deficiencies.

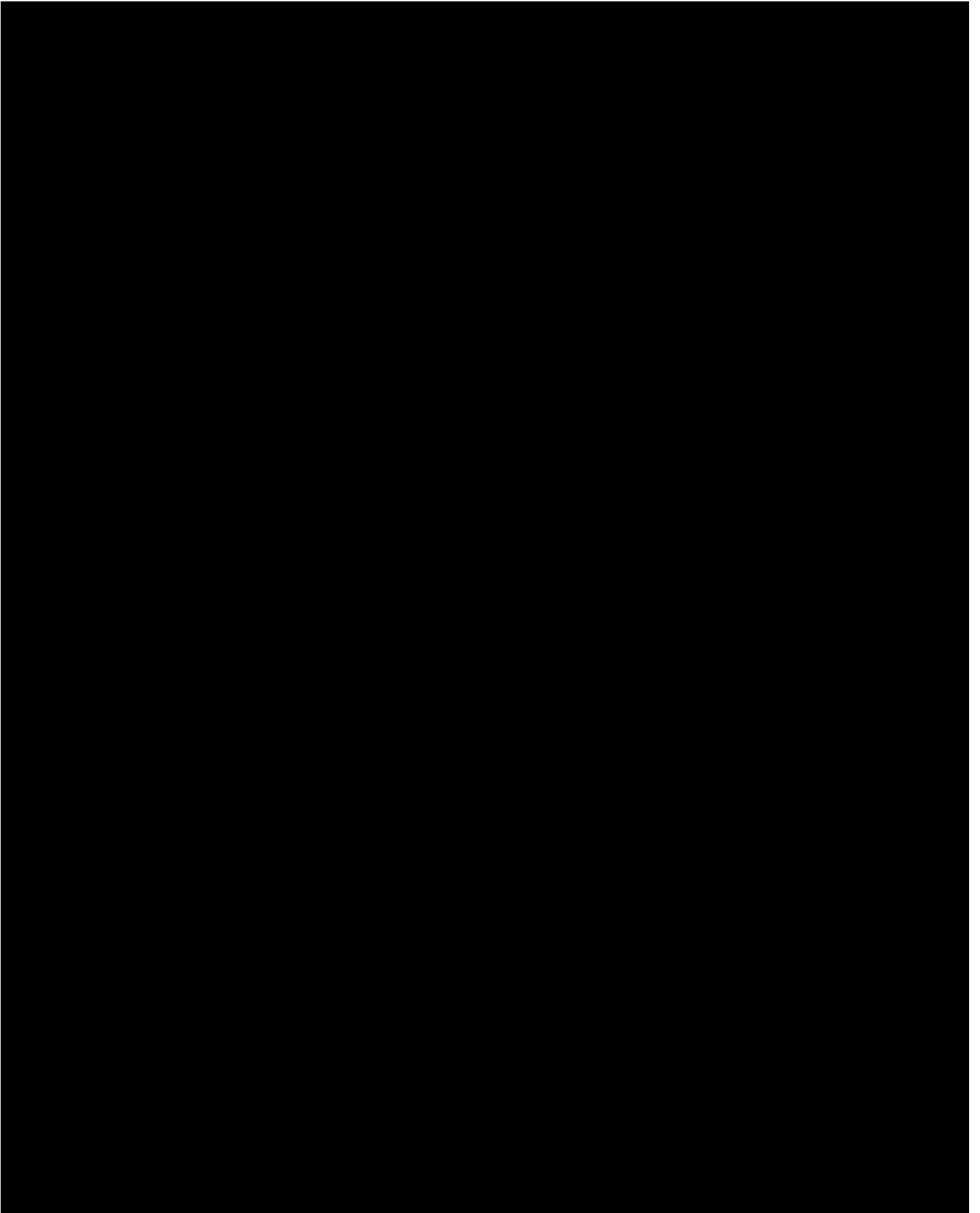
Additional concerns with the roster system include the following:

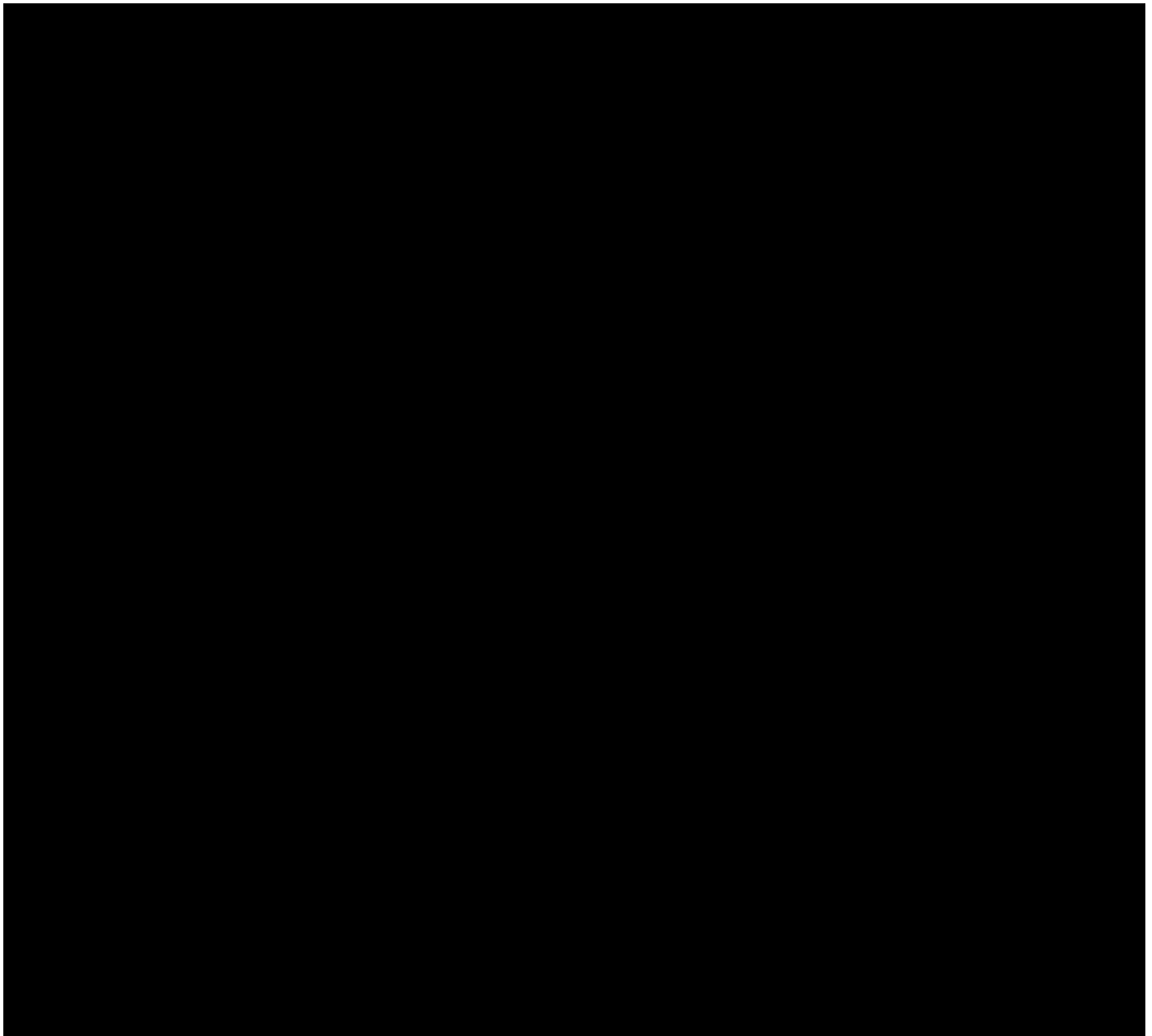
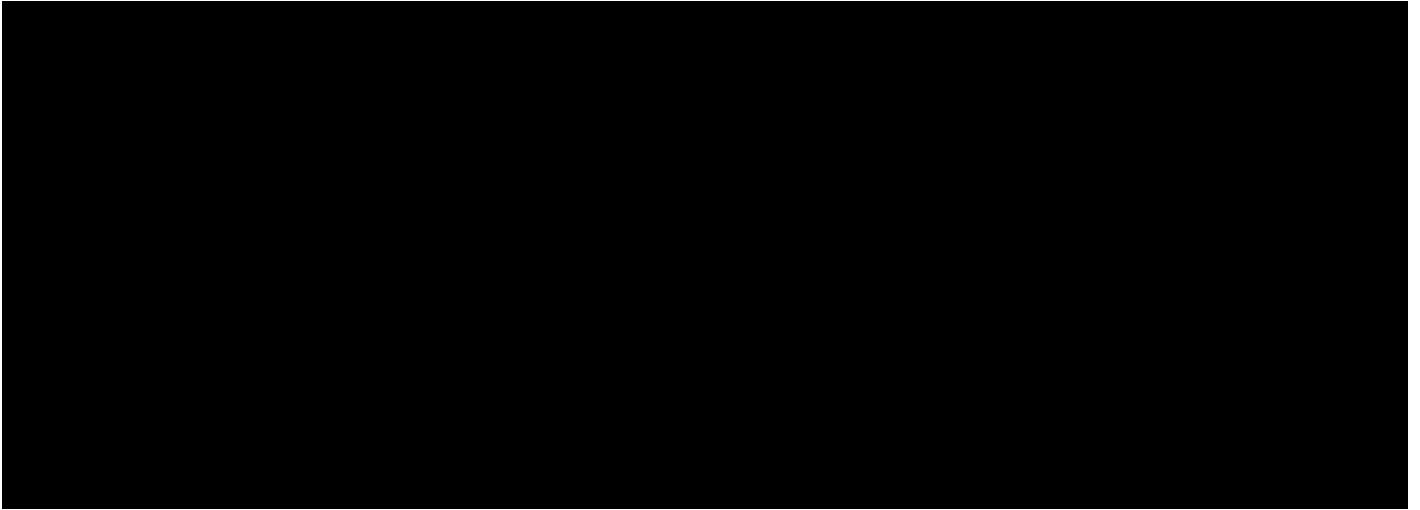
- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected that established minimum staffing levels were not being met on a consistent basis. Monthly in-house reviews should be completed to determine the effectiveness of the system and to confirm or re-establish minimum staffing levels; and

- The daily shift roster templates should be standardized to reflect how **all staff** assigned to the shift are utilized. The daily roster should incorporate a recapitulation table and identify the name and number of staff assigned by position to the shift, the approved post assignments, the post classification, leave-time, post closures and who is assigned to each post. Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster.

Staffing Recommendations

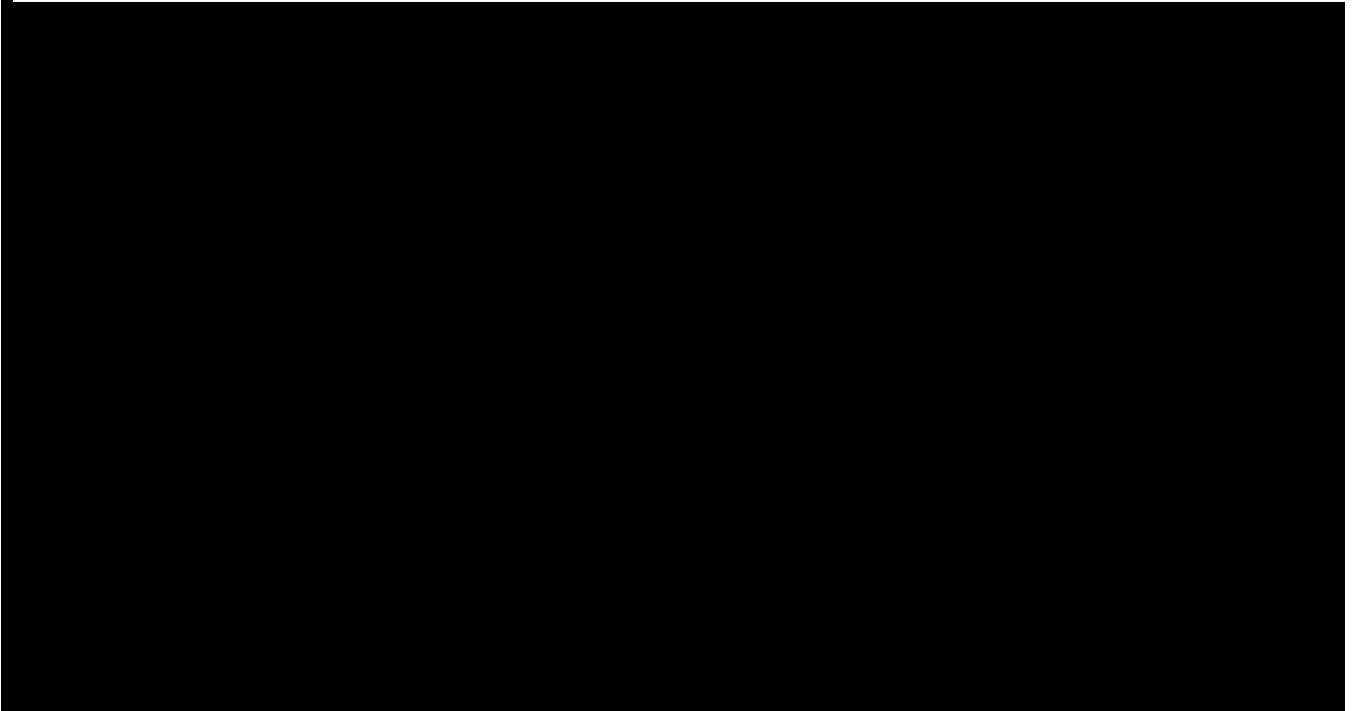


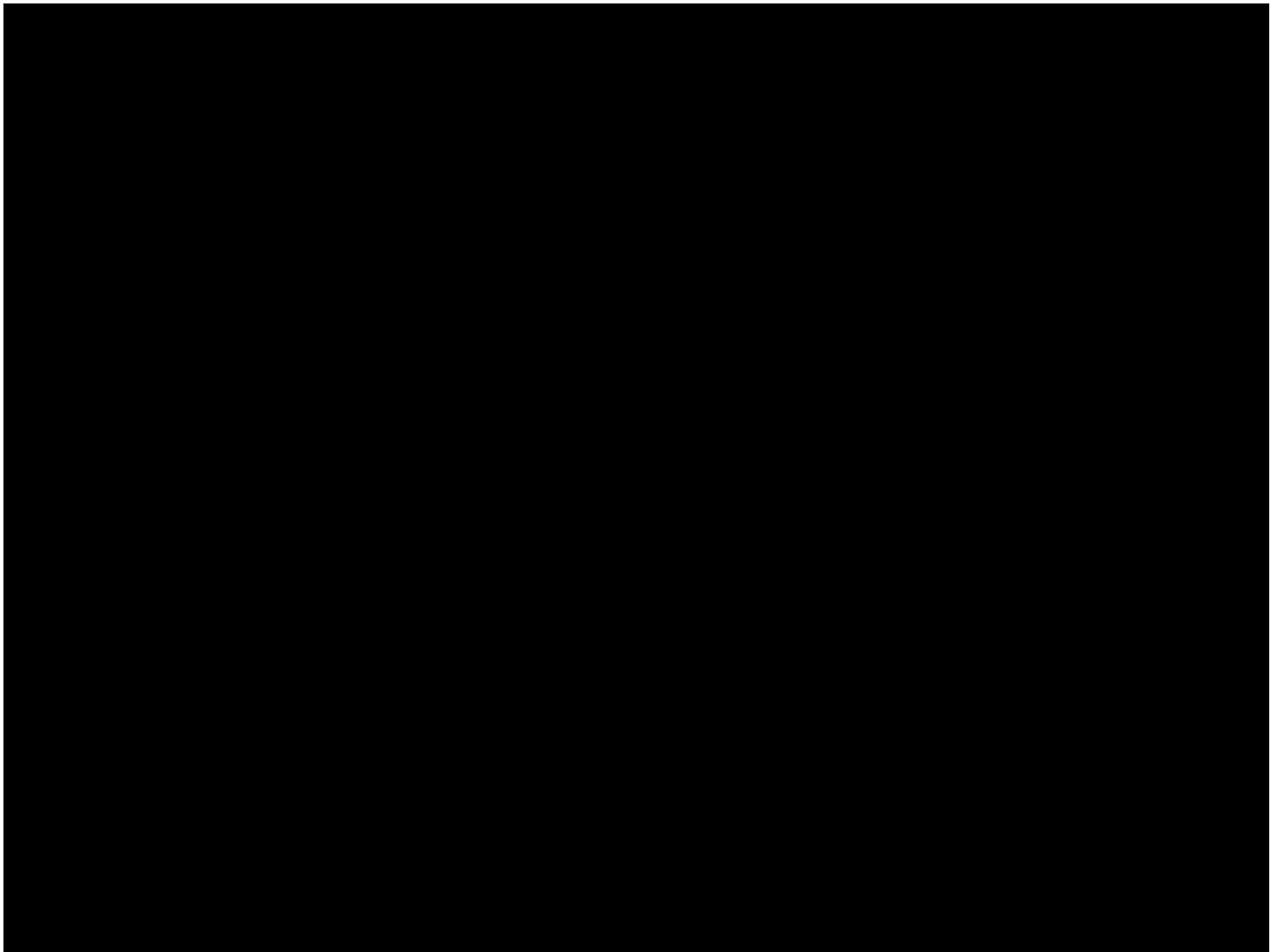






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Perry Correctional Institution

The Perry Correctional Institution (PCI) is a state operated level 3 facility located approximately 80 miles northwest of Columbia in the town of Pelzer, South Carolina. The facility was opened in 1981 and serves as one of South Carolina's adult male maximum-security correctional facilities. The current capacity at Perry is reported as 954 and the average daily population during the first nine months of 2017 was 844. One of the four Restricted Housing Units at the facility was closed during the review period resulting in a reduction in the operational capacity of the facility.

While most of Perry's inmate population is considered maximum custody a small percentage of inmates (approximately 10 percent) are classified as level 2 (medium) or lower. At the time of the review approximately 32% of the population was on a mental health caseload.

In addition to providing housing and services for the general population, PCI also provides housing and services for special programs including the Restricted Housing Units and an Assisted Living Unit. At PCI, there are four Restricted Housing Units (RHUs) one of which was closed during the reporting period. Each of the RHUs has a capacity to house 48 inmates. The Restricted Housing Units are available to house inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed separately from inmates assigned to the general population. The Assisted Living Unit is a residential housing unit for inmates with confining medical conditions.

The physical plant at Perry was built as a maximum-security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, an armed perimeter patrol, high-mask lighting, vehicle access gate, two elevated security towers, sensors and an alarm detection system.



Inside the perimeter of the facility are a variety of buildings and open space provided to help meet existing responsibilities. The physical plant contains the following: Front Gate/Vehicle Access Gate; Lobby; Administration Building; Main Control; Personal Property; Visitation Area; Operations; Programs Building; Mental Health; Security Control; Education; Canteen; Horticulture; Grounds Maintenance; Plant Maintenance; Open Yard; Prison Industries; Multi-purpose; Cafeteria; Medical; Transport and Reception; Assisted Living Housing; Restricted Housing and General Population Housing. Expansive internal movement control fencing, gates and security surveillance cameras are available throughout the interior of the facility. Food Services are normally provided to the general population inmates in the main cafeteria.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

Housing Unit Designs

There are three housing unit designs at the Perry Correctional Institution. All the housing units contain secure cells as dormitory style housing is not available at this maximum-security facility. The housing unit designs are consistent with nationally recognized practices for a level 3 facility. In total there are nine housing areas, eight of which were being used.

- **General Population Units.** Four of the units are designed as **direct supervision** units and were being used to house a variety of general population inmates. Officer work stations are located both within the living area as well as immediately adjacent to the inmate living space in a secure control center. Visibility into each wing can be accomplished through the control room. Each unit contains two wings and secure cells located on both the ground floor and mezzanine level. All cells in each unit have a toilet and wash basin. In addition to dayroom space, ("the rock"), an open officer work station, showers, program space and passive recreational opportunities are available on each wing. The capacity of each of the four double occupancy housing units is (192);
- **Assisted Living Unit.** The Assisted Living Unit consists of secure cells located on one hallway, adjacent to the health care unit. The unit has an operating capacity of (20) and provides dayroom space, telephone access and showers within the unit and an outdoor passive recreation area; and
- **Restricted Housing Units.** PCI has four similar designed Restricted Housing Units in which three were open. Each unit has a centrally located secure control center surrounded by three single story housing wings. The total capacity of each unit is (48). Showers are located on the wing and each cell contains a toilet, bed and wash basin. Outdoor recreation space is located immediately outside the unit adjacent to the building. A total of six safety cells were available in one of the units.

Program Services

A wide variety of program services are available and integrated into the daily facility schedule. Primary programming includes ABE/GED, Vocational Education, Religious Services, Anger Management, Character-Based Programs, Beekeeping Program, Horticulture, Volunteer Services, Alcohol and Drug Education, Law Library, General Library, Recreation, Visitation, Canteen and the Prison Industry Program.

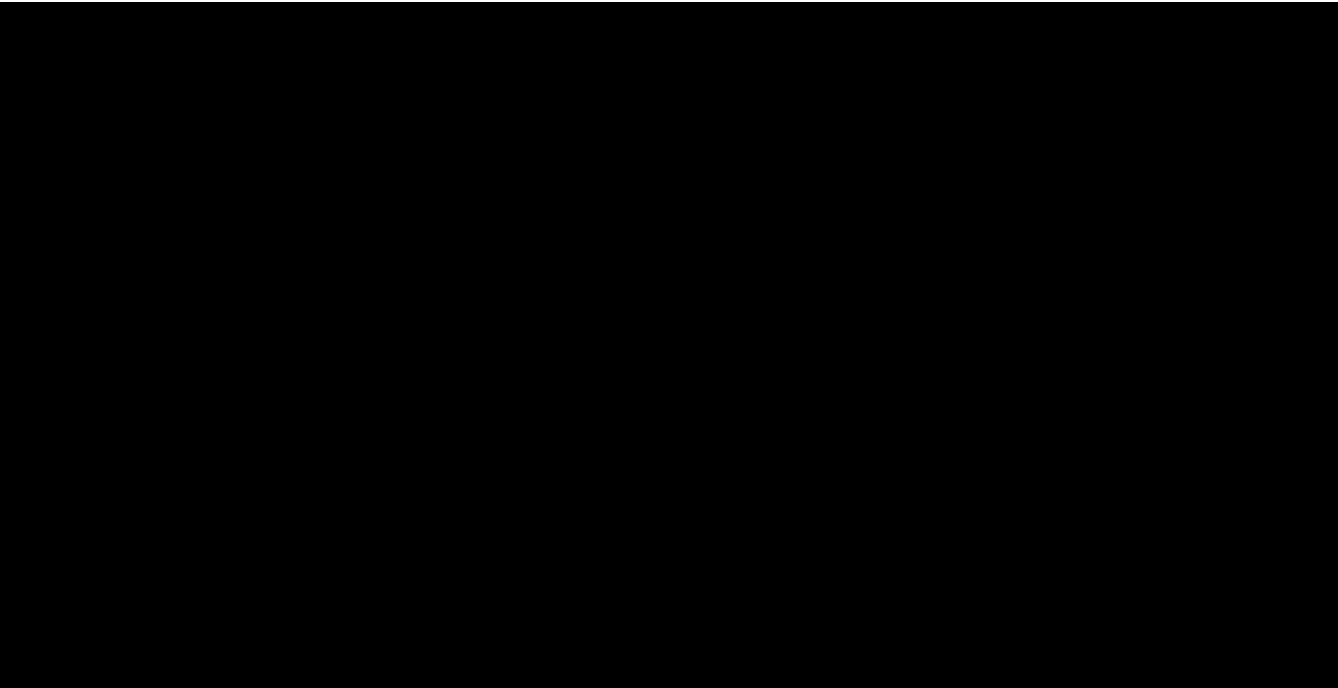
Security Staffing Profile

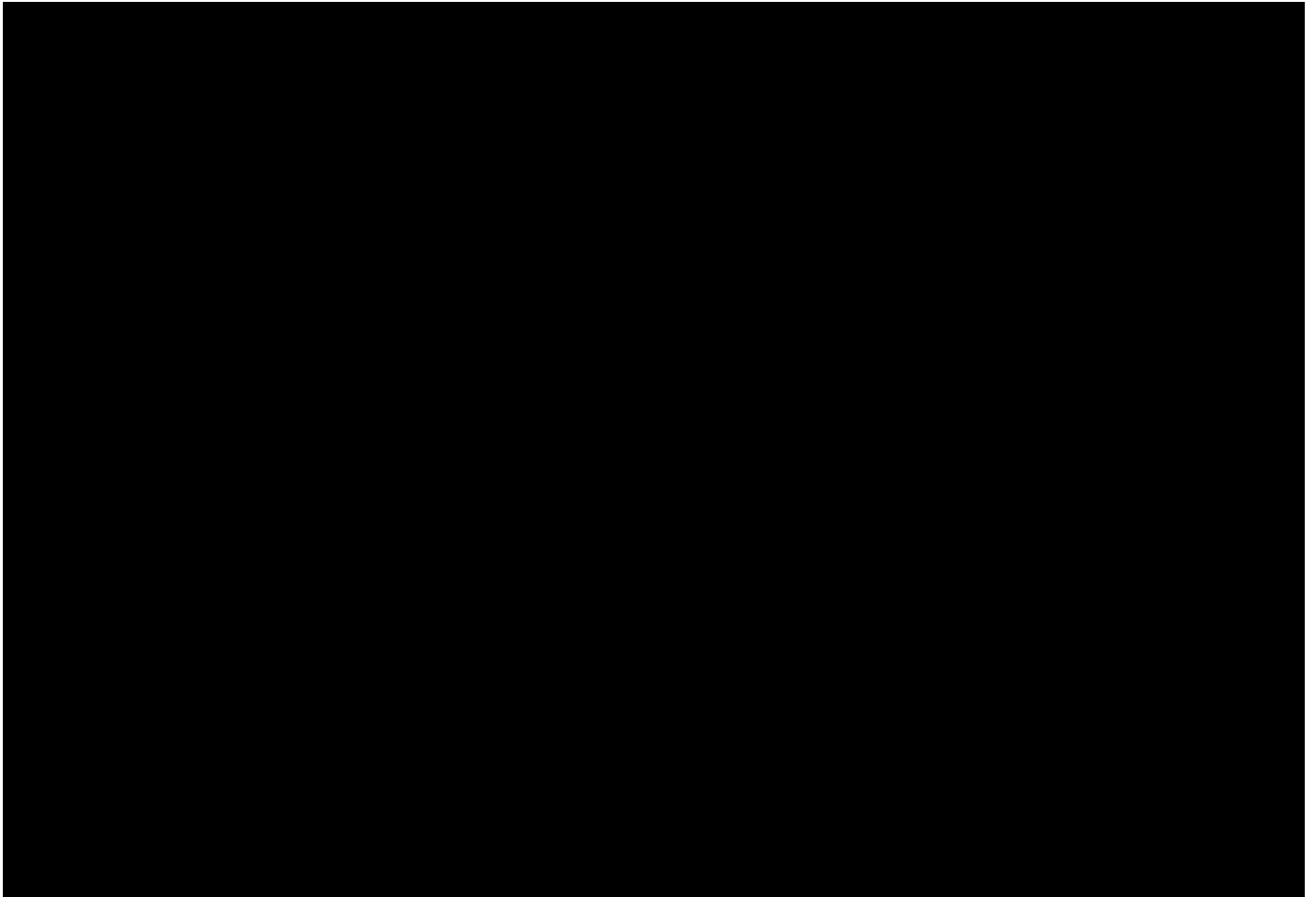
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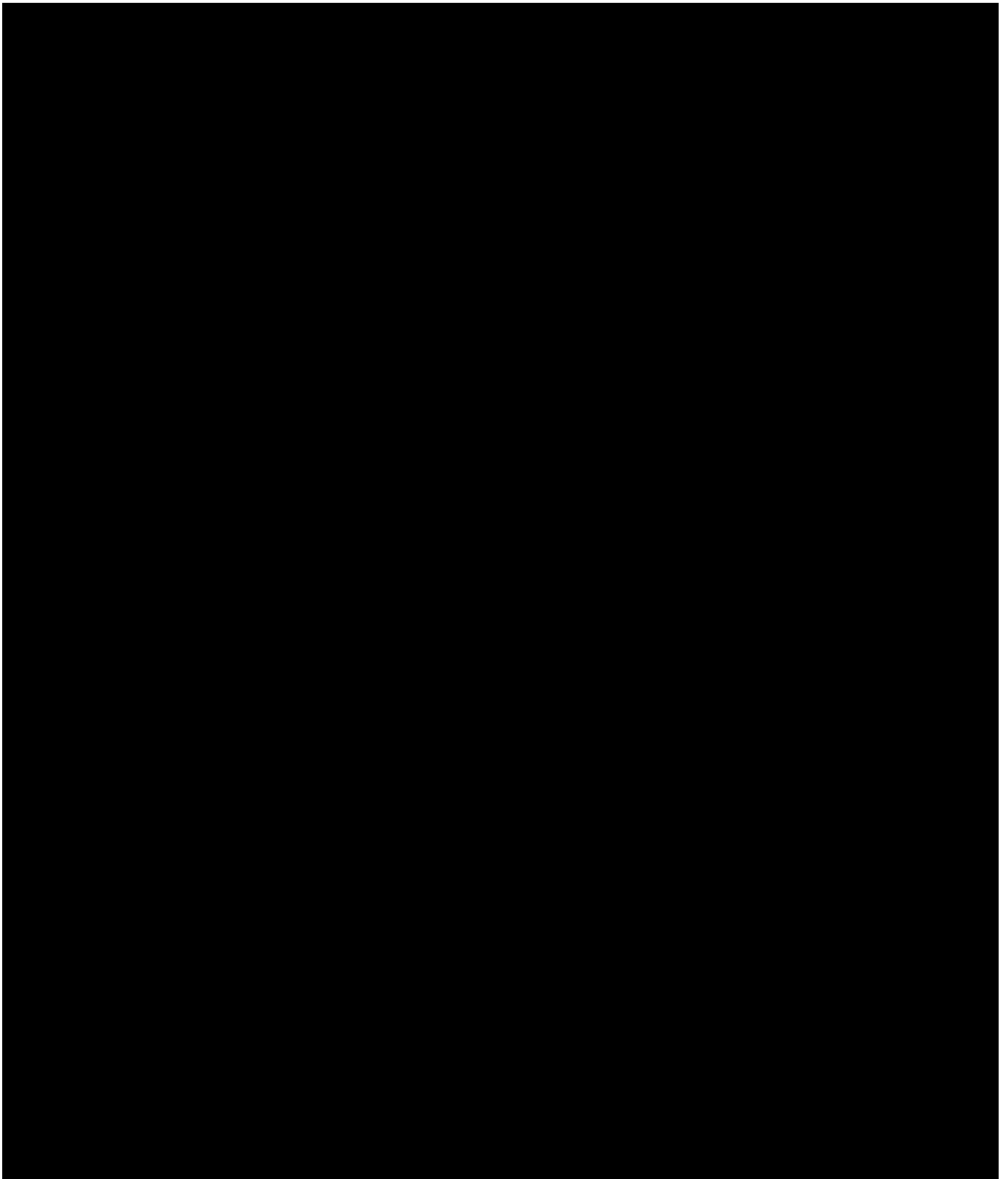
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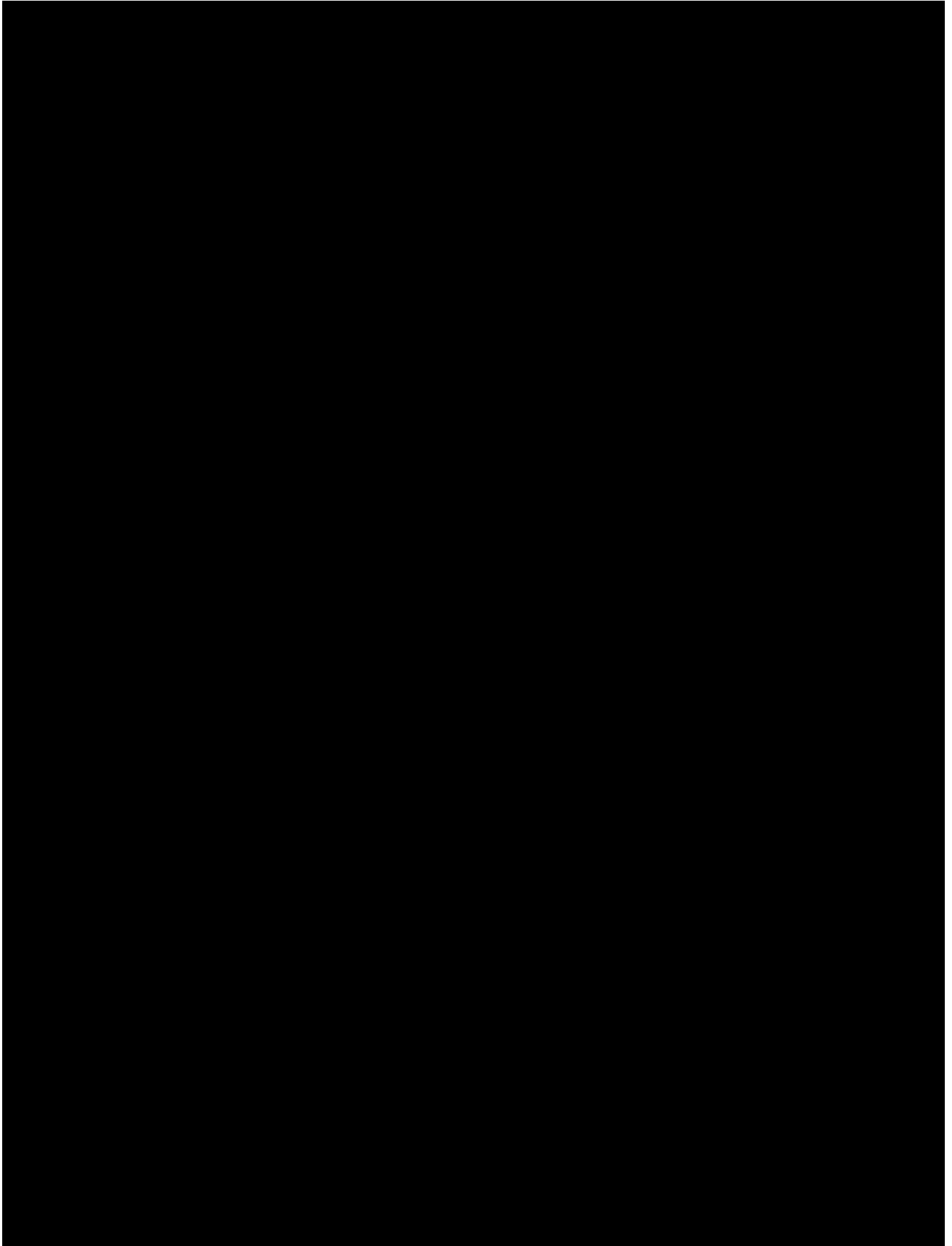


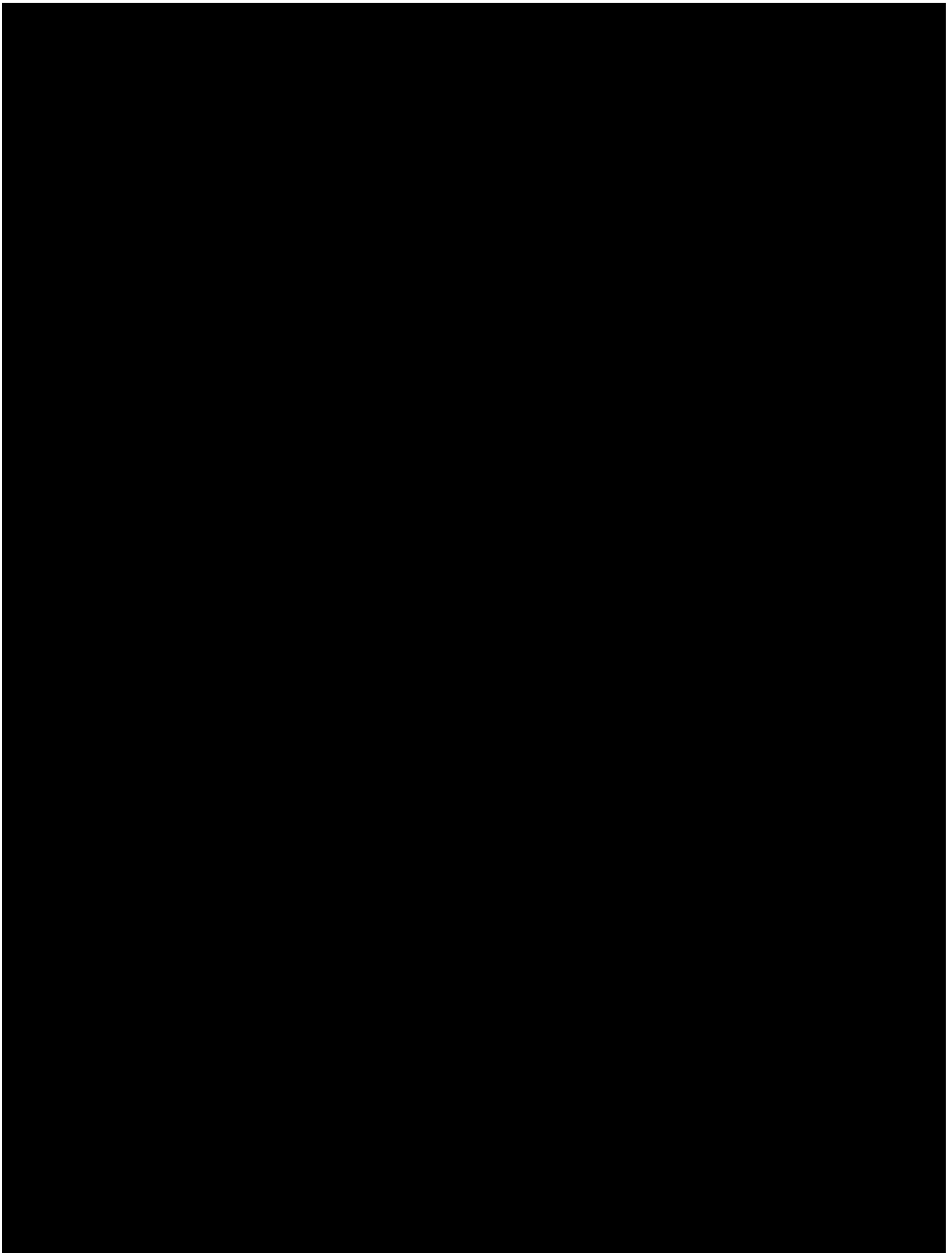




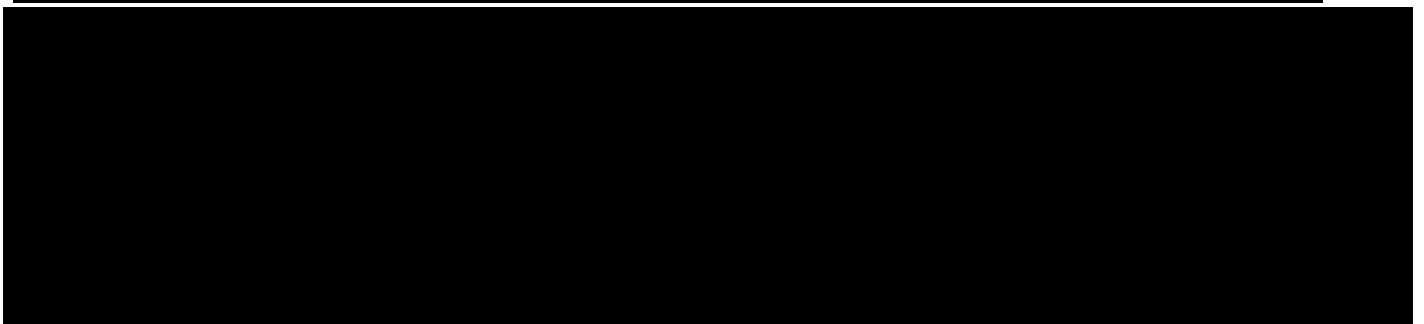
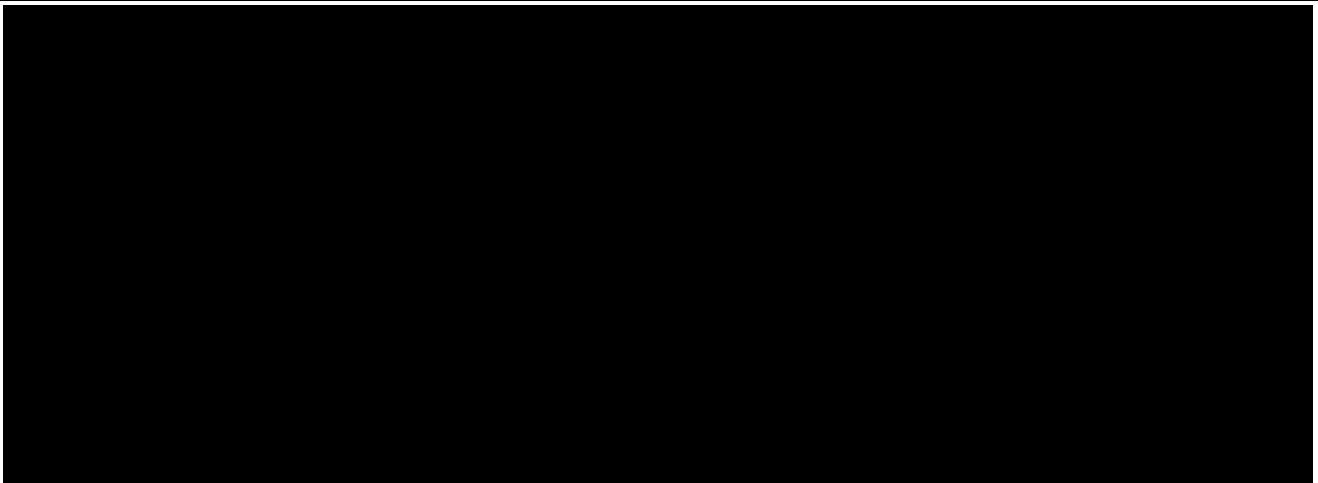
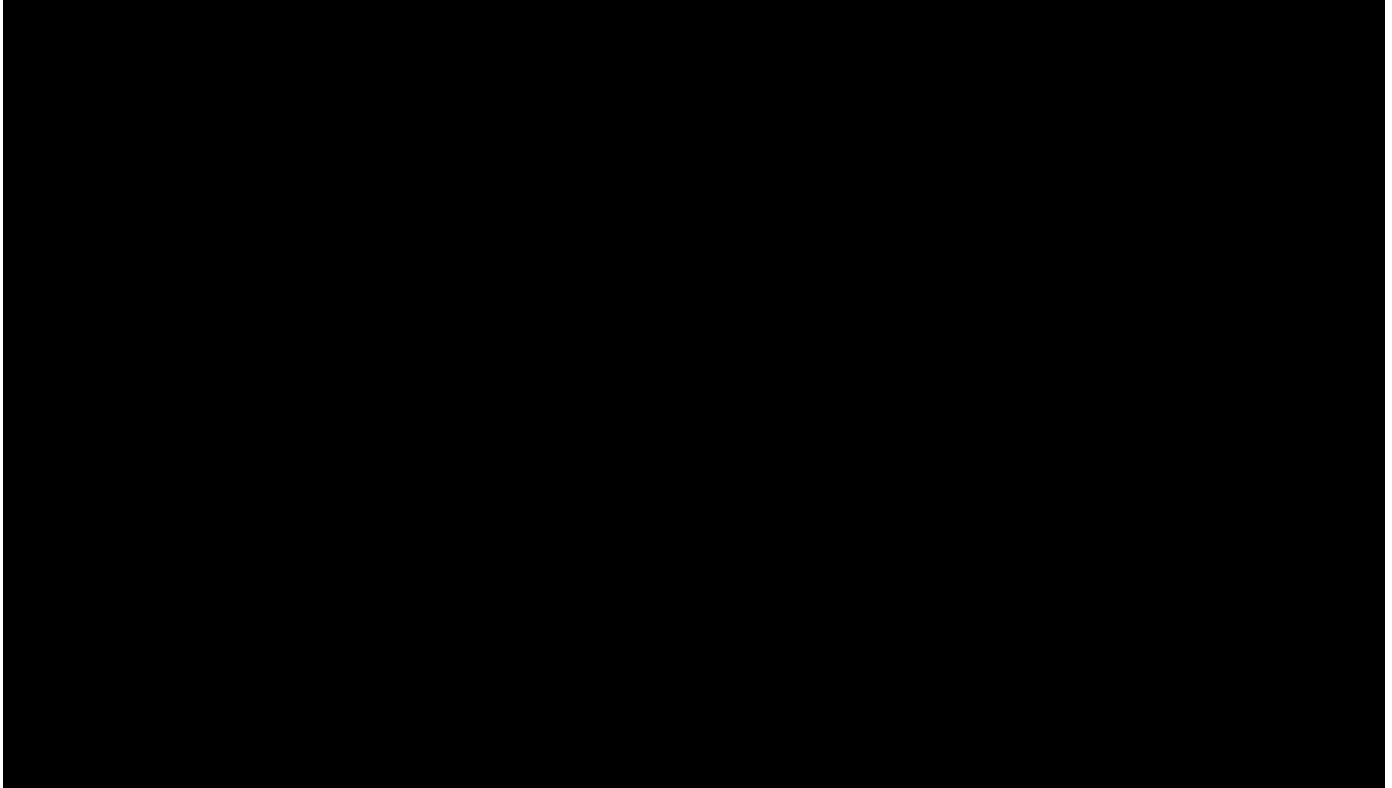
³² SCDC Operations. Lockdown Statistics.

³³ SCDC Policy OP-22.8 Restrictive Housing Unit, 14.





Once an employee becomes responsible for more than one post assignment at a time their ability to carry out all the necessary functions diminishes. It becomes extremely difficult based on the overall workload to conduct a thorough search of an individual, cell or area when the officer is the only security staff member on a wing or on the yard. It takes time, skill and focus to conduct a proper search. At Perry security staff are routinely responsible for more than one post assignment at a time.



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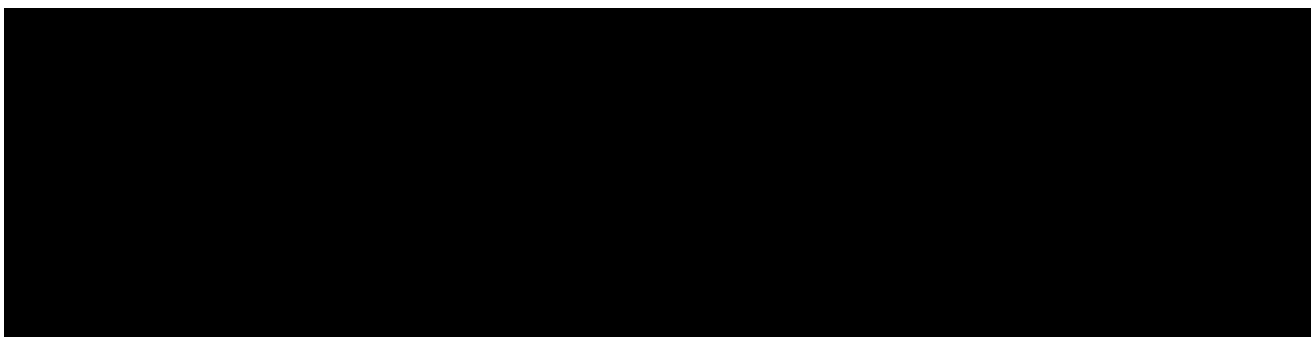
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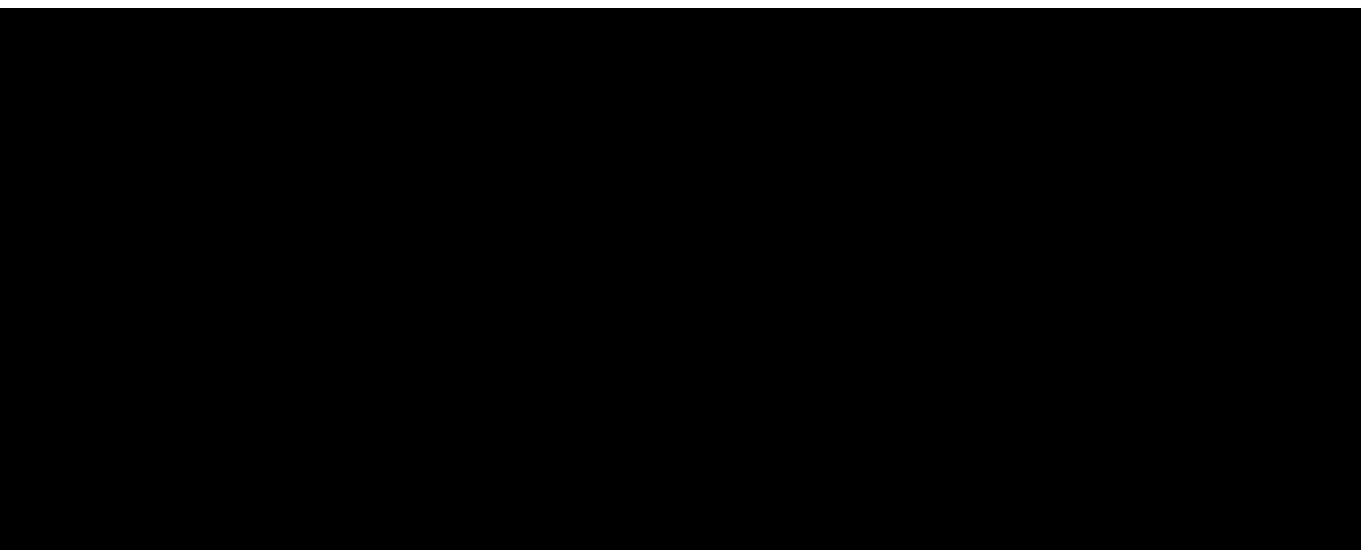
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Shift Assignments. A master shift assignment roster for security personnel has been developed by facility personnel that identifies the following: the names of staff assigned to each shift, their position classification, leave status, *C-Card* post assignments, names of “new hires” and their corresponding orientation/basic training dates and the number of potential staff considered “committed”.



Daily Shift Roster. In addition to the master shift assignment roster, daily shift rosters are also maintained for the 12-hour shifts that identify in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provides a best practice tool for documenting staff accountability.

At Perry there were three different daily post assignment rosters presented. One of the three formats identified posts by category. The categories included: *Perimeter Posts*, *Medium Security Posts*, *Mandatory Posts*, *Maximum Security Posts* and *Hospital Duty*. In each category post assignments were identified, and space was provided to insert the employee name. In the other two roster formats there was no reference to post classifications or post categories.

Perry was the only facility where the sample rosters identified a recapitulation table on one of the templates. The roster identified the number of staff assigned, where they were assigned, and staff assigned from another facility. In reviewing the roster, it was clear how all staff that were scheduled were utilized. The concern is that all the shifts did not use the same template.

The *C-Card* maintains an automated daily shift roster that identifies the name of the employee, gender, employee number, where they are assigned and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally completed for the *C-Card* shift.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first.

The approved Post Chart identified several post assignments as mandatory. In reviewing sample daily shift rosters and interviewing staff at the facility it appeared it appeared all but one of the mandatory posts identified in the *Division of Security* post chart were being routinely filled.

Specific inconsistencies in post assignments included the Main Control which normally had one officer assigned during the day shift, Operations which had one officer, the Yard Post which did not normally have two staff, Housing Units normally had fewer than six staff assigned, and each Restricted Housing Unit normally had less than two staff assigned to the wings.

The operating practice reflected that when supervisory personnel were present they were frequently performing both supervisory functions as well as front-line responsibilities. When supervisory staff were not present front-line staff were often responsible for their post as well as an additional front-line post.

At Perry the fundamental elements of a roster management system including the identification of post assignments, recommended staffing levels, shift scheduling and daily shift roster development are all in place. This is the only facility where I observed a recapitulation table incorporated into one of the templates used for the daily roster.

The primary concerns with the roster system include the following:

- The post chart identifies mandatory posts that need to be filled and are not routinely filled. There simply is not enough staff. The current operating practice when insufficient staff are available for the following shift is to contact qualified staff currently assigned or on their off-day to determine their interest in working extra hours. Based on the number of staff that are scheduled and the interest level to work, the shift fills as many posts as possible. Most often this results in mandatory posts going unfilled;
- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis. Monthly in-house reviews should be completed to determine the effectiveness of the system and the confirmation or re-establishing minimum staffing levels. Current minimum levels appeared to be a goal to achieve; however, not a baseline required to operate; and
- Daily shift roster templates should be standardized to reflect how **all staff** assigned to the shift are utilized. The daily roster should incorporate a recapitulation table and identify the name and number of staff assigned by position to the shift, the approved post assignments, the post classification, leave-time, post closures and who is to each post.

- Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster.

Staffing Recommendations

Post Assignment Enhancements

General Population Housing Units. Approximately 90% of the inmate population is considered maximum-security and each of the four general population units have a total housing capacity of 192. Assigned inmates are housed in two separate wings and there is routinely one officer assigned to each unit. One of the housing units provided a character-based program and another unit on the date of the on-site assessment had a mental health caseload on one wing and a character-based program on the other.

During the day shift, (6:00 am – 6:00 pm) programs and services interspersed with inmate counts and meals are normally being provided throughout the shift. Except for early morning inmate cafeteria workers reporting for work, diabetics reporting to medical and breakfast most inmate movement occurs each day during the day shift.

In addition to the officer(s) assigned to the unit a scaled-down version of a unit management concept is applied at the facility. Unit management is a method for managing inmates that emphasizes decentralization and delegate's decision-making authority to a housing unit team. At Perry, a unit manager and unit counselor may be assigned to a housing unit. Their responsibilities are designed to assist in addressing unit issues and managing daily unit activities. Their established role is not to serve as front-line officers. On the day of the site visit, there were (6) unit managers covering seven housing units and three counselors covering three of the four general population housing units. The unit management team is scheduled to work an 8-hour shift five-days per week.

The unit manager and unit counselor normally have staggered starting and ending times to expand the amount of time additional personnel are present. Because of their schedule and responsibilities, they are not consistently present within the unit and when they are present due to limited front-line staff they often fill the role of front-line staff member.

Based on the everyday responsibilities of a front-line officer and the activity levels of each unit the practice of having one or two officers assigned to provide security, custody and control of (192) maximum custody inmates is inconsistent with realistic expectations of what an officer is expected to accomplish.

As a result, effective supervision in the general population housing units is not always being provided. Additional front-line staff are required to consistently meet established responsibilities;

Restricted Housing Unit (RHU). There were three operational RHU's providing housing, programs and services for inmates. Each housing unit has a secure centrally located control room and three housing wings. The reported operational capacity of each RHU is (48). Inmate housing is provided in secure cells which contain a bed, sink and toilet. Outdoor recreation opportunities and showers are located outside the cell. Based on established policy a minimum of two certified officers need to be present when opening an inmates cell door.

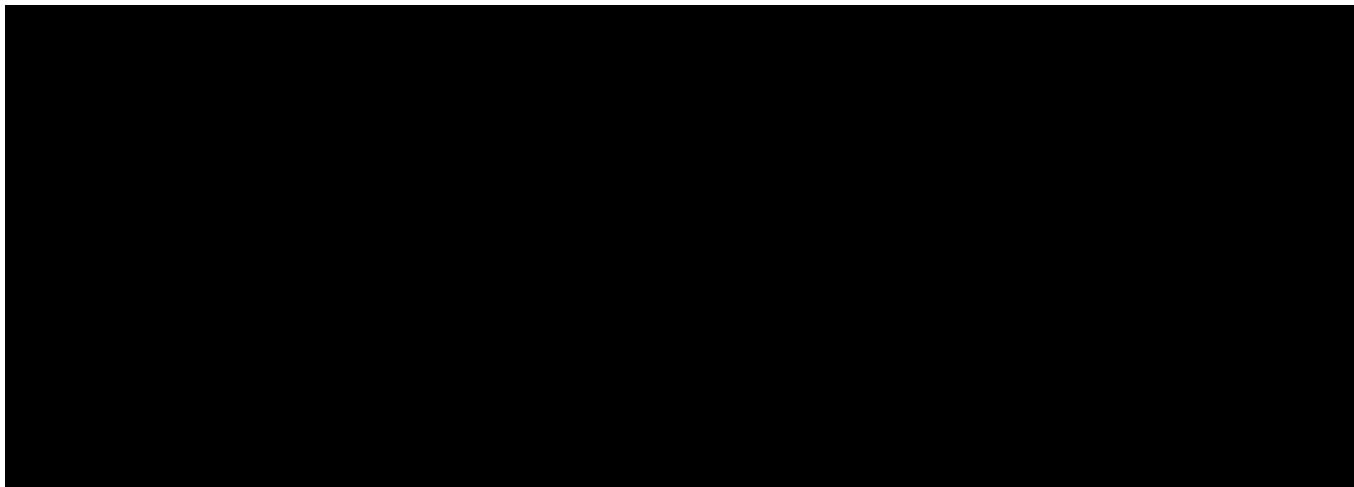
Daily rosters do not consistently reflect two security employees are assigned to the housing unit wings. One officer is assigned to each housing unit control room which controls security doors and is the communication center for each building. However, the number of security personnel assigned to the housing wings varies. To meet post responsibilities and maintain compliance with established policies dedicated wing officers need to be assigned to each RHU. Documentation did not consistently reflect compliance with established policy regarding access to showers or recreation.

In view of the existing responsibilities including in part, conducting 30-minute security checks, inmate escort, meal delivery, supply distribution, cell checks, searches, building checks, providing documentation, staff escort and counts, the required responsibilities cannot be met solely by depending on a security staff member roving between the three housing units.

Additional security personnel are being recommended for each restricted housing unit including supervisory personnel, control room staff and (3) wing officers per operating unit. Escort, shower and recreation security personnel are also required during the day shift;

Court Yard. The Perry Correctional Institution is a campus-style facility with nine housing units, of which four of the units, program and most service areas are surrounding a large courtyard. To move from the housing units to most program activities and services inmates are required to walk through the courtyard which includes interior courtyard perimeter fencing and gates. The gates were locked on the day of the site visit and require manual operation. All authorized movement at this maximum-security facility is controlled movement.

It is essential and a fundamentally sound correctional practice in a maximum-security facility that security staff be present to monitor, control access and be available to authorize inmate movement. Based on the size of the facility and location of work, program and service areas, in relation to the housing units, dedicated yard officers should be consistently assigned to the courtyard to meet required responsibilities and serve as first responders;



Security staff should be consistently present during peak movement periods to control movement, observe activity levels and prevent extensive delays;

Lobby. The front lobby is the primary location where all approved foot traffic enters the facility. All individuals entering the lobby have been approved to proceed through the front gate and are subject to search. The lobby area is where the search is to be conducted. Current operating practice is to assign C-Card staff to the lobby during traditional business hours and temporarily utilize 12-hour shift personnel before and after shift change, and during peak movement hours. This practice results in a combination of daily overtime expenditures and temporarily pulling staff from existing assignments to the front lobby. The front lobby should be recognized as a 12-hour post supplemented by staff assigned to the C-Card;

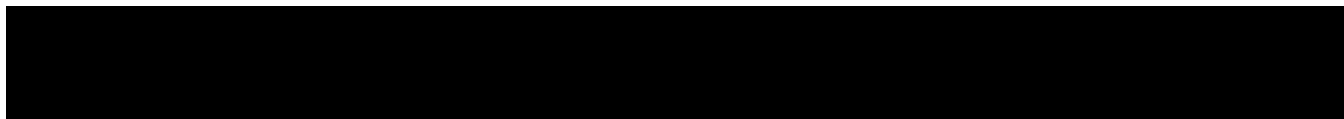
Main Control. Main Control serves as the communication and operational hub for the facility. Primary responsibilities include operating door access control panels, distribution of security equipment, assisting in inmate counts, addressing alarm systems, observing video monitors and central communications including both radio and telephones. Current normal operations include having one FLS staff assigned to main control. During peak movement hours, based on the routine activity level at the facility, two staff should be assigned during the day shift to meet post responsibilities;

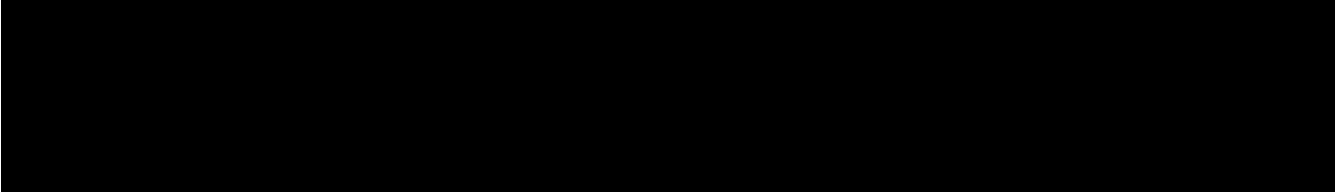
Transportation. Inmate transportation for addressing medical and/or court mandated issues is part of the daily operations of the facility. Most transports occur during the day shift, Monday through Friday, except for emergency transports that may occur at any time.

On the date of the review there were nine security staff assigned to the transportation unit including two lieutenants, two sergeants and five front-line staff. Normal transports include the Perry Bus operations which transports inmates four time per week to, off-site medical, clinics, court appointments and inmate transfers. Each transport requires a minimum of two certified staff that have at least one year of service. When at-risk inmates are being transported outside the facility by policy a supervisor and possibly additional staff may be required. During October 2017 a total of (309.75) hours of overtime was reported by the staff assigned to the transportation unit. To meet transport responsibilities, additional staff from both the 8-hour shift and 12-hour shift were used to assist in meeting the workload These are staff that were initially assigned to areas such as inmate housing, contraband control or yard patrol.

Based on a review of transport data provided for the period from July 2017 through October 2017, the average workload volume requires ten dedicated staff be assigned to the transportation team. This was based on reviewing the number of transports in the reported timeframe, number of inmates, and total reported transport time. Additional front-line transport staff should be dedicated to the transport team;

Kitchen/Dock. PCI routinely requires supervisory personnel to assist in providing security supervision during meal periods. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building, including the dock areas for the cafeteria, canteen and commissary. Food service personnel are present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. No security personnel are normally assigned to this potentially high-risk area and a post should be provided during peak periods five days per week;





Shift Relief. A shift relief factor is not reflected in current existing staffing levels. Security personnel time-off is generally covered through assigning staff to extra hours, closing posts, redeploying staff from other designated post assignments or using staff from another facility. A shift relief factor has been applied to most post responsibilities.

Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Perry based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the number of hours the post needs to be filled, divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

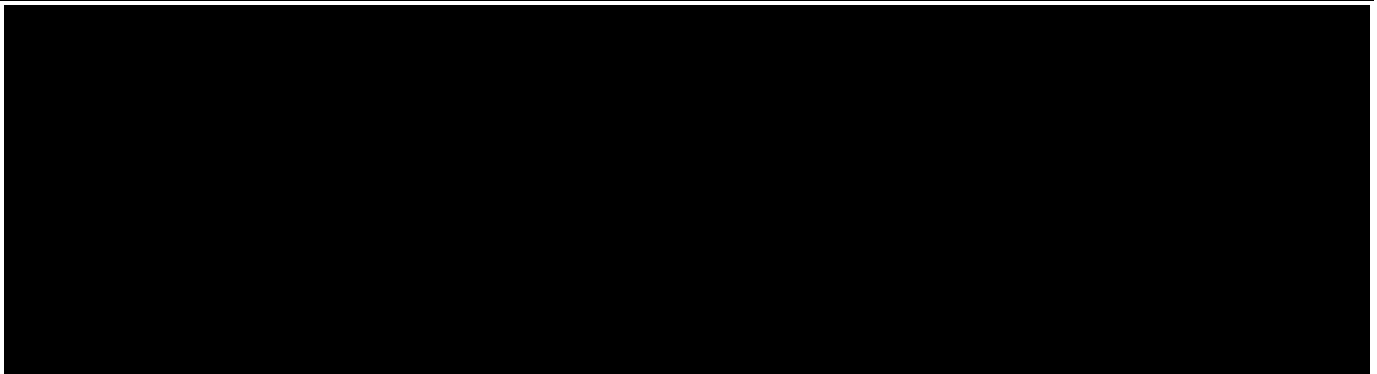
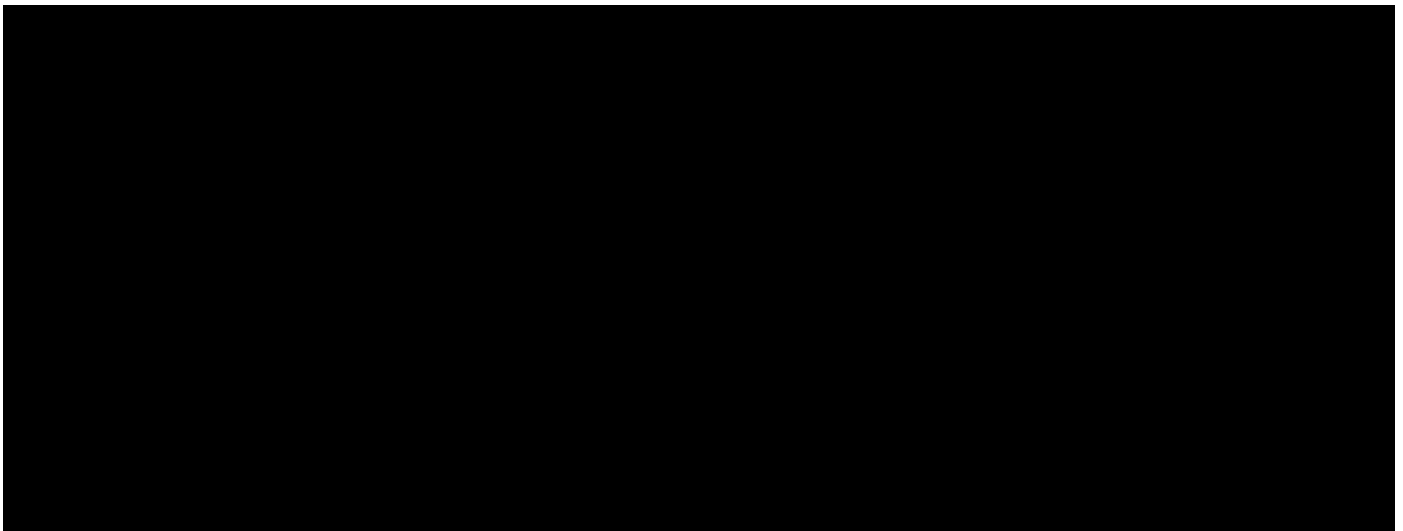
- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

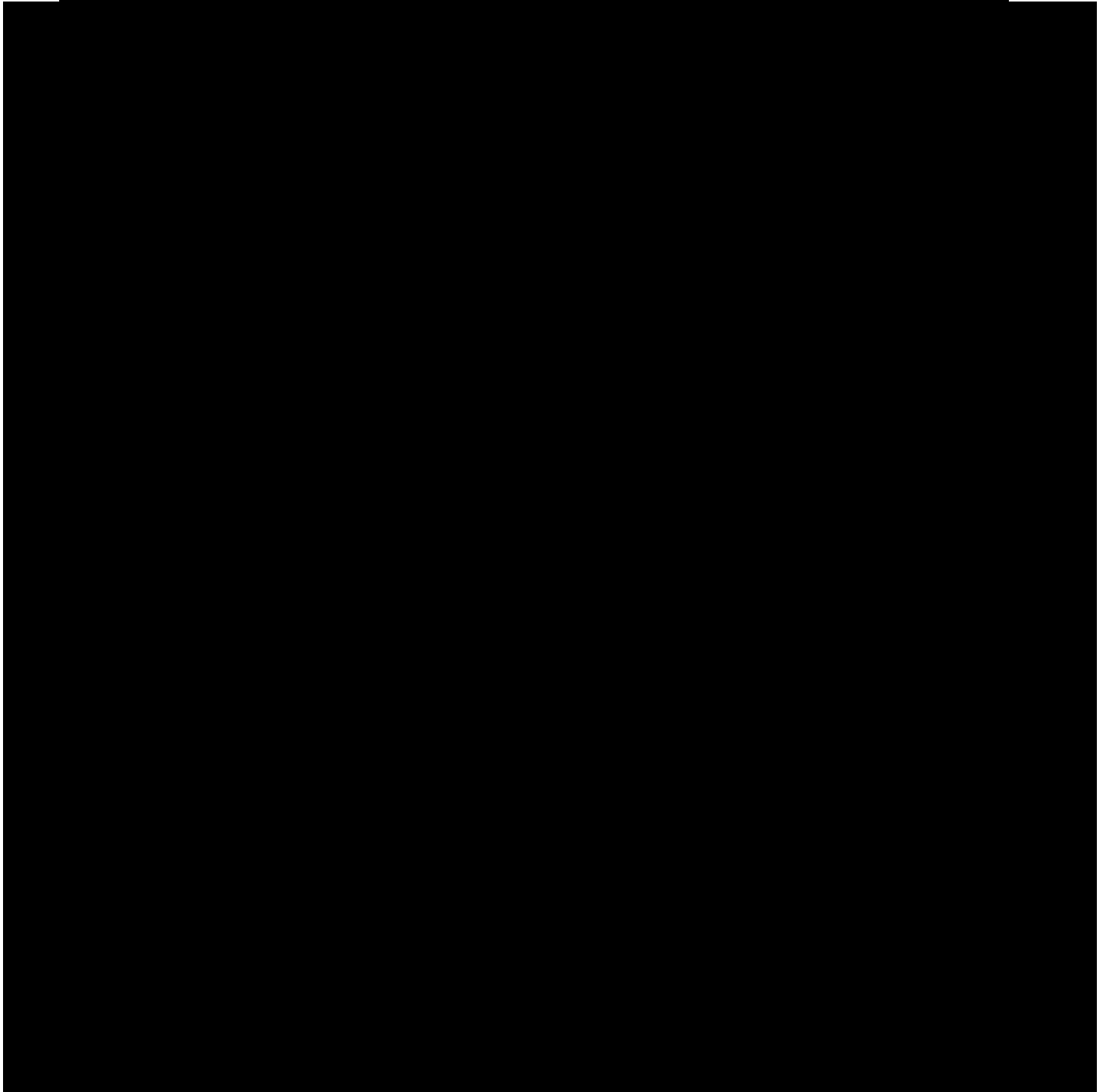
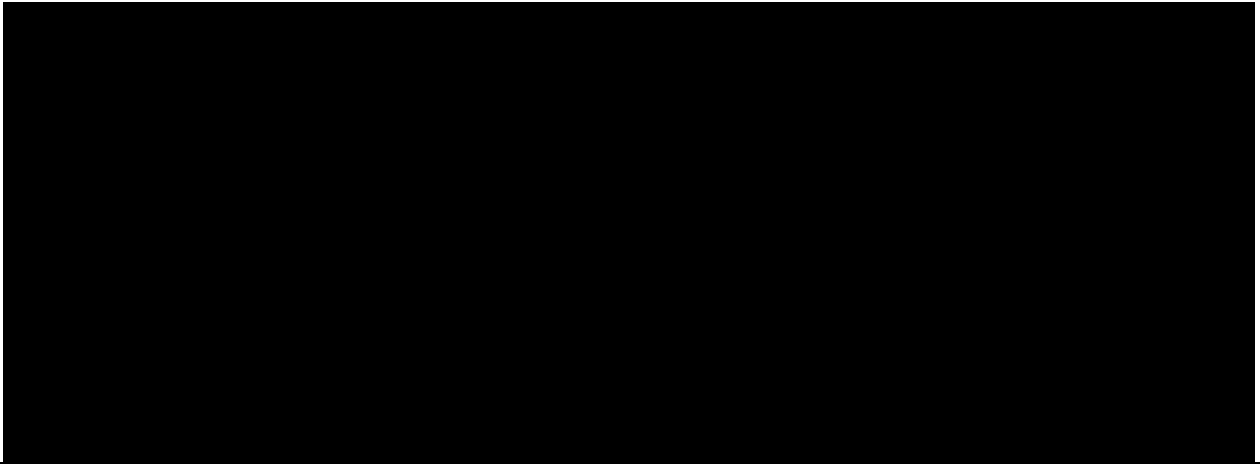
At Perry the use of "sick-time" has increased both in 2016 and 2017. In 2017 an average of (115) hours of "sick-time" was used per employee, compared to (83) hours in 2016 and (70) hours in 2015;

- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.



A shift relief factor of 5.03 can be translated to mean that for one year, an average of approximately five staff (5.03) will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.30 staff (160 hours) throughout the year.





Evans Correctional Institution

The Evans Correctional Institution (ECI) is a state operated level 2 facility located approximately 98 miles northeast of Columbia near the town of Bennettsville, South Carolina. The facility was opened in 1989 and serves as one of South Carolina's adult male medium security correctional facilities. The current operating capacity at Evans is 1,350 and the average daily population during the first nine months of 2017 was 1,317. The infirmary was not being used during the review period and had not been used for an extended period reducing the current operational capacity.

While most of Evans inmate population is considered medium custody a small percentage of inmates (approximately 8 percent) are classified as level 1B (minimum) and may be eligible to be assigned to supervised work details located outside the perimeter. Approximately 10% of the inmate population was on a mental health caseload.

In addition to providing housing and services for general population inmates ECI also provides housing and services for special programs including the Restricted Housing Unit and Character-Based Program. The Restricted Housing Unit is available for inmates requiring more intense behavioral levels of supervision and the inmates are housed and programmed separately from inmates assigned to the general population.

The Character-Based program is designed to provide housing, programming and services for qualified inmates participating in a peer-oriented positive life-style change program.

The physical plant at Evans was built as a medium security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, high-mask lighting, vehicle access gate, mobile perimeter patrol, perimeter stationary posts and an alarm detection system.



Inside the perimeter are a variety of buildings, equipment and open space available to help meet existing facility responsibilities.

The physical plant contains the following: Front Gate/Vehicle Access Gate; Outer perimeter post; Administrative Services Building; Main Control; Secure Personal Property Storage; Visitation Area; Support Services Building; Medical; Maintenance; Education; Multi-Purpose; Chapel; Greenhouse; Cafeteria; Vocational Education; Canteen; Commissary; Prison Industries; Open Courtyard and seven separate housing areas, of which six were being used. Internal access control fencing, gates and limited security surveillance cameras are also available throughout the interior of the facility.

Food Services for two meals per day were normally provided to the general population inmates in the main cafeteria located in the Support Services area. During the third meal, food services were reported to be provided to the inmates in their housing units because of limited staffing levels.

All authorized inmate movement was considered controlled movement. The type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

Housing Unit Designs

There are four primary housing unit designs at ECI. The housing units contain secure cells as dormitory style housing is not provided at the facility. The housing unit designs are consistent with nationally recognized practices for a level 2 facility and include both direct and indirect supervision units. In total, there were six separate inmate housing areas being used during the reporting period. The infirmary located in the medical unit contained ten beds and was not being used.

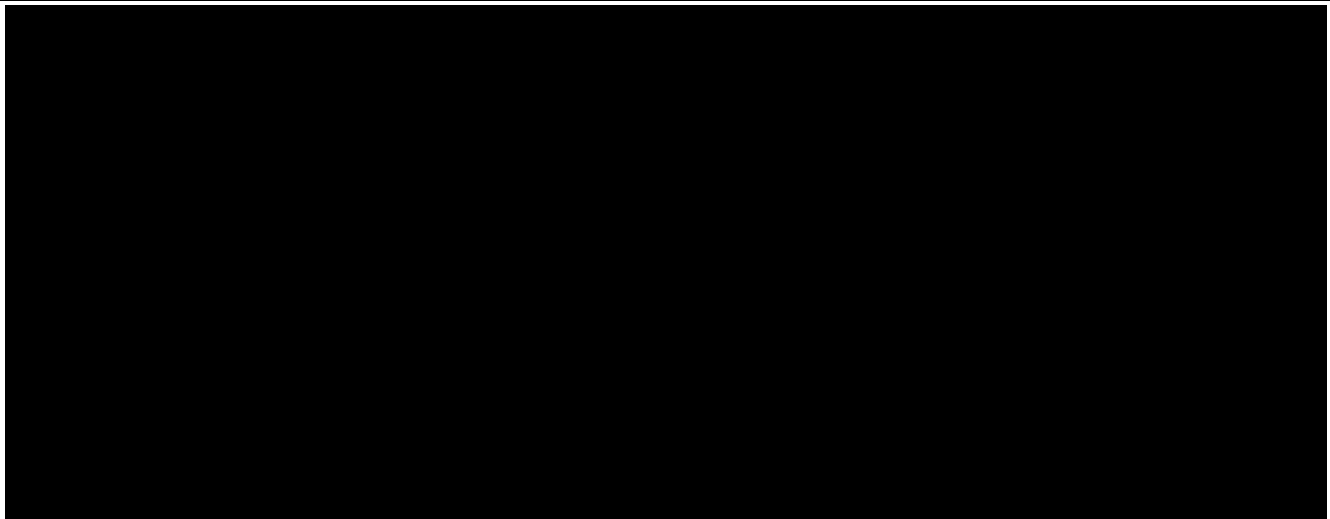
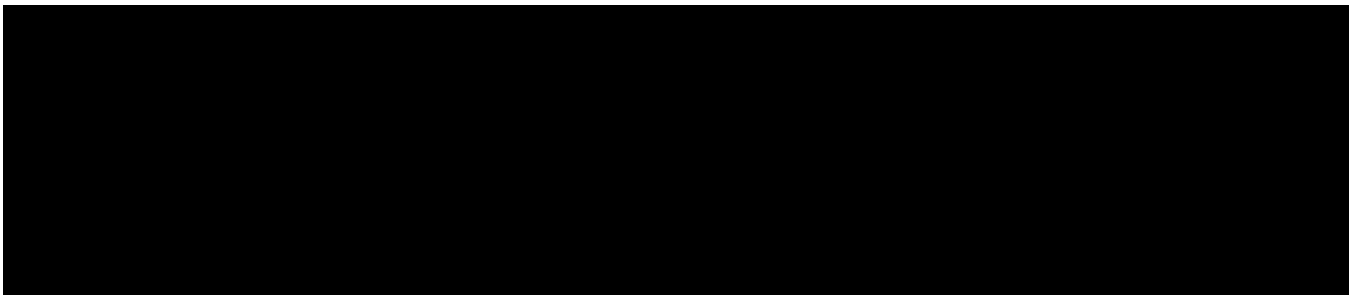
- **General Population.** There are (4) two-tier general population housing units similar in design. The capacity of each of the housing units range from 230 to 252, depending on the number of double occupancy cells in each unit. Most of the cells are considered double occupancy; however, there are handicap cells available. In the front center of the building is a secure indoor sally port which contains staff working areas and storage space. This area is located directly adjacent to the living areas and adjacent to the entrance of the unit. There are two separate living areas, referred to as wings that extend from the sally port. Each wing contains strictly cells and all cells have a bed(s), toilet and wash basin. Showers, dayroom and passive recreation space are all located in the common area within the wing. Each housing unit has an outdoor recreation yard located immediately behind the unit.
- **Character-Based Housing.** There is one indirect supervision multi-level unit that has a reported operating capacity of 254. An elevated secure control center is centrally located in the unit surrounded by security glazing providing optical clarity into four separate living areas (wings). Each wing contains primarily double occupancy cells which are equipped with beds, toilet and a wash basin. Showers, dayroom and passive recreation space is available within each living area. The housing unit known as "Cherokee" was providing housing for qualified inmates assigned to the Character-Based program.

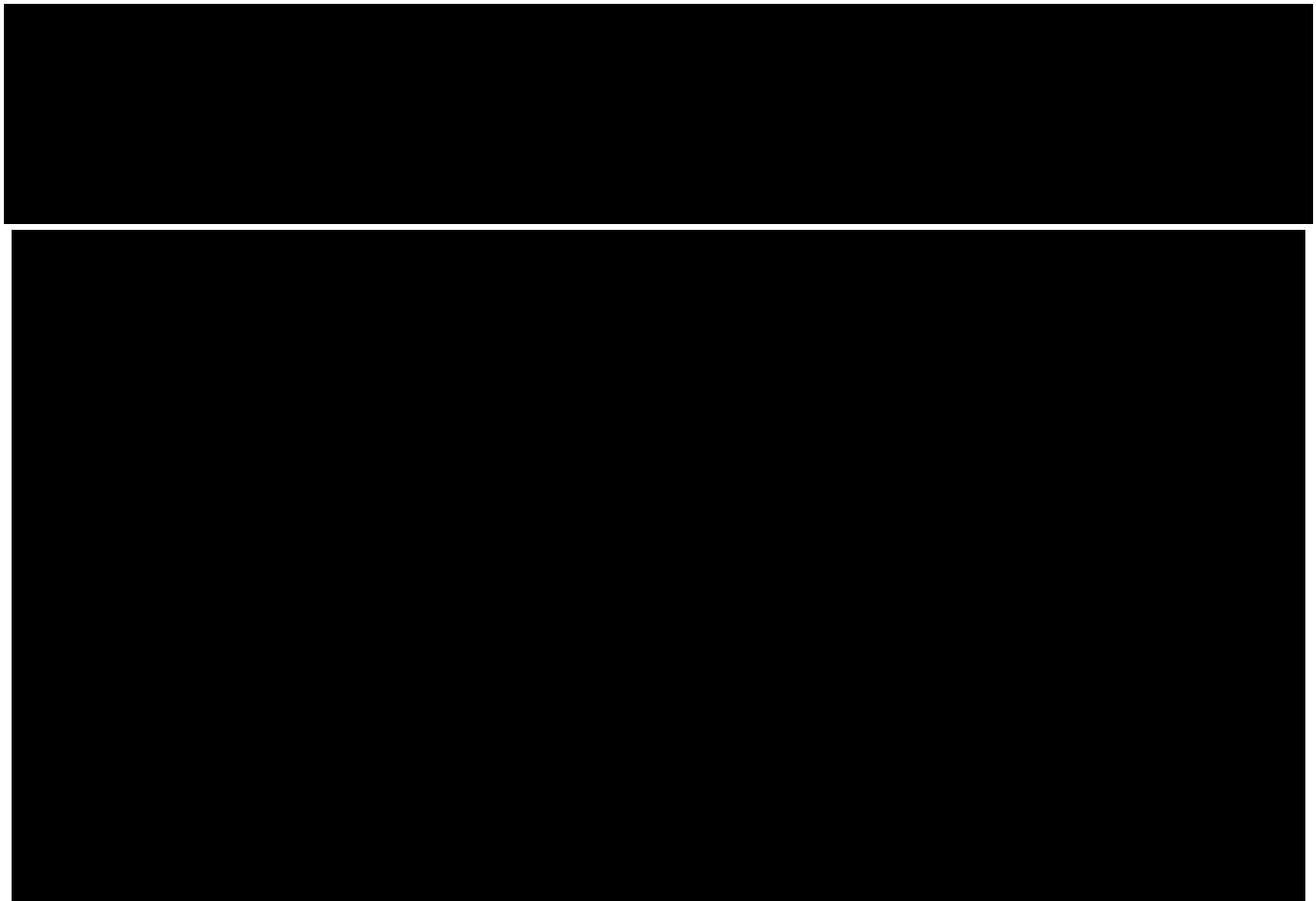
- **Infirmary.** The infirmary at ECI has an operating capacity of ten. On the day of the site visit the infirmary was closed and staff reported that it had not been used for an extended time. The infirmary is located adjacent to the medical unit and housing is provided in single and multiple occupancy cells/rooms. A small dayroom, showers, outdoor recreation and passive recreation space is provided in the unit.
- **Restricted Housing Unit.** The Restricted Housing Unit (RHU) has a reported operating capacity of 108 and consists of two separate housing areas, referred to as A-Wing and B-Wing. Each wing contains two tiers, a small dayroom area, secure cells, storage, passive recreational space and showers. The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support. This unit is designed as a high security-controlled unit. Two of the cells were modified and considered safety cells which each contained a security surveillance camera.

Program Services

In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These program services have been integrated into the daily facility schedule to include the following: ABE/GED, Vocational Education Programs, Religious Services, Character-Based Program, Mental Health Services, Volunteer Services, Alcohol and Drug Education, Law Library, General Library, Recreation, Horticulture, Visitation, Canteen and the Prison Industry Program.

Security Staffing Profile





Staff Availability

As noted the number of filled full-time security staff positions at the Evans Correctional Institution was (121) on January 1, 2018. This represents the number of staff assigned; however, does not represent the number of staff that are considered post-eligible. Based on a combination of in-house policies and staff use of benefit time, all security personnel may not always be considered available to fill all post assignments. Factors such as the following impact availability: staff being on approved extended-leave status, i.e. FMLA, Military, Medical, Assault, Workman's Compensation or Administrative; the lack of certification status preventing staff from filling post assignments on their own; FLS staff not being qualified for all assignments or in-house policies requiring at least one year of service for select post assignment. At Evans, as well as most facilities when considering these factors, the number of staff recognized on the roster available to fill post assignments is further decreased.

The following provides a snapshot on the date of the site visit of the number of staff either unavailable or not eligible to fill all post assignments.

Extended Leave Status. On the date of the site visit there were **ten security staff on extended leave status** that were unavailable to fill a post assignment for at least one complete 28-day pay cycle. This included (2) Captains, (4) Lieutenants, (1) Sergeant, (1) Corporal and (2) Officers. The number on extended-leave represented approximately 8% of the total assigned security staff.

A further review reflected that during the months of July to December 2017 an average of (6.2) security staff were on extended leave status on the first day of each month. These are personnel considered part of the (121) staff assigned to the facility; however, temporarily not available to fill a post assignment.

Non-Certified Security Staff. Human Resource personnel at Evans identified (11) FLS staff on the roster that had not fully completed basic training and as a result were not eligible to be assigned to a security post on their own.

Experience Level. In-house department-wide policy states that security staff with less than one year of service should not be assigned to a transportation post, the restricted housing unit or provide outside hospital coverage. On the date of the site visit there were (13) certified security staff that had less than one year of service.

To put in perspective, the following scenario is presented to show the operational impact the current number of post-eligible front-line security staff has on filling post assignments.

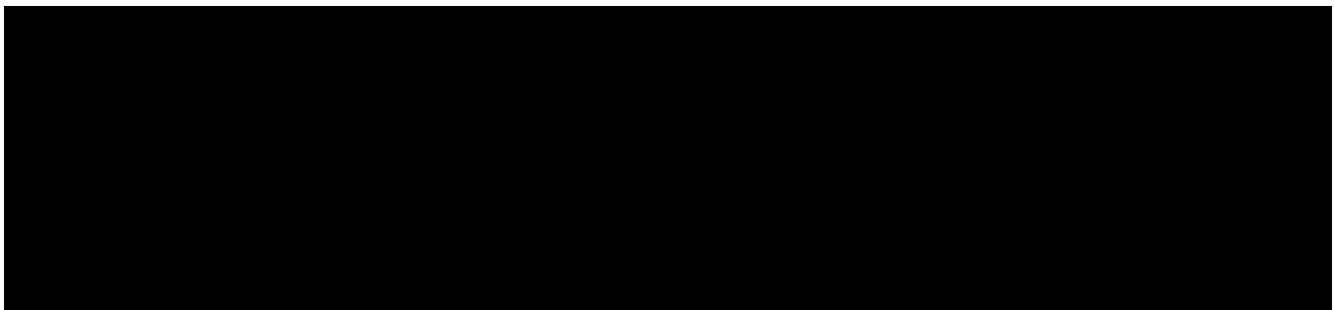
On January 1, 2018 there were (75) front-line staff assigned to the facility. Eleven were not certified and (3) were on extended-leave status. Non-certified staff are not considered eligible to fill a post assignment. As a result, there were (61) post eligible front-line staff assigned to the institution.

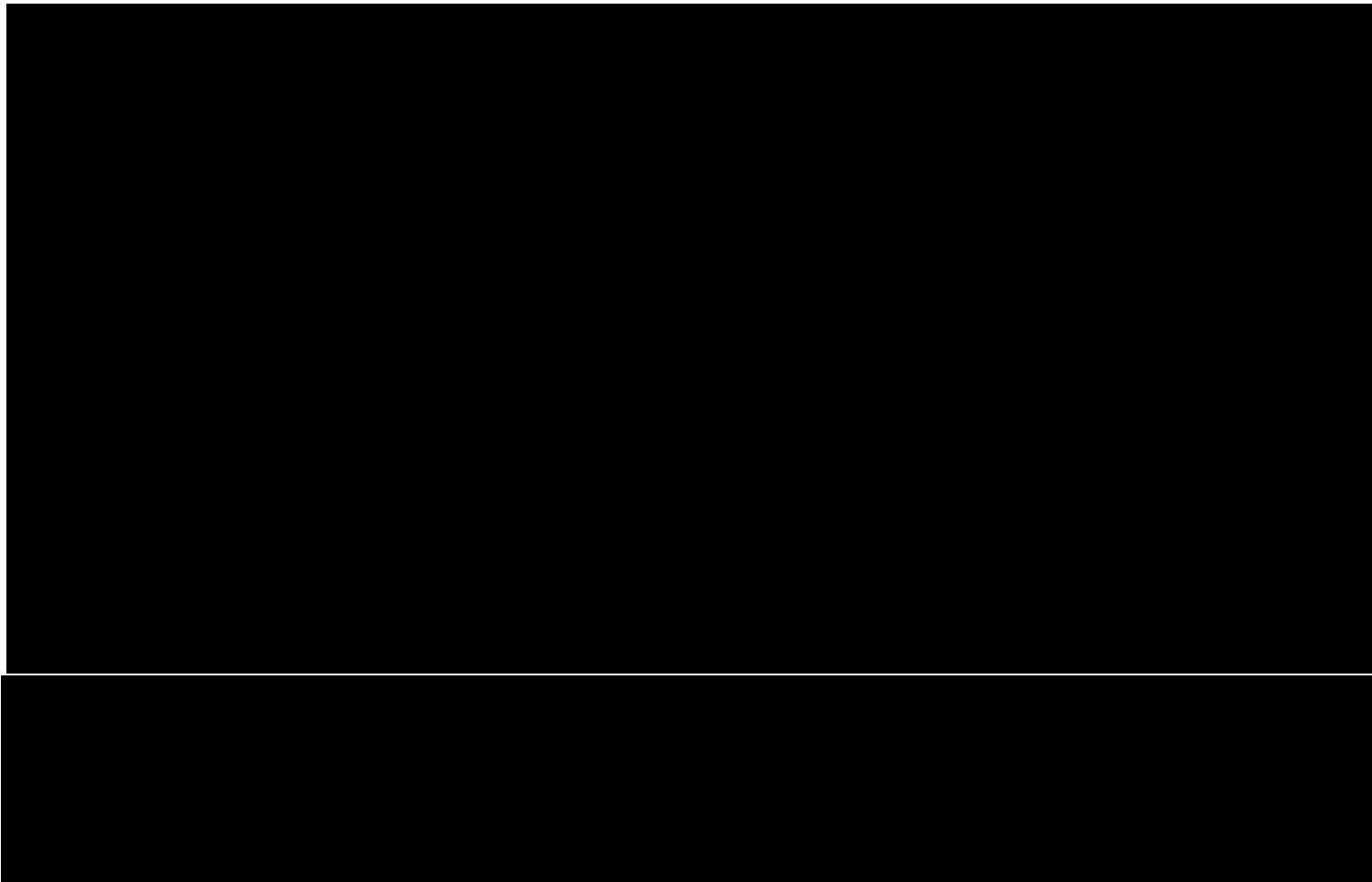
There are five general population housing units at Evans which require a minimum, **not recommended**, of (11) FLS staff, 24-hours per day. There is one restricted housing unit that requires a minimum, **not recommended**, of (3) front-line staff, 24-hours per day. When applying the updated shift relief factor which is 4.86, a total of 68.04 (14 x 4.86) front-line staff would be required to fill these posts. On January 1, 2018 there were (61) post eligible front-line staff.

The above example does not include a provision for any escort or recreation security staff being available for inmates assigned to the Restricted Housing Unit. Also posts such as Main Control, Outer Perimeter Patrol, Transportation, Medical Unit and Front Gate which are all core posts would be required to be filled; however, there is not enough staff.

Based on current staffing levels essential posts are not consistently being filled and post areas where more than one staff member is required are routinely operating at insufficient staffing levels.

Recent Staffing Trends

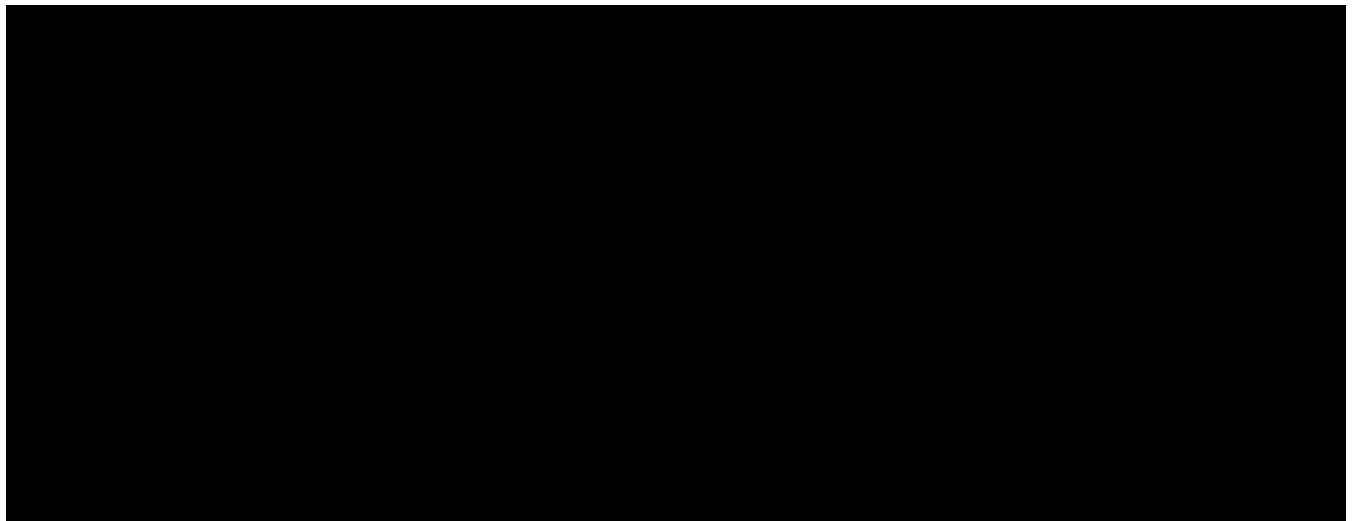




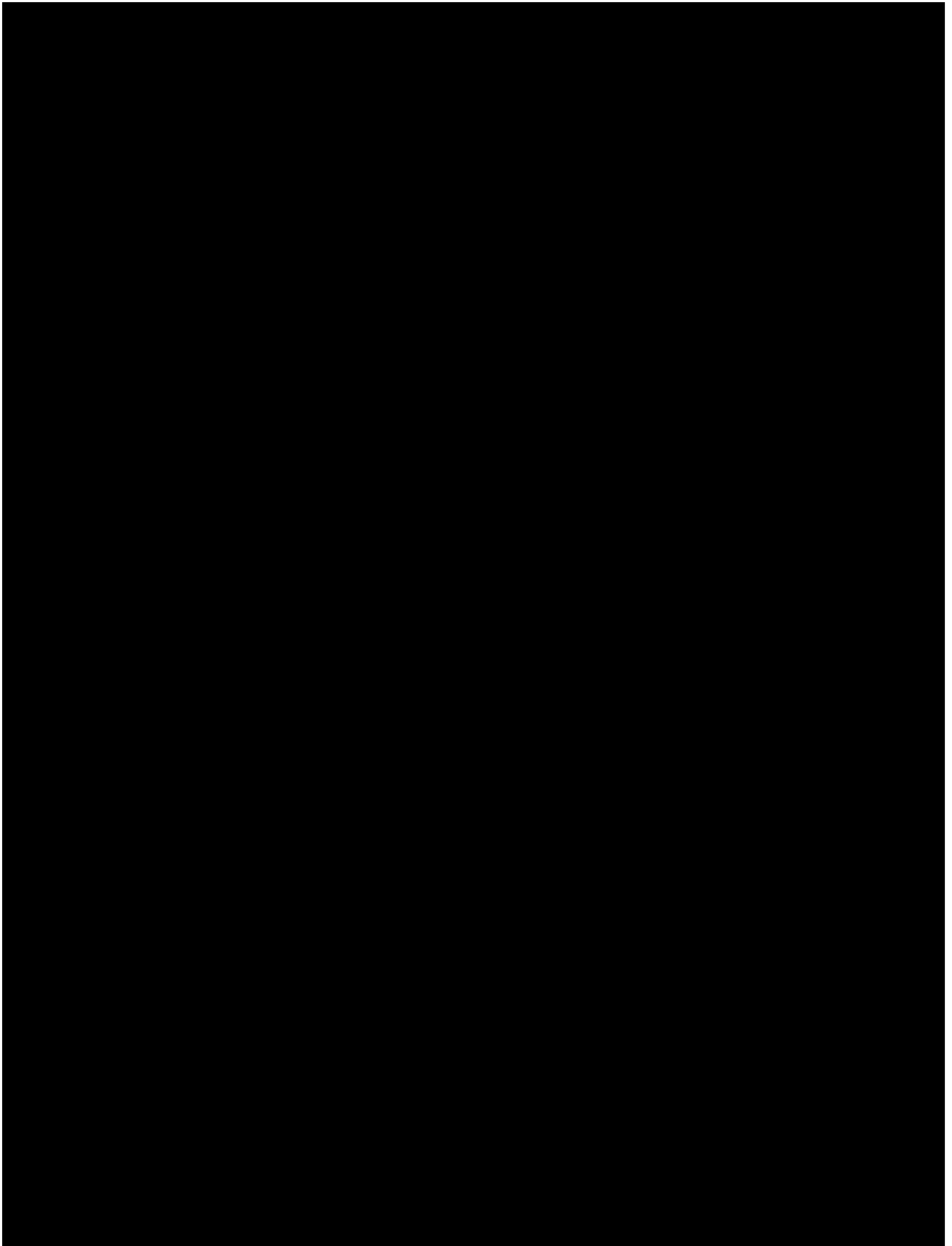
Operational Initiatives in Response to Staffing Levels

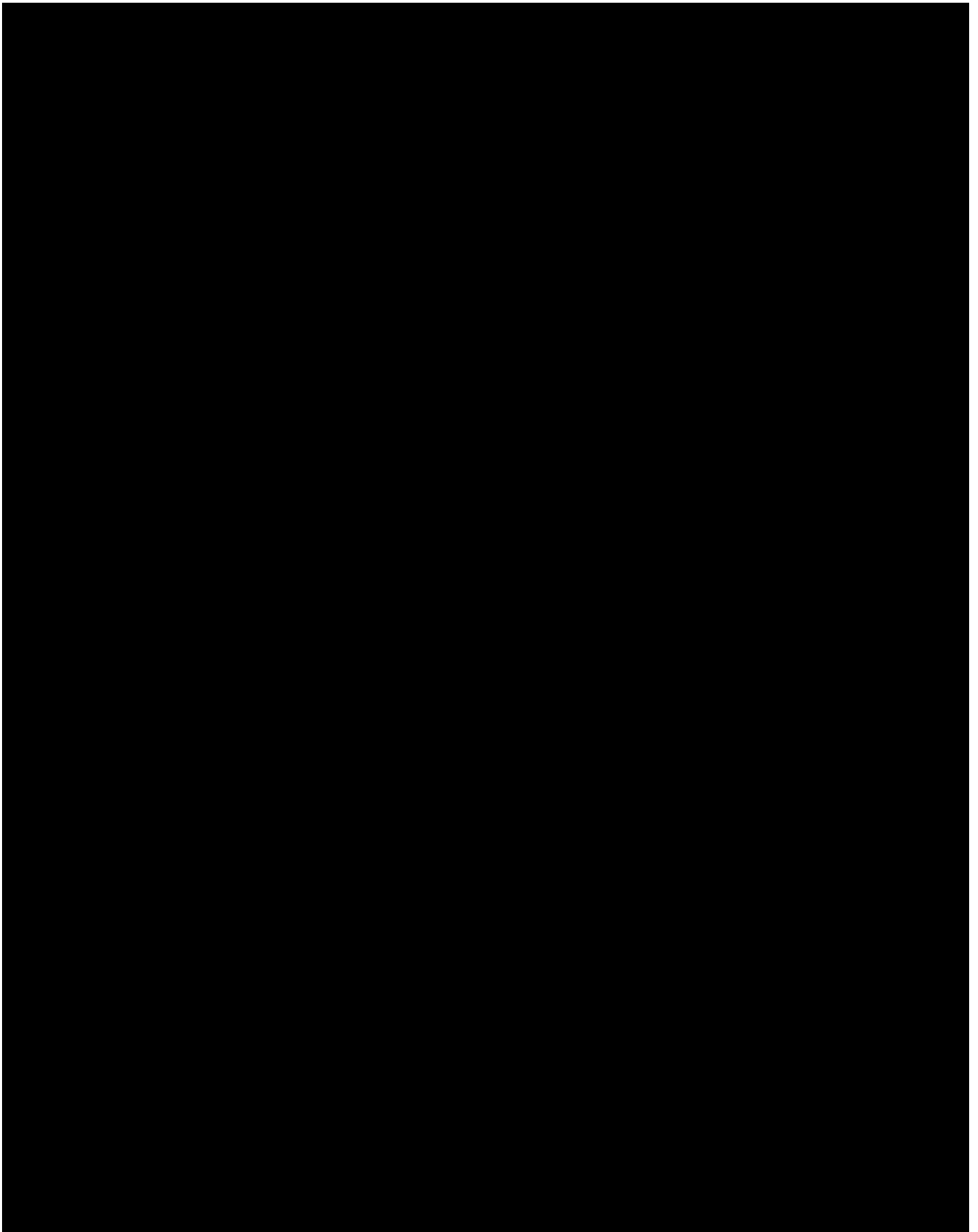
In view of the staffing levels facility management personnel have deviated from the original staffing plan and implemented several security initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:



³⁴ SCDC Policy OP.22.24 Post Orders.



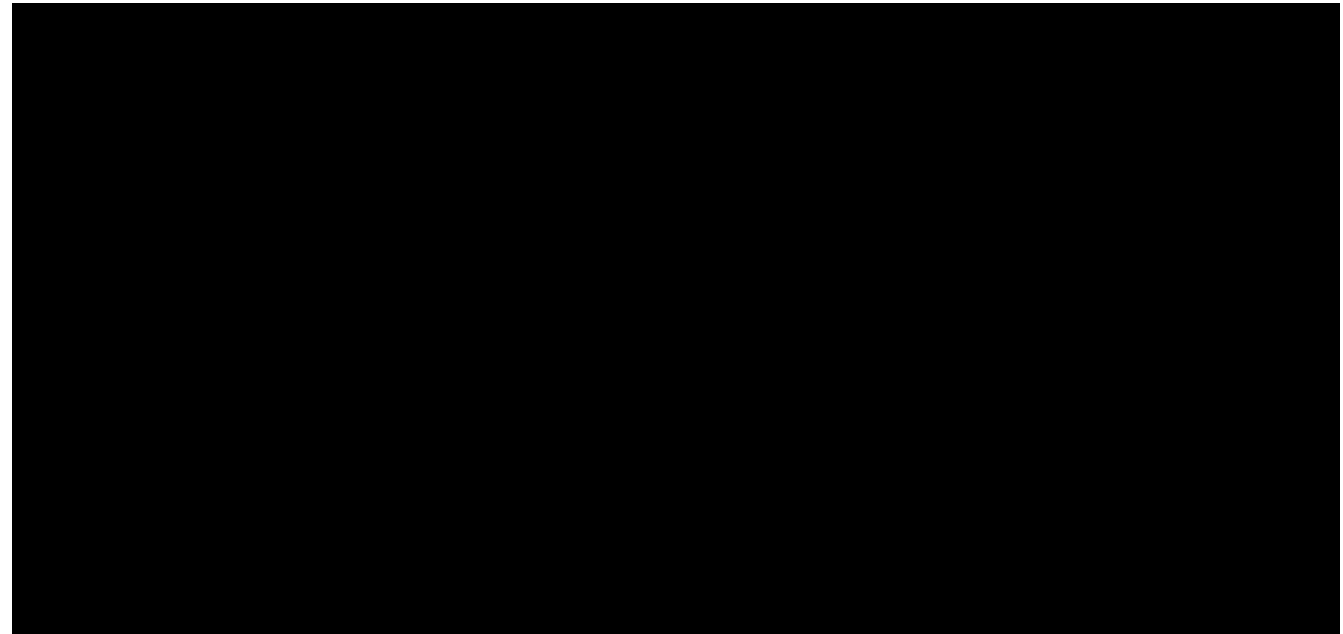


In respect to cell phones, during 2017 the number of cell phones related incidents nearly doubled to (60). Second to cell phones the most prominent contraband related incidents at Evans involves tobacco.

[REDACTED]

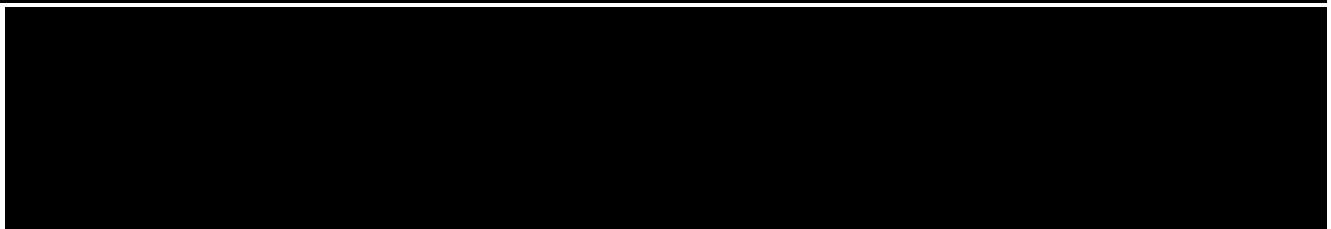
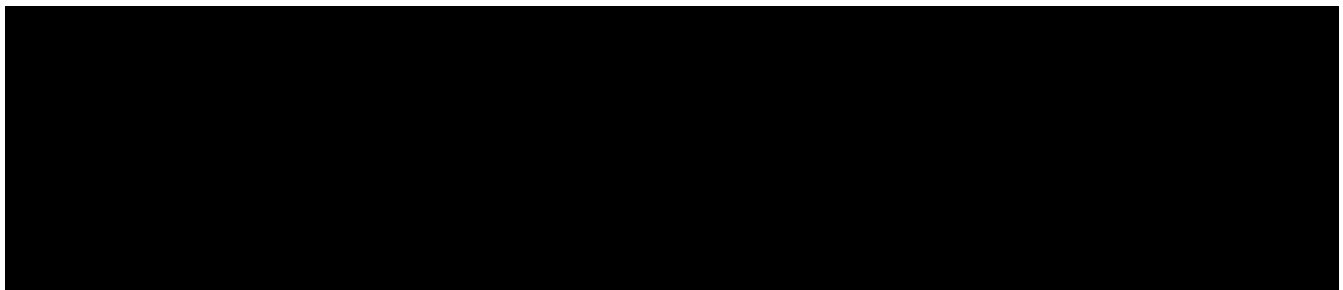
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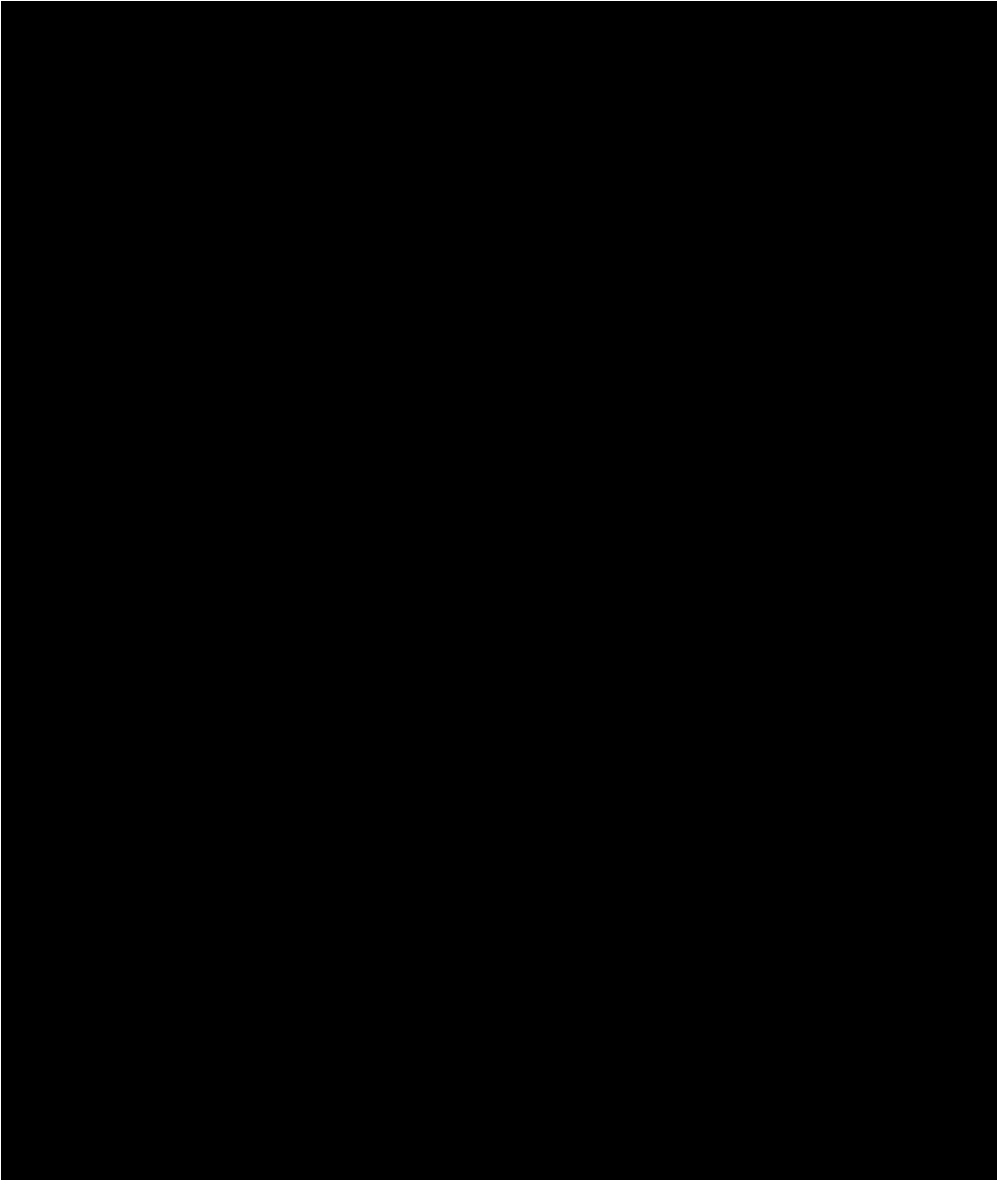
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Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Associate Warden of Programs). On the date of the site visit the Warden and Associate Warden of Programs positions were filled. The Associate Warden of Operations position was not filled. The Warden was not at the facility on the date of the site visit and the major was available and considered the point of contact throughout the day. The warden was later contacted via telephone after the site visit to further discuss staffing at the facility.





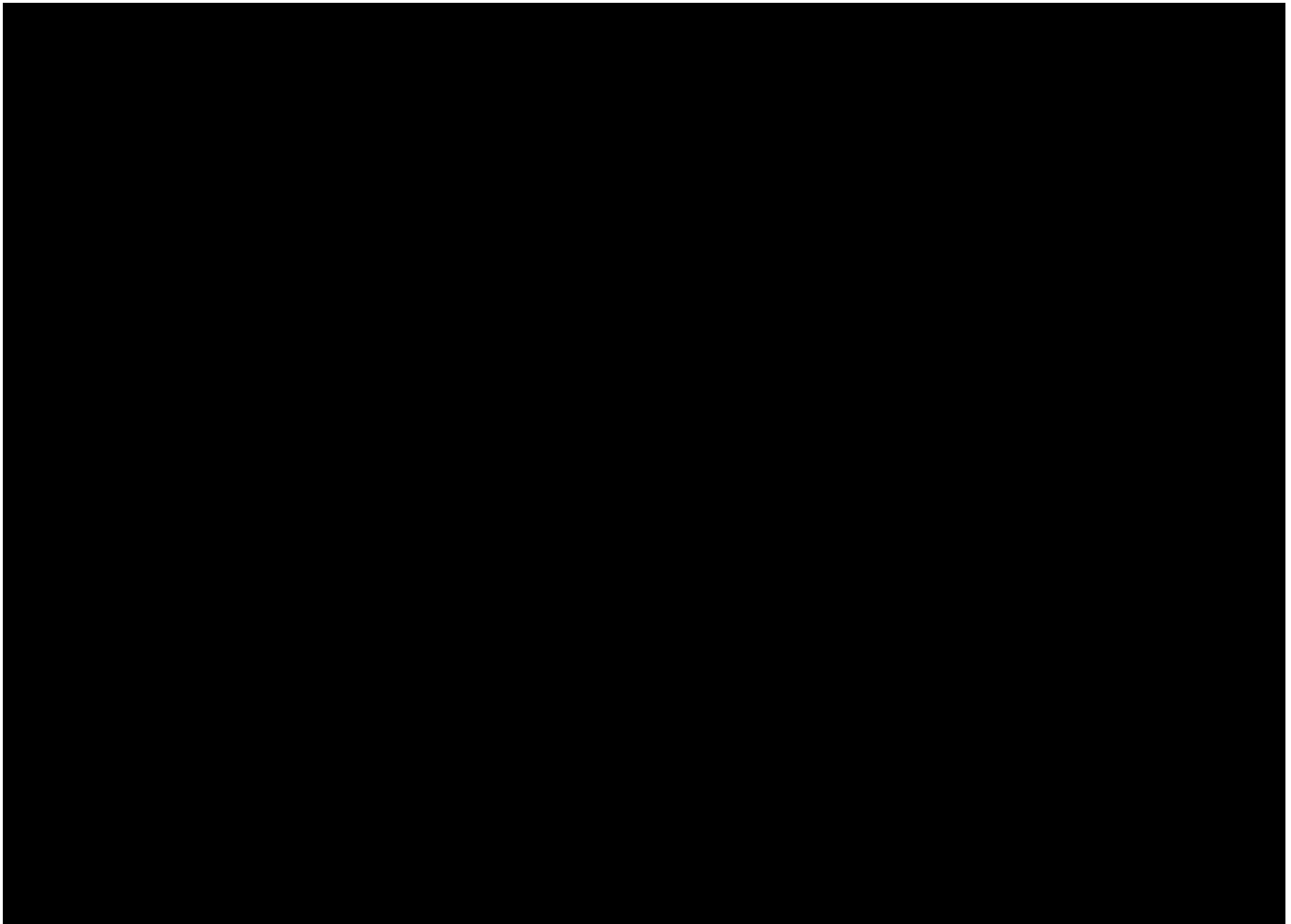
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[REDACTED]

[REDACTED]

[REDACTED]

Shift Assignments. Facility management personnel at ECI have developed a master shift assignment roster for security staff that identifies the names of the personnel assigned to each shift, their position classification, gender and status. The C-Card roster also identified the employee's normal post assignment.



Daily Shift Roster. In addition to the master shift assignment roster daily shift rosters are also maintained for the 12-hour shifts. The daily rosters identify in more detail the staff assigned by shift, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. Based on a review of sample daily post assignment rosters there is no recapitulation data provided or any consistent reference to staff scheduled as working overtime. Identifying where all scheduled staff are assigned and having a recapitulation table is critical when documenting identifying staff utilization.

The *C-Card* maintains an automated daily shift roster that identifies the post number, code, post description, area, post type, responder, name of the employee, gender and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed for the *C-Card*. As a result, there is no reference to post classification levels or a recapitulation table for the C-Card shift.

Post Classification. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain posts are shut down first. Due to limited staffing levels, only critical posts appeared to be filled.

The discrepancy between the operational practice and the filling of recommended mandatory posts was primarily in the number of posts being filled when more than one post was identified in the post chart.

For example, in the post chart the outer perimeter patrol post is identified as two posts to be filled on a 24/7 basis. Based on staff interviews and a review of completed daily shift rosters one post is normally filled and when additional staff are available the second post is filled. In reviewing approximately 30 sample rosters, 60% of the time there were two outer perimeter posts filled on the evening shift. Additional discrepancies between the operational practice and recommended level III (mandatory) posts include the following:

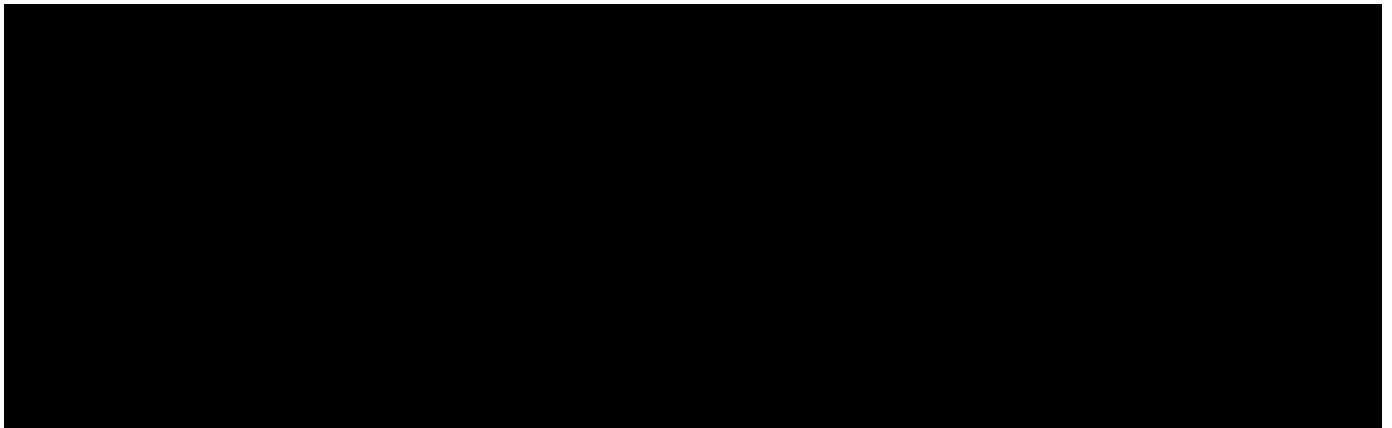
- Yard Officer, 4/1: On the day shift the post chart recommends (4) staff be assigned to the yard seven days per week to control inmate movement. Staff reported available security staff are routinely used; however, rarely is there more than two staff available. A review of daily rosters identified between zero and two dedicated staff were assigned to the Yard detail. Rarely was there one staff member assigned during the night shift as recommended;
- Housing Unit, (9/8): On the day shift the post chart recommended a total of (9) front-line staff and during the evening shift, (8) front-line staff be assigned to the four general population housing units seven days per week. In reviewing sample daily rosters, there was not one occasion where nine or more front-line staff were reported as being assigned to the four general population housing units during the day shift or eight or more being assigned to the evening shift; and
- Restricted Housing Unit Wing, (4/3): The post chart recommends four front-line staff be assigned seven days per week during the day shift and three front-line staff during the evening shift. Current normal operating practice includes between one or two front-line wing officers during the day shift and no more than one wing officer during the evening shift. Facility management staff reported recreation and showers were not always being provided based on the established schedule due to limited staffing levels.

At Evans the basic elements of a roster management system including the identification of post assignments, balanced shift scheduling and daily shift roster development are all in place. Due to the lack of available staffing the ability to fill required post assignments is dramatically impacting daily operations.

The primary concerns with the system include the following:

- The post chart identifies mandatory posts that need to be filled and are not routinely filled. The current operating practice when insufficient staff are available, is to contact qualified staff currently assigned or on their off-day to determine their interest in working additional hours. Based on the number of staff that is interested the shift proceeds to operate in a modified manner. Most often this results in mandatory posts going unfilled;

- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected minimum staffing levels were not being met on a consistent basis due to available staffing. Monthly in-house reviews should be completed to determine the effectiveness of the system and to confirm or re-establish minimum staffing levels; and
- Daily shift rosters need to be updated to reflect how all staff assigned to the shift are utilized. The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures and the employee assigned to each post. Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster.



Post Assignment Enhancements

Court Yard. The Evans Correctional Institution is a campus-style facility with four primary housing units, programs and service areas surrounding a large courtyard. To get from the housing units to most program activities and services, inmates are required to walk through the courtyard which includes interior fencing and gates. The gates were locked on the day of the site visit and the interior fence lines were approximately 12 feet high. All authorized movement at this medium-security facility is considered controlled movement.

It is essential and a fundamentally sound correctional practice that security staff be present to monitor, control access and authorize inmate movement. Based on the size of the facility and location of work, program and service areas in relation to the housing units, dedicated yard security personnel should be consistently assigned to the courtyard to control access, monitor existing activity levels, serve as responders and provide internal roving physical plant security. The post recommendations expand the number of yard posts to be made available on all shifts;

Post Relief. In view of the available staffing levels at Evans, staff assigned to the 12-hour shifts do not normally receive a rest or meal break during their shift. There is usually no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy does. Under the current circumstances and based on existing staffing practices most front-line staff are not only filling one post assignment they are routinely filling two. The value and benefits of providing short breaks to staff filling 12-hour posts should be seriously considered. The post recommendation includes establishing "Security Relief" posts that provide temporary relief to staff assigned to post assignments;

Shift Relief. A shift relief factor is not reflected in current staffing levels. Acknowledging the relief component, and posts still need to be staffed when personnel are off is critical to establishing safe operations. When personnel use benefit-time, the vacancy, if covered, is through assigning staff to work additional hours, redeploying staff from other designated post assignments or using personnel from other position classifications or other facilities;

Kitchen/Dock. ECI routinely requires supervisory personnel to assist in providing security supervision during meal periods and relies on food service personnel to assist in providing on-site security. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock area for the cafeteria. Food service personnel are present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. No security personnel are normally assigned to the kitchen/dock area which should be considered a critical post and high-risk area during operating hours. The post recommendation includes establishing "Kitchen/Dock" posts five days per week on two eight-hour shifts;

Housing Units. The general population housing units when fully operational each have an operating capacity of 252. Approximately 92% of the inmates housed at Evans are considered level II medium security inmates. The inmates are housed in one of two wings located within each unit. Each wing is separated by a common sally port that contains a secure entry/exit to the building, officer work space and entry into each wing. Visibility from the sally port area into each wing is limited.

Actual staffing levels vary by shift, day and the availability of supervisory staff and unit management personnel. Based on the everyday responsibilities of an officer, and the activity levels of each unit, the practice of having one or two officers assigned to provide security, custody and control of over 250 medium inmates during the day shift is inconsistent with realistic expectations of what an officer can accomplish. Relying on supervisory staff to assist, impacts the ability of the supervisor to meet their position responsibilities. As a result, effective supervision in the housing units is not consistently being provided at this facility.

A minimum of (3) FLS staff are being recommended on the day shift and (2) on the night shift seven days per week in the (4) two-tier general population housing units that are similar in design. Additional housing unit staff can be found in the recommended post chart located in the appendix.

Transportation. On average MCI is responsible for providing three medical runs five days per week, Monday through Friday, between one and two court runs 2-3 days per week and hospital coverage in Florence. Based on policy a minimum of two staff are required for all transports of level II and III inmates. Current staffing practice is for two dedicated staff to be assigned to transportation and provide hospital coverage.

The medical administrator was contacted and reported that approximately 40 to 50 percent of the medical appointments outside the facility must be rescheduled due to limited security staff. Based on reported existing workload levels, additional five-day transportation/hospital coverage posts should be formally recognized at ECI; and

Restricted Housing Unit. The Restricted Housing Unit (RHU) has an operating capacity of 101 and consists of two separate housing areas, referred to as A-Wing and B-Wing. Each wing contains two tiers, surveillance cameras, a small dayroom area, secure cells, recreational space and showers. Some cells have a single entrance door and others have a double door entrance. The cells with a double door have a secure vestibule located between each door. The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support.

The control room is required to be staffed on a 24-hour basis. In-house policy requires assigned staff to conduct 30-minute security checks, escort medical personnel on the wing, deliver mail as necessary, deliver meals, conduct inmate counts, escort inmates to the shower, visitation and recreation area and conduct building security checks. For inmates to be escorted out of their cell, a minimum of two staff are required to be present. All these responsibilities require additional security personnel other than the officer assigned to the control room. Appropriate staffing levels should be provided to meet responsibilities consistent with policy. The post recommendation includes establishing (1) 24/7 control room officer; (2) five-day 8-hour RHU recreation/support officers; (2) five-day 8-hour inmate escort officers; (4) seven-day 12-hour day shift officers; (2) seven-day night shift officers; (1) 24/7 sergeant and a 12-hour seven-day Lieutenant post.

Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Evans based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the post hour requirements divided by the number of hours that the average employee assigned to the post is available. The SRF provides a reference as to how many FTE are required to meet post responsibilities.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

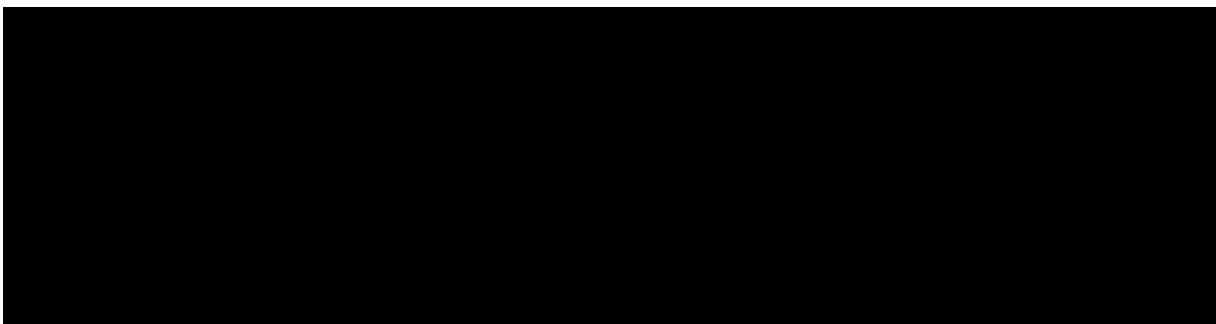
The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017;
- The purpose of evaluating data from the past three years instead of one year, minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Evans the use of "other-time" increased significantly in 2016 and 2017. Other-time includes time off resulting from injury on the job, military leave, FLMA, bereavement, unexcused absences, disciplinary, special assignments, etc.

The average full-term security staff member used (67) hours of “other-time” in 2017. In 2016, an average of (52) hours was used and in 2015 an average of (15) hours were used. Based on the data reported, the number of hours off due to “other-time has more than tripled in the past two years. The average for all the other facilities in 2017 was (25.5);

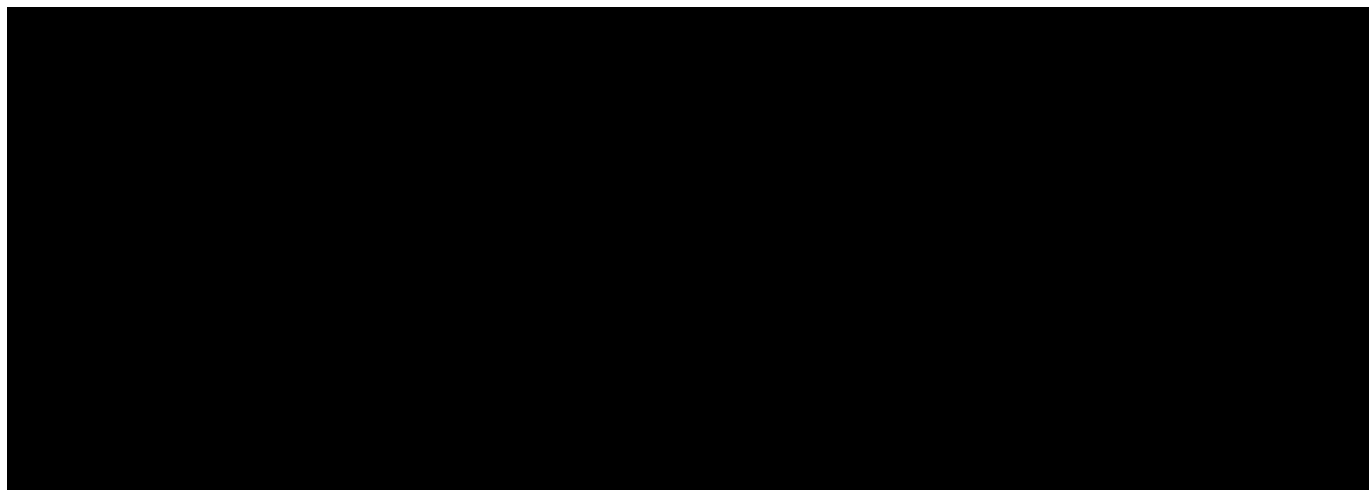
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.



A shift relief factor of 4.92 can be translated to mean that for one year, an average of slightly less than 5 (4.92) staff will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor to fill an 8-hour post assignment requires on average 1.27 staff throughout the year.

Number of Staff Recommended

- A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Evans Correctional Institution when fully operational. As the mission changes, the staff requirement may also change.
The staffing recommendation is based on applying the following:



[REDACTED]

[REDACTED]

Kershaw Correctional Institution

The Kershaw Correctional Institution (KCI) is a state operated level 2 facility located approximately 60 miles northeast of Columbia in the town of Kershaw, South Carolina. The facility was opened in 1997 and serves as one of South Carolina's adult male medium security correctional facilities. The current operating capacity at Kershaw is 1,365 and the average daily population the last six months of 2017 was 1,305.

While most of Kershaw's inmate population is considered medium custody a small percentage of inmates (approximately 7 percent) are classified as level 1B (minimum) and assigned to various work details including details located outside the perimeter. At the time of the site assessment approximately 16% of the population was on a mental health caseload.

In addition to providing housing and services for general population inmates, Kershaw also provides housing and services for special programs including the Restricted Housing Unit and the Character-Based Program. The Restricted Housing Unit is available to house inmates requiring more intense behavioral levels of supervision. The inmates are housed and programmed separately from the general population.

The Character-Based program is a residential program available for qualified inmates interested in participating in a pro-social and personal development program. In this peer-to-peer accountability program inmates are eligible for work assignments and are housed separately from the rest of the general population.

The physical plant at Kershaw was built as a medium security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, sensors, lighting, vehicle access gate, mobile perimeter patrol, perimeter towers and an alarm detection system.



Inside the perimeter there are a variety of buildings, equipment and open space available to help meet existing facility responsibilities. **The facility is primarily divided into two separate courtyards with a common support building and internal fencing located in between each yard.** There are two separate dining halls one for each side, separate canteens, separate pill-line windows and separate commissaries.

The physical plant also contains the following: Front Gate/Vehicle Access Gate; Administrative Services Building; Main Control; Secure Personal Property Storage; Visitation Area; Medical; Maintenance; Multi-Purpose; Cafeteria; Vocational Education; Horticulture; Prison Industries; Back Gate and six separate housing areas. Internal movement control fencing, gates and security surveillance cameras are available throughout the interior of the facility.

Food Services are normally provided to the general population in the main cafeteria which is in the Support Services area. Each side has a separate serving line and dining hall extended off one main kitchen. The warden reported that two meals per day were being provided to the inmates in the housing units instead of the dining hall due to limited staffing available to provide escort and line movement supervision.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

Program Services

In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. The program services have been integrated into the daily facility schedule to include the following: ABE/GED, Vocational Education Programs, Religious Services, Character-Based Program, SPICE program, Volunteer Services, Alcohol and Drug Education, Law Library, General Library, Recreation, Horticulture, Visitation, Canteen, Commissary and the Prison Industry Program.

Housing Unit Designs

There are three primary housing unit designs available at KCI. All the housing units contain cells as dormitory style housing is not available at this facility. The housing unit designs are consistent with nationally recognized practices for a level 2 facility and include both direct and indirect supervision units. In total there are six housing units at KCI.

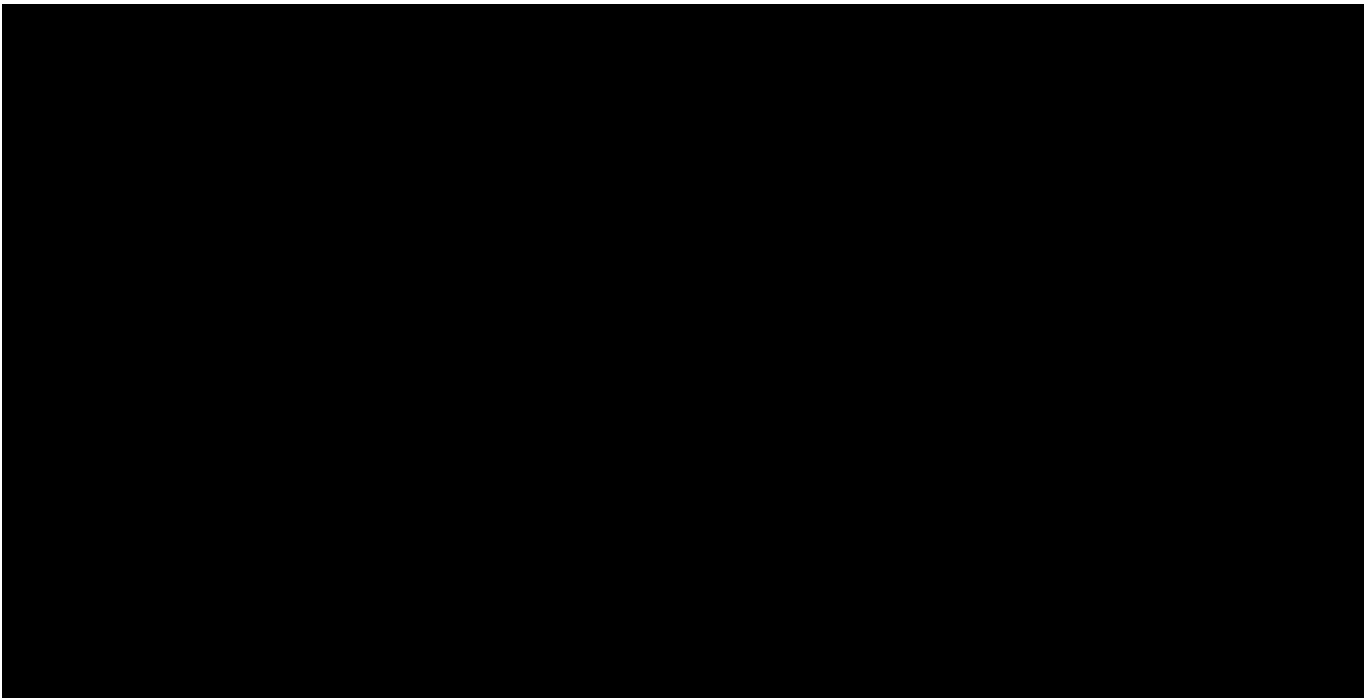
- **Direct Supervision Units.** Four of the housing units are considered direct supervision units. Officer work stations are located both within the living area as well as outside the living area immediately adjacent to the inmate living space. The units were designed to have officers assigned in the living area. Each unit contains two wings and secure double occupancy cells located on both the ground floor and mezzanine level. All cells contain a wash basin and toilet. In addition to a dayroom, an open officer work station, group program space, showers, telephones and passive recreational opportunities are available in each wing. In total, the operating capacity of each unit is (256).
- **Indirect Supervision Unit.** There is one multi-level indirect supervision housing unit that has a reported operating capacity of (254).

An elevated secure control center is centrally located in the unit surrounded by security glazing and four separate living areas (wings). Staff assigned to the control room can view the activity into all four wings and remotely operate the secure doors in the wings. Each wing contains double occupancy cells which are equipped with beds, toilet and a wash basin. Showers, telephones, dayroom and passive recreation space are available in the dayroom and an adjacent outdoor recreation yard is provided.

The cell doors in all four of the wings are considered "sliding doors" instead of "swing doors". Sliding doors are designed to slide open/close instead of swing out from the opening of the cell. Staff assigned to the unit reported that on occasion some of the cells doors in the unit reportedly would not always secure. Three of the wings had an operating capacity of (64) and one had an operating capacity of (62).

- **Restricted Housing Unit.** The Restricted Housing Unit consists of one multi-level unit containing two housing wings and a secure control room located in between each wing. Personnel assigned to the control room are responsible for providing back-up support to the wing officers, distributing security equipment, maintaining communications using a video monitor, two-way radio and telephone, and activating an electronic door access control panel that operates the security doors within the unit. The living areas contain secure cells including (2) safety cells. All cells have a toilet and wash basin. Showers are located on each wing and outdoor recreation space is available in a secure area located adjacent to the unit. The reported capacity of the unit is (96).





The primary difference in the security staffing levels is in the number of front-line positions filled, which includes cadets, correctional officer I/II's and corporals. A significant decrease in front-line security (FLS) staffing levels began in 2013 and had continued to decline through all of 2017. The **average number of filled FLS staff positions** for each year since 2013 was the following:

- **2013:** 145.25; **2014:** 131.5; **2015:** 108.3; **2016:** 105; **2017:** 89.4.

In 2017, the facility was operating with 38.5% fewer FLS staff than were available in 2013. There was no indication, staff workloads have significantly changed during the past five years to justify the decline.

As noted, KCI is operating at extremely deficient levels when compared with both the department recommended and approved FTE levels.

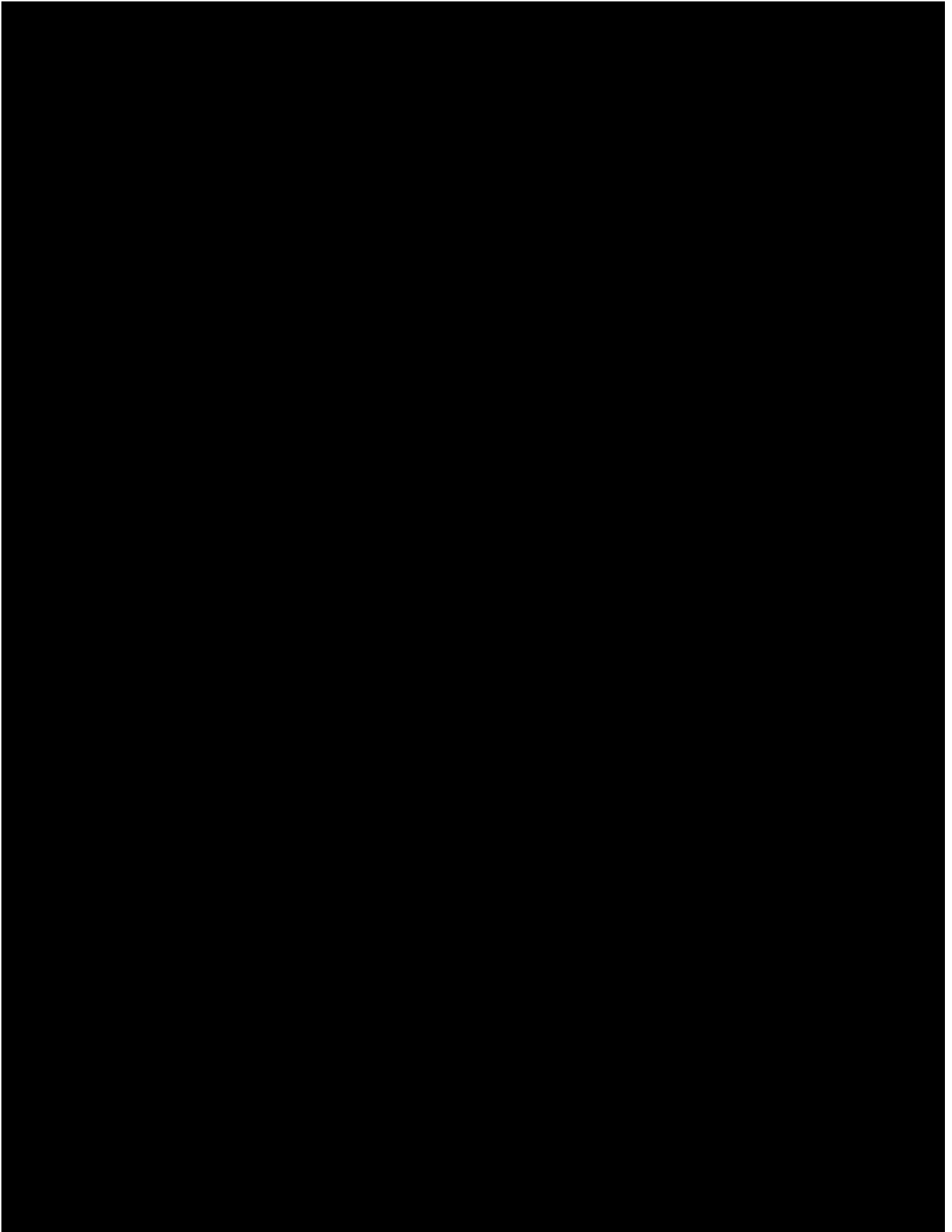
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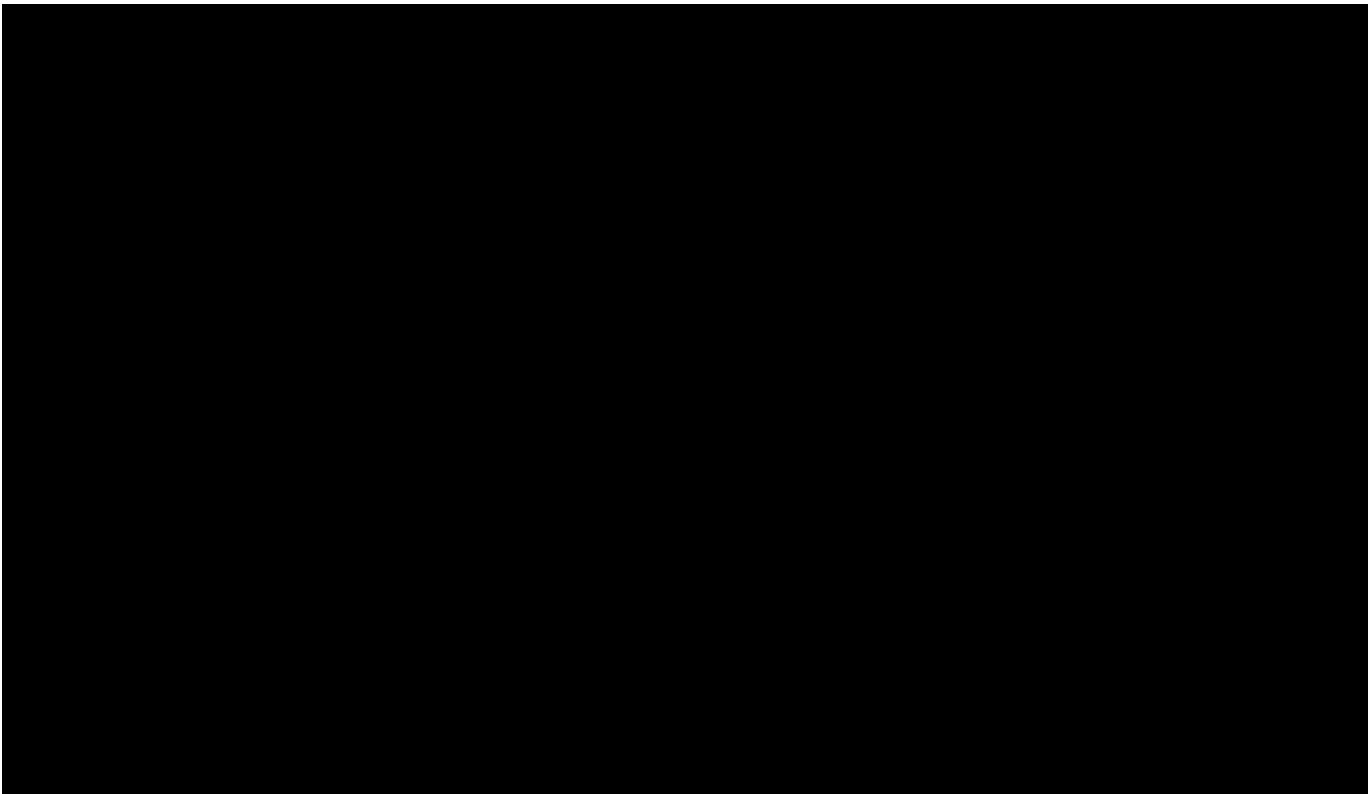
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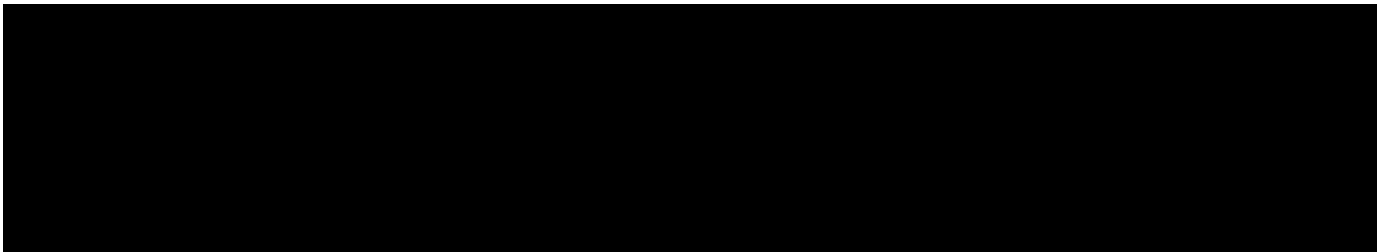
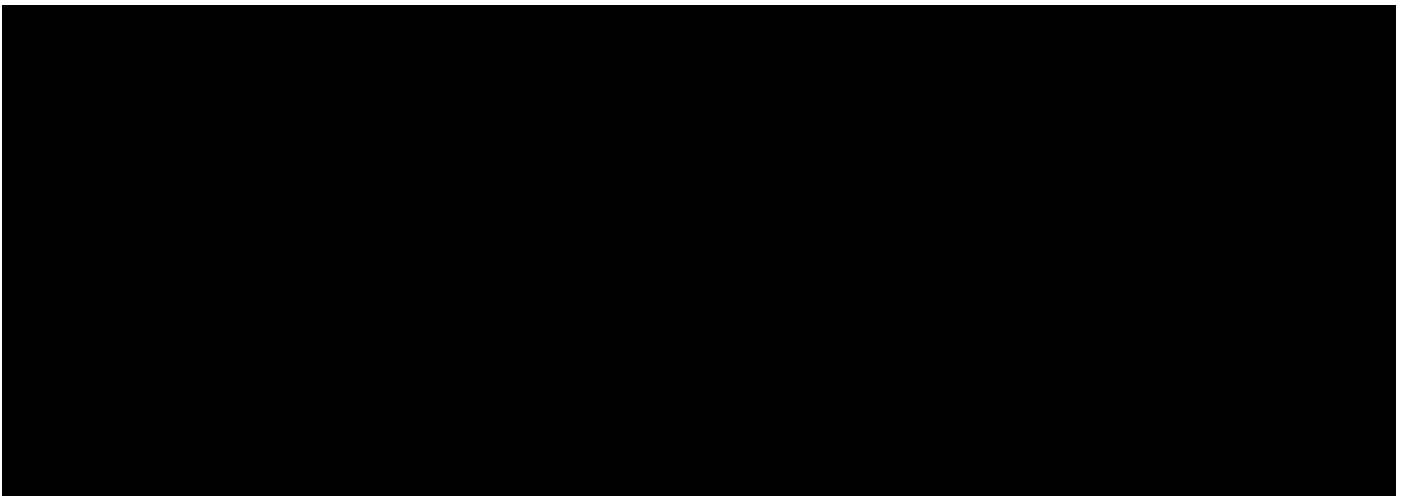
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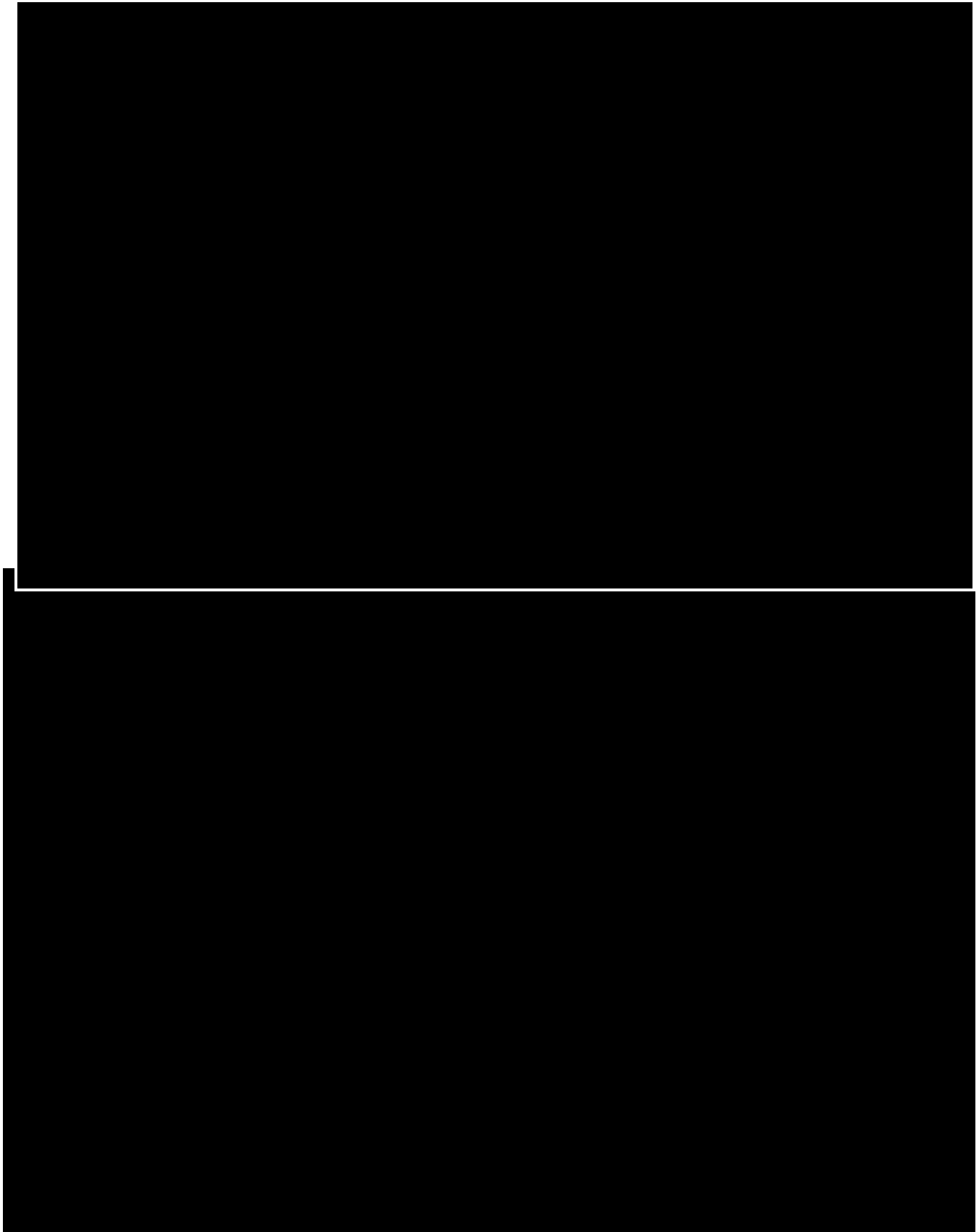
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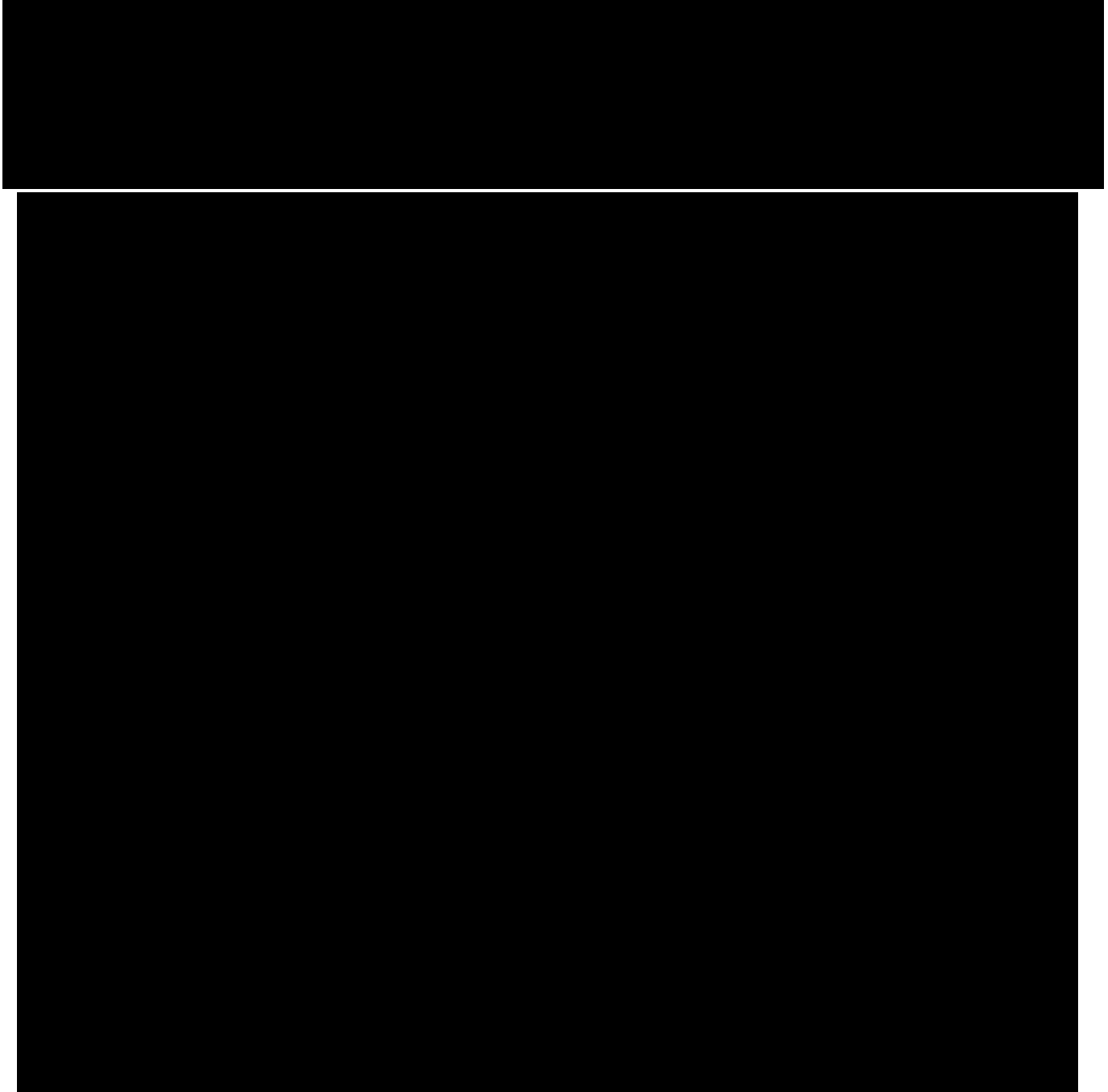
The Director of the department has been at the forefront on a national basis calling for federal support to repeal federal laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials. In addition, the Act prohibits the manufacture, importation,

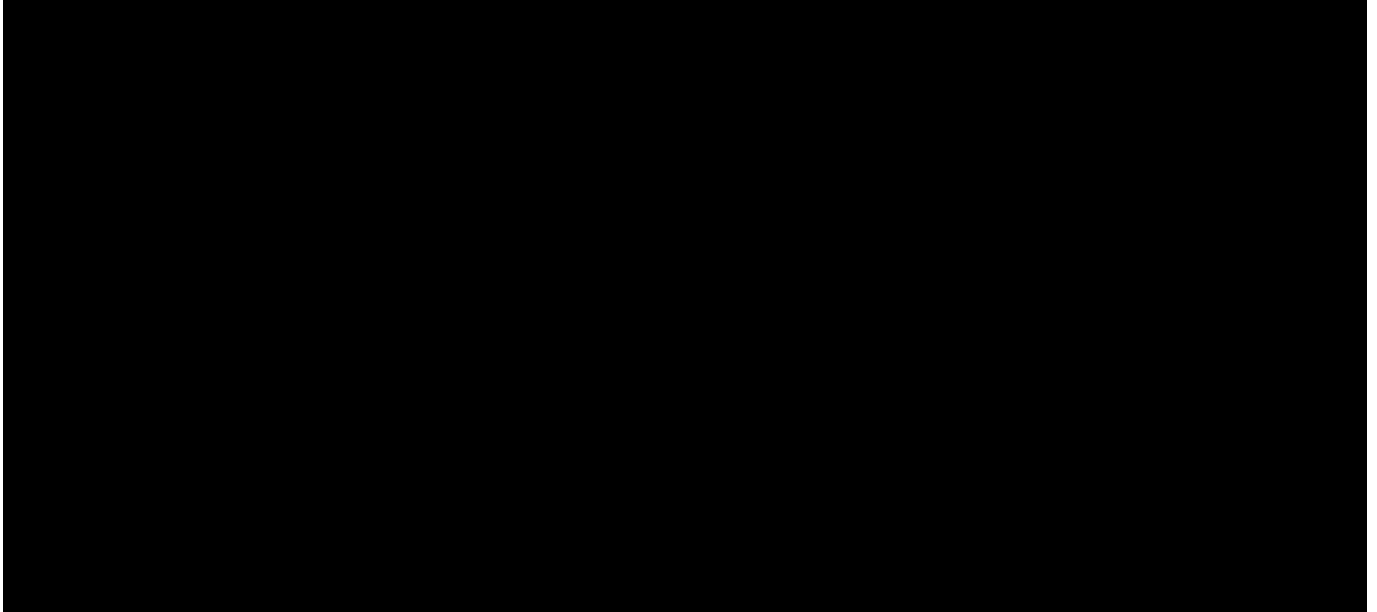
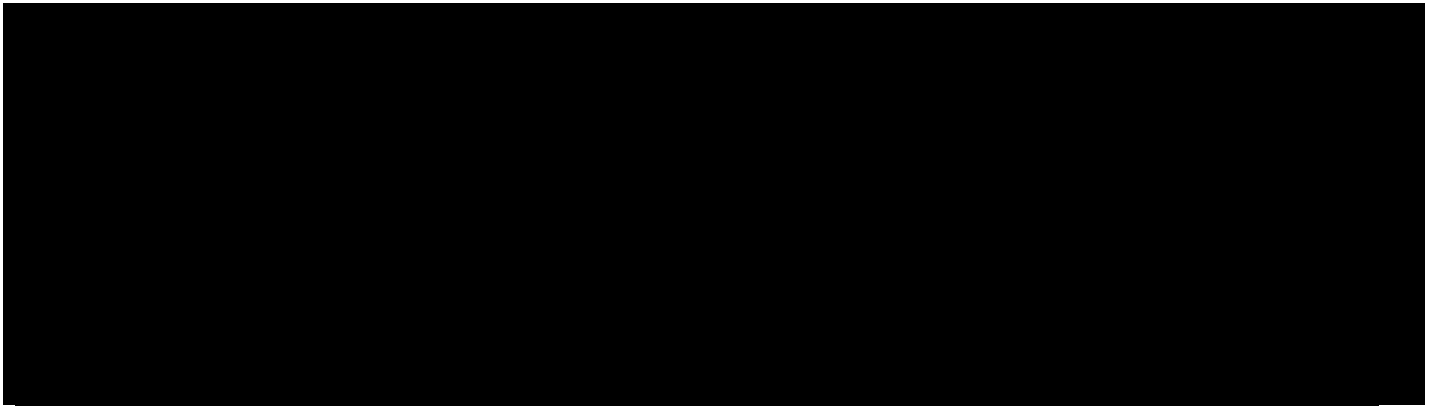
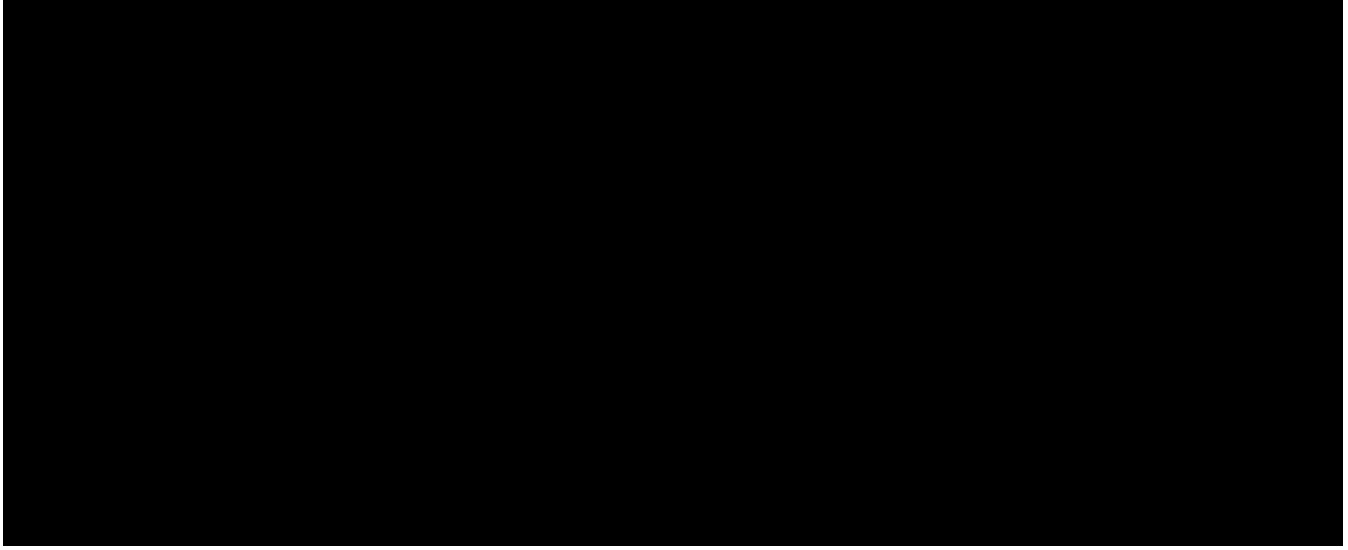




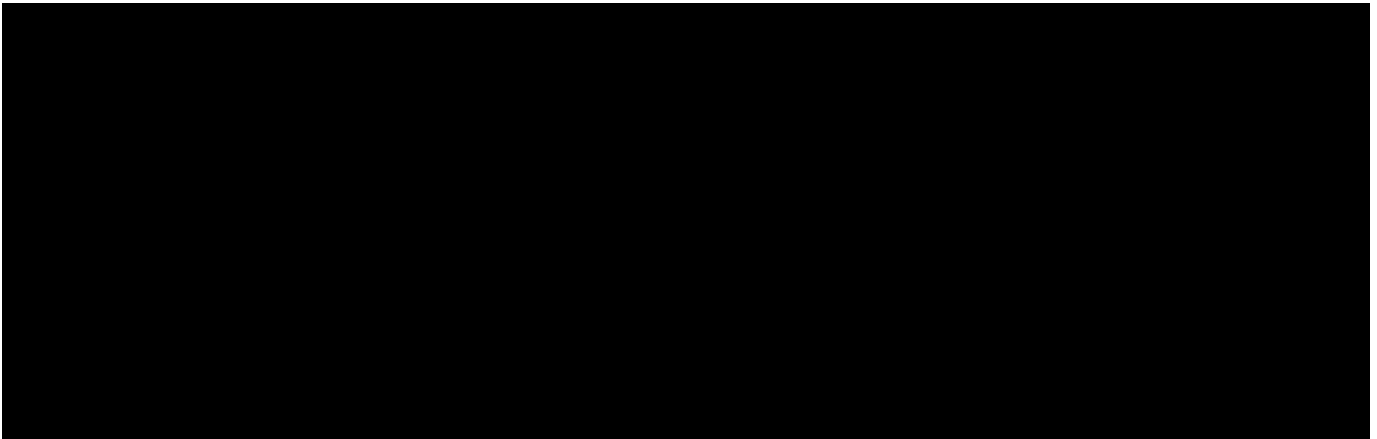
Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Associate Warden of Programs). On the date of the on-site assessment all the administrative core positions were filled. The Warden was debriefed and interviewed at the start and conclusion of the on-site assessment and was available throughout the day to discuss facility operations and to clarify pertinent staffing-related questions. On the day of the on-site visit the two associate wardens provided the assessment escort throughout the facility. The Warden and Associate Warden of Operations were contacted via telephone after the on-site visit to further discuss staffing related issues at the facility.

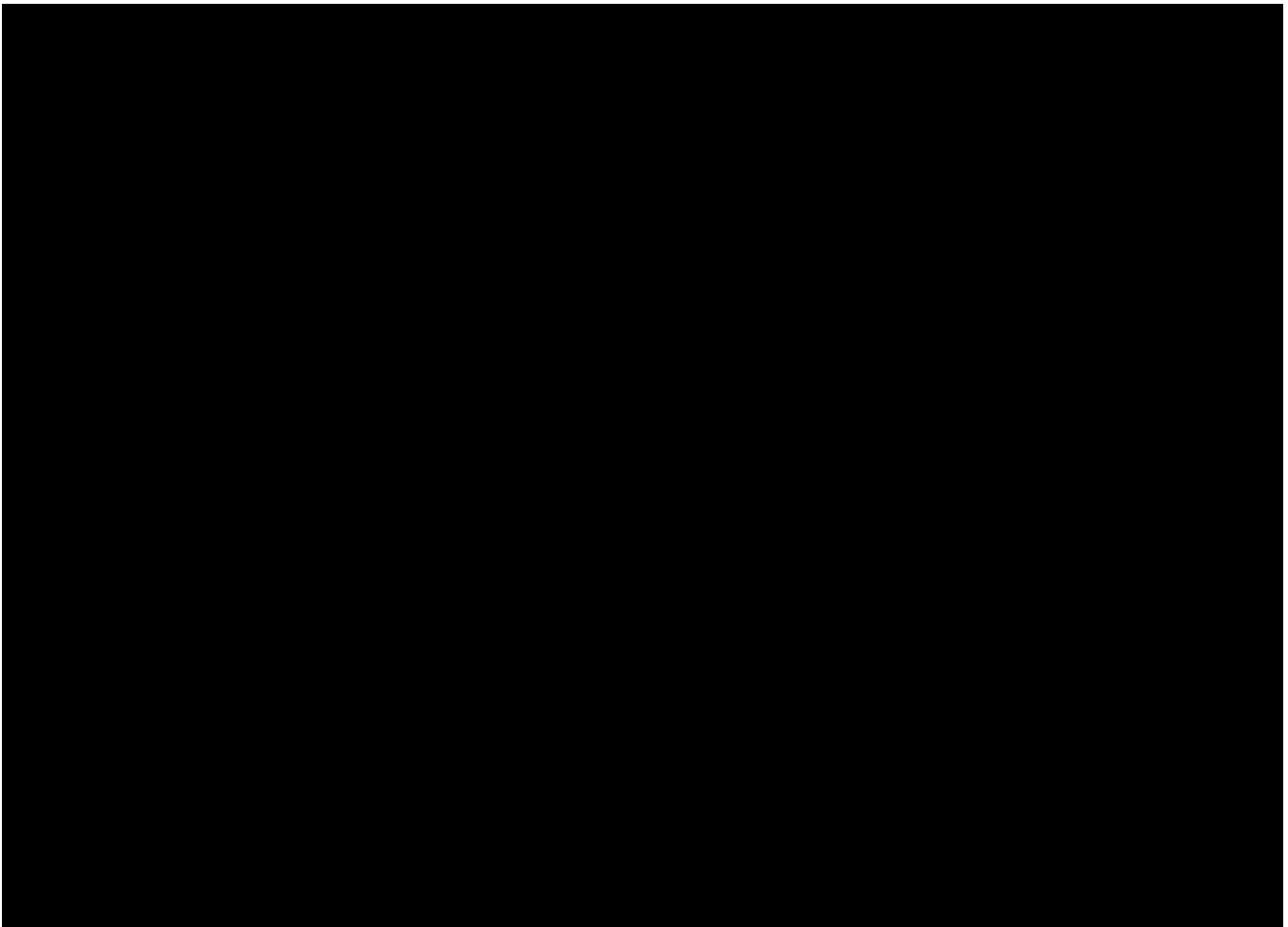




Roster Management



Shift Assignments. Facility management personnel at KCI have developed a master shift assignment roster for security staff that identifies the names of the personnel assigned to each shift, their position classification and status. In addition, personnel assigned specifically to the “contraband control” posts were also identified.



Daily Shift Roster. In addition to the master shift assignment roster daily shift rosters are also maintained for the 12-hour shifts identifying in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. Based on a review of sample daily post assignment rosters there is no recapitulation data provided, no post classifications identified or any consistent reference to staff assigned from alternative shifts. This is critical when identifying post coverage trends, staffing needs and how available staff are being utilized.

The C-Card maintains an automated daily shift roster that identifies the post number, post description, area, post type, responder, name of the employee, gender and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed for the C-Card. As a result, there is no reference to post classification levels or a recapitulation table for the C-Card shift.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first.

In reviewing sample daily shift rosters and interviewing staff at the facility it appeared all the mandatory posts identified in the *Division of Security* post chart were not consistently being filled.

The discrepancy between operational practice and recommended mandatory posts was primarily in the consistency of filling all the mandatory posts and the number of staff assigned when more than one was recommended.

The following mandatory 24-hour FLS posts were identified as not having dedicated personnel assigned on multiple daily shift rosters: Plaza Gate (primarily on the evening shift); Back Gate and Yard Officer.

The following mandatory 24-hour FLS posts were identified on daily shift rosters as being filled; however; not at the level as recommended: Housing Unit North (4); Housing Unit South (7) and Restricted Housing Unit Wing Officers (4/3) indicating (4) on days and (3) on nights.

Each of the housing units were normally operating with fewer dedicated FLS staff than recommended by the department. Unit management personnel were routinely used to fill FLS staff post assignments when they were present and additional shift personnel would spot check housing units intermittently when available.

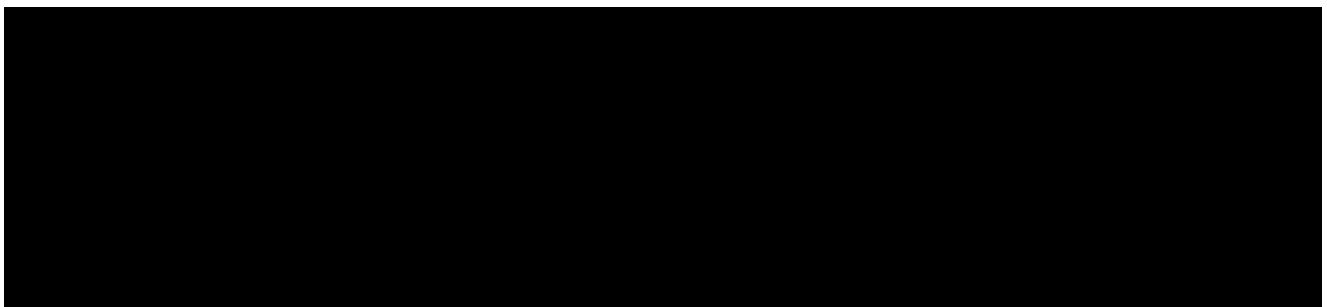
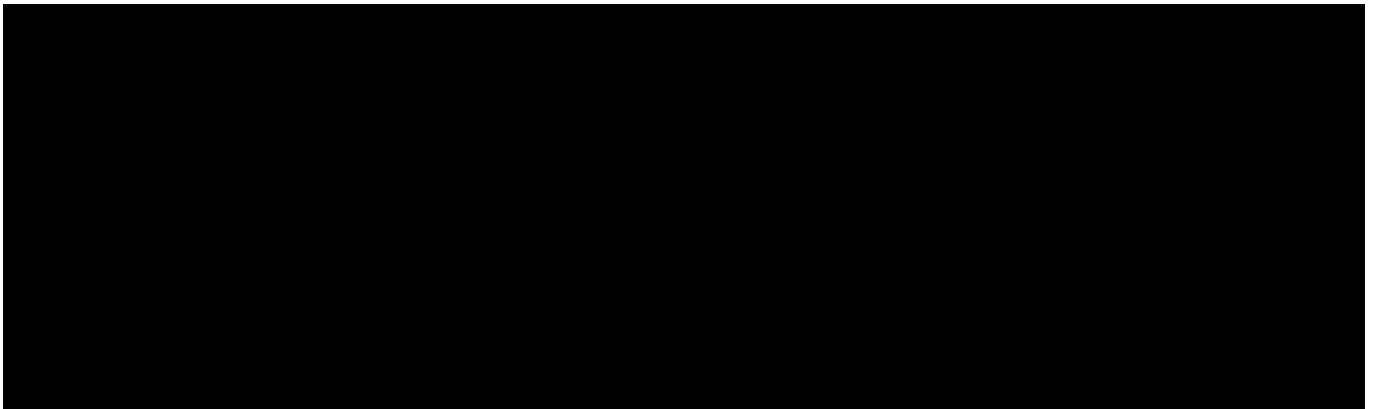
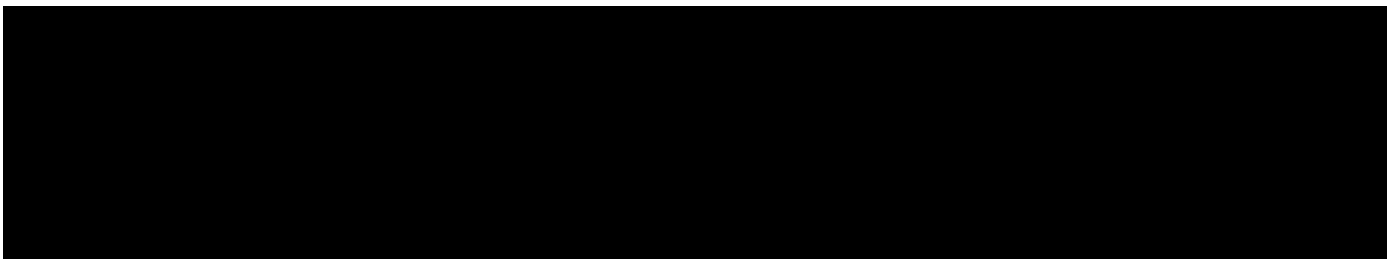
At Kershaw the fundamental elements of a roster management system including the identification of post assignments, recommended staffing levels, shift scheduling and daily shift roster development are in place.

The primary concerns with the roster system include the following:

- The post chart identifies mandatory posts that need to be filled and are not routinely filled due to available staffing levels. The current operating practice when insufficient staff are available is to contact qualified staff currently assigned or on their off-day to determine their interest in working additional hours.

Based on the number of staff that are interested in working additional hours combined with the scheduled staff, the shift commander fills as many posts as possible. Most often this results in mandatory posts going unfilled, staff working multiple posts and post assignments remaining unfilled;

- The alternating 12-hour shifts are not balanced. The two alternating night shifts varied by (4) FLS staff and the two alternating day shifts varied by (3) FLS staff on the day of the site assessment. Monitoring and adjusting 12-hour shift rosters when appropriate should be considered and reviewed on an ongoing basis;
- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis due to available staffing. Monthly in-house reviews should be completed to determine the effectiveness of the system and establish minimum staffing levels; and
- Daily shift rosters need to be updated to consistently reflect how all staff assigned to the shift are utilized, including clearly identifying those posts considered mandatory and a recapitulation table. Staff assigned to posts for less than a full shift, detailed to a special assignment, originally assigned to another shift and using benefit time should be clearly identified on the daily roster.



The following post assignments identify core posts, that are considered either essential or critical assignments, that are not normally being filled at an appropriate level.

Court Yard. The Kershaw Correctional Institution is a campus-style facility divided primarily into two sides. The two sides are separated by interior fencing, security gates, and program and service buildings. Access from one-side of the facility to the other is primarily through interior gates. One side has three housing units, a courtyard, interior fencing, dining hall, canteen, prison industries, vocational education program, pill line distribution and access to program services. The other side is similar; however, has two housing units, vocational education, horticulture and maintenance.

All the authorized movement at Kershaw is considered controlled movement that includes in part unescorted movement between the housing units and program and service areas. To get from the housing units to most program activities and services inmates are required to walk through the courtyard which includes limited interior fencing and gates. There are normally not enough staff assigned to the housing unit to escort the inmates.

It is essential and a fundamental correctional practice in a medium-security facility that security staff be present to monitor, control access and authorize inmate movement. Based on the number of inmates housed at the facility, type of inmate and location of work, program and service areas in relation to the housing units, dedicated yard officers should be consistently assigned to control access, monitor existing activity levels, including medical pill and insulin lines, provide internal roving security and serve as responders. The recommendation includes additional posts assignments for the courtyard;

Kitchen/Dock. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock area for the cafeteria. Food service personnel are normally present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. No security personnel are normally assigned to the kitchen/dock area which should be considered a critical post and high-risk area. The back dock provides potential access to delivery vehicles, waste containers, the back of prison industries, vocational education and maintenance and the back gate. A Back Dock/Courtyard post has been established which would include dock supervision; however, the post is rarely if ever filled. The updated recommendation includes a kitchen/dock post to address existing responsibilities;

Housing Units. The general population housing units when fully operational each have an operating capacity of between 250 and 256. In three of the general population units the inmates are housed in one of two multi-level wings located within each unit. Each wing is separated by an interior sally port that contains a secure entry/exit to the building, work space and entry into each wing. Visibility from the sally port into each wing is limited.

In the fourth general population unit, there is a secure elevated control room surrounded by four separate housing unit wings. Some of the cell doors in two and one-half of the wings were reported to be capable of being manipulated to not secure. Current operational practice includes staffing the control room continuously and having at least one FLS security staff assigned to the housing wings. Actual staffing levels vary by shift, day and the availability of supervisory staff and unit management personnel.

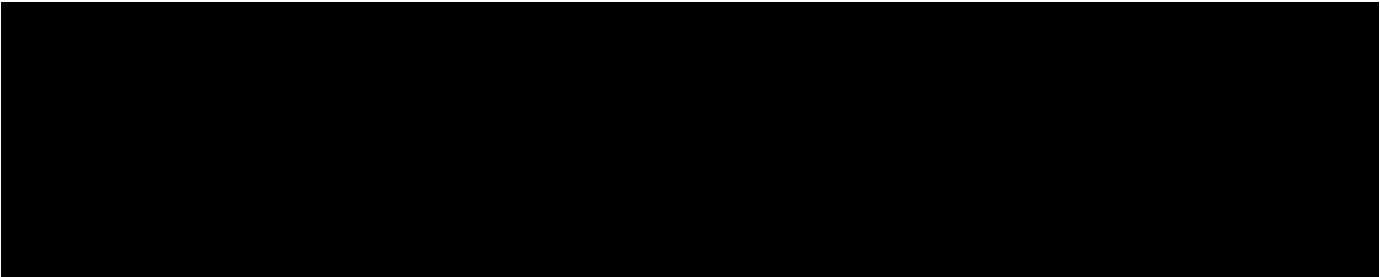
Based on everyday responsibilities of an officer and the activity levels of each unit, the practice of having between one and two officers assigned to provide security, custody and control of 250 medium custody inmates is inconsistent with realistic expectations of what an officer can accomplish. Relying on supervisory staff to assist, impacts the ability of the supervisor to meet their position responsibilities. As a result, effective supervision in the housing units is not always being provided in this unit.

The facility reportedly has an internal policy where if there are not at least two staff assigned to a unit the unit will be on lockdown status. Based on the operation report, the facility was on partial or full lockdown status over 300 times during the first eleven months of 2017. Additional housing unit post assignments are identified in the updated recommendation;

Restricted Housing Unit. The Restricted Housing Unit consists of two separate multi-level sections, each containing two housing wings and a secure control room located in between each wing. **One of the housing sections was not being used.** The living areas provide secure cells, including four crisis cells which contain security cameras. All cells have a toilet and wash basin. Each wing contains two tiers, surveillance cameras, a small dayroom area, secure cells, recreational space and showers. The capacity of the one unit is (92).

The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support. The control room is required to be staffed on a 24-hour basis. In-house policy requires staff to conduct 30-minute security checks, escort medical personnel on the wing, deliver mail as needed, deliver meals, conduct inmate counts, escort inmates to the shower, visitation and recreation area, address inmate concerns and conduct building security checks. For inmates to be escorted out of their cell, a minimum of two staff are required to be present.

All these responsibilities require additional security personnel other than the officer assigned to the control room. This is a staff intensive high security unit and when insufficient personnel are available required responsibilities may not be met, including access to showers and/or recreation, cell checks and distribution of supplies. Appropriate staffing levels should be provided to meet responsibilities consistent with policy. Additional post assignments are identified in the updated staffing recommendation;



Shift Relief. A shift relief factor is not reflected in current assigned staffing levels. Applying the number of security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments.

Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Kershaw based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers;

At Kershaw the overall use of "leave-time" has increased over the three-year period.

- Sick-Time: In 2017, the average full-term security employee used (119) hours of sick-time, compared to (84) hours in 2016 and (69.5) hours in 2015;
 - Annual-Leave (vacation): In 2017, the average full-term security employee used (104) hours of annual-leave, compared to (76) hours in 2016 and (85) hours in 2015;
 - Other-Time (FMLA, Military, Injury, etc.): In 2017, the average full-term security employee used (27.6) hours of other-time, compared to (11.9) hours in 2016 and (21.5) hours in 2015.
- The SRF is reflective of the facility being fully staffed; and
 - Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

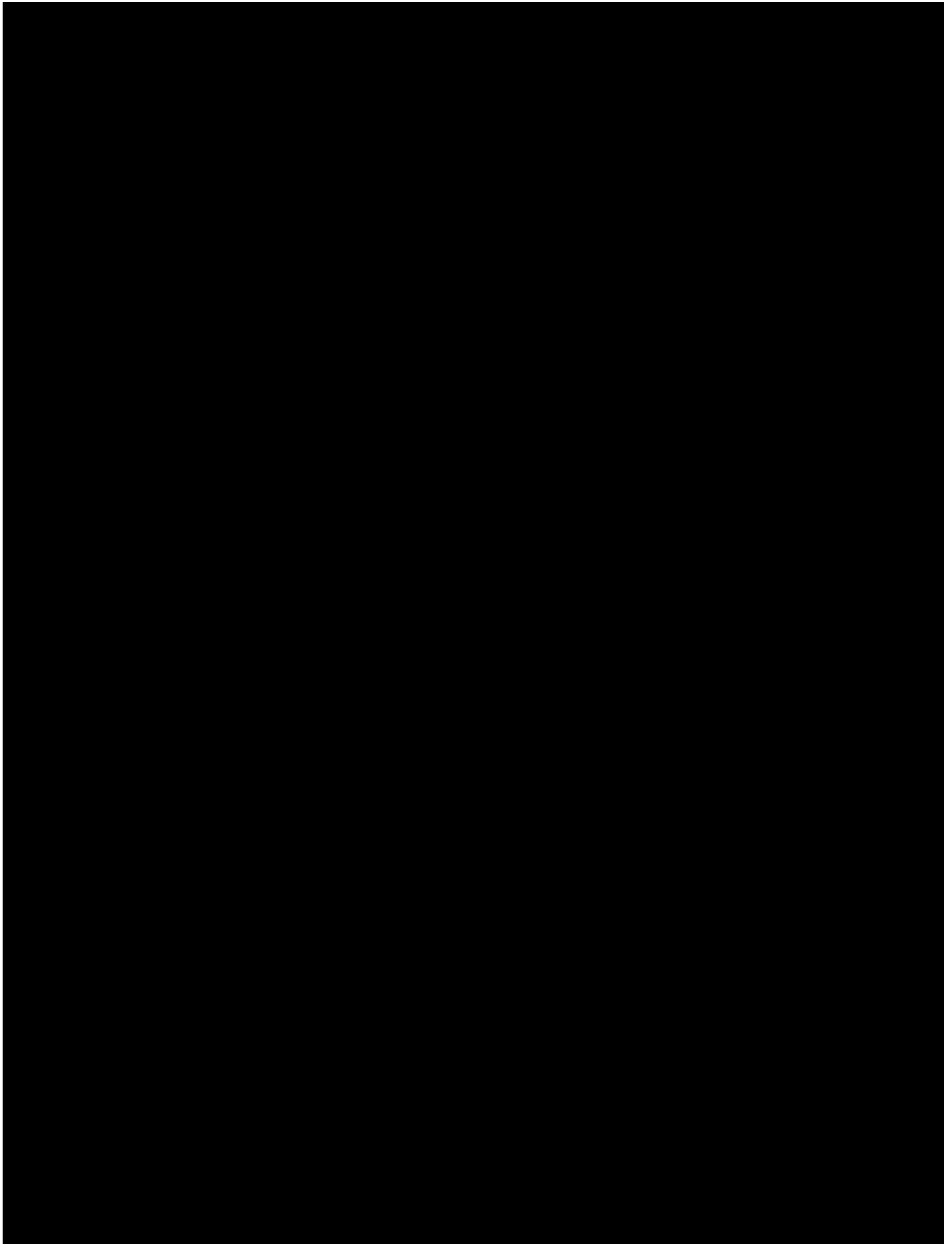
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Ridgeland Correctional Institution

The Ridgeland Correctional Institution (RCI) is a state operated level 2 facility located approximately 130 miles south of Columbia in the town of Ridgeland, South Carolina. The facility was opened in 1995 and serves as one of South Carolina's adult male medium security correctional facilities. The operating capacity at Ridgeland is 1,020 and the average daily population during the last six months of 2017 was 1,012. One wing of a general population housing unit had been closed due in part to limited available staffing levels.

While most of Ridgeland's inmate population is considered medium custody a small percentage of inmates (approximately 6 percent) are classified as level 1B (minimum) and may be eligible to be assigned to work on supervised work details located outside the perimeter. Approximately 11% of the inmate population was on a mental health caseload.

In addition to providing housing and services for general population inmates, Ridgeland also provides housing and services for special programs including the Restricted Housing Unit. The Restricted Housing Unit is available for inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed separately from inmates assigned to the general population.

The physical plant at Ridgeland was built as a medium security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, high-mast lighting, vehicle access gate, mobile perimeter patrol and an alarm detection system.



Inside the perimeter are a variety of buildings and open space provided to help meet existing facility responsibilities. The physical plant contains the following: Front Gate, Administrative Services Building, Main Control, Medical, Prison Industry Program, Maintenance/Vehicle Gate Area, Support Services Building, Education/Library and Multi-Purpose Building, Restricted Housing Unit, General Population Units, Greenhouse and a large open courtyard located in the center of the facility.

Food Services are normally provided to the general population in the main cafeteria located in the Support Services area.

All authorized inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

Housing Unit Designs

There are two housing unit designs at the Ridgeland Correctional Institution. All the housing units contain secure cells as dormitory style housing is not provided at this medium-security facility. The housing unit designs are consistent with nationally recognized practices for a level 2 facility. In total, there were five inmate housing units at RCI that were considered operational.

General Population. The general population housing units consist of four **direct supervision** two-tier units similar in design. Direct supervision units provide an open officer work station located within the inmate living area. The living areas are referred to as "wings" as they represent one of two primary housing areas within each unit. The living areas contain ADA recognized and double occupancy cells, dayroom space, showers and an open-counter officer work station. Each cell contains a toilet and wash basin. Most of the cells are designed for double occupancy. Total operating capacity of a wing in the four similar designed housing units is approximately 136. In the front center of the unit is a secure indoor sally port and staff working space. In the back of each unit located between the two wings is an open-air recreation yard. Security surveillance cameras are available in select areas.

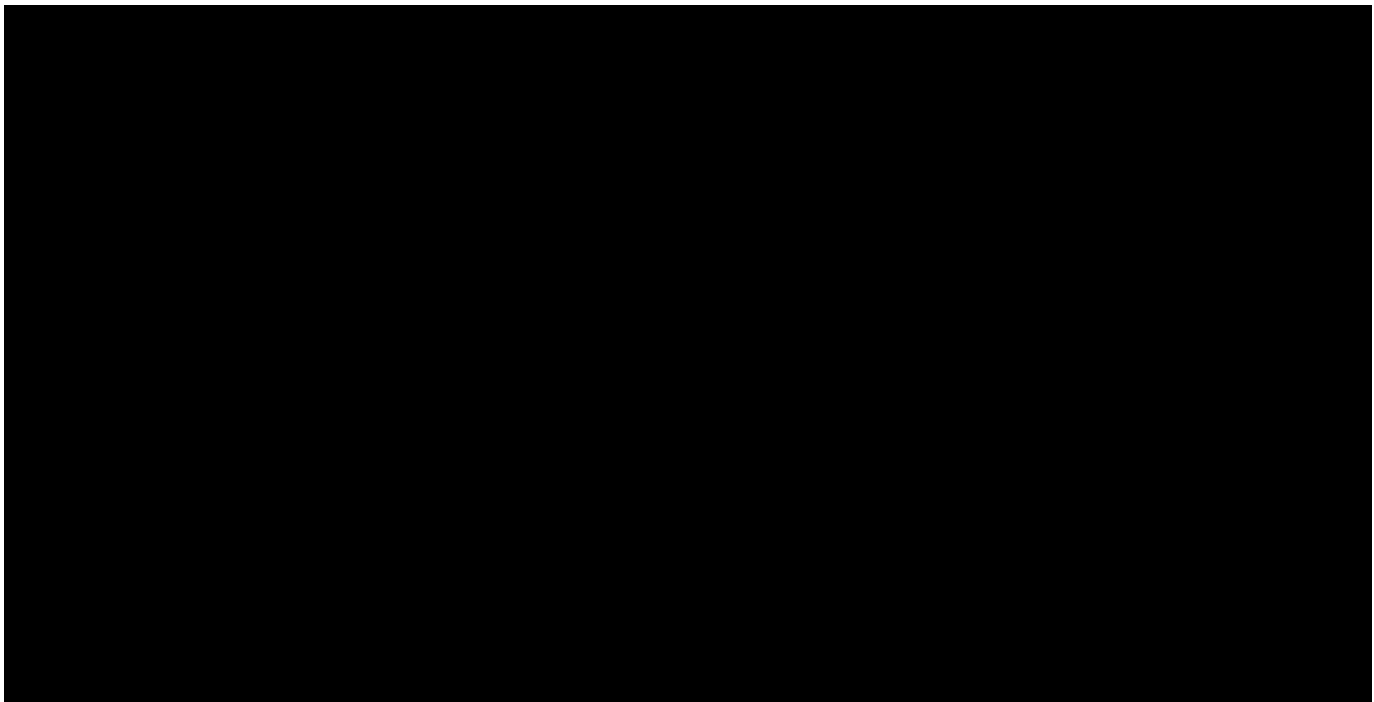
Restricted Housing Unit (RHU). The RHU is a single-story building that has a reported operating capacity of approximately 72. The unit consists of a secure entrance sally port and four separate living areas surrounding a control room strategically located in the center of the building. Control room staff are responsible for providing back-up support to the wing officers, distribute security equipment, maintain communications using a video monitor, radio and telephone, and activate an electronic door access control panel that operates the security doors within the unit. Individual showers controlled by security staff are in each cell, inmate telephone access is provided in the unit and outdoor recreation is provided in a secure area adjacent to the building.

Program Services

A wide variety of program services are available and integrated into the daily facility schedule. Primary programming includes ABE/GED, Vocational Education, Religious Services, Anger Management, Character-Based Program, Volunteer Services, Road to Recovery, Transitional Programing, Alcohol and Drug Education, Highway Work Crew, Mental Health Services, Step-Down, General Library, Law Library, Recreation, Toastmasters Program, Visitation, Canteen and the Prison Industry Program.

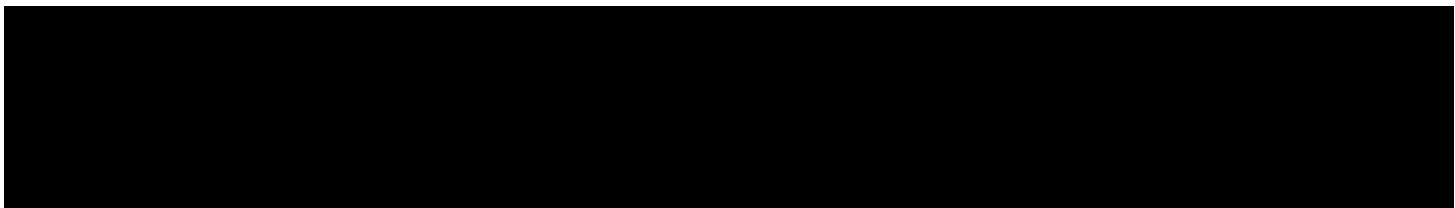


Security staff vacancies have been a concern at Ridgeland for an extended period. In January 2011 the reported security staffing level was (140). In January 2013 the security staffing level was reported as (144), a seven year high for the facility. After 2013, there has been a consistent year-over-year decrease in the overall number of security personnel as shown in the following chart. Specifically, there was a 24% decrease in available staff from January 1, 2013 to January 1, 2018. The figures below identify the total number of filled security positions reported on January 1 of each year.



The primary difference in the security staffing levels at Ridgeland from year to year is in the **average number of front-line positions that were filled**. A significant decrease in front-line security (FLS) staffing levels began in 2013 and has continued to decline through 2017.

In January 2018 the facility was operating with approximately 24% fewer staff than were available in 2013. There were no indication workloads have significantly changed during the past five years, other than the closing of one housing unit wing to reduce staff workload.

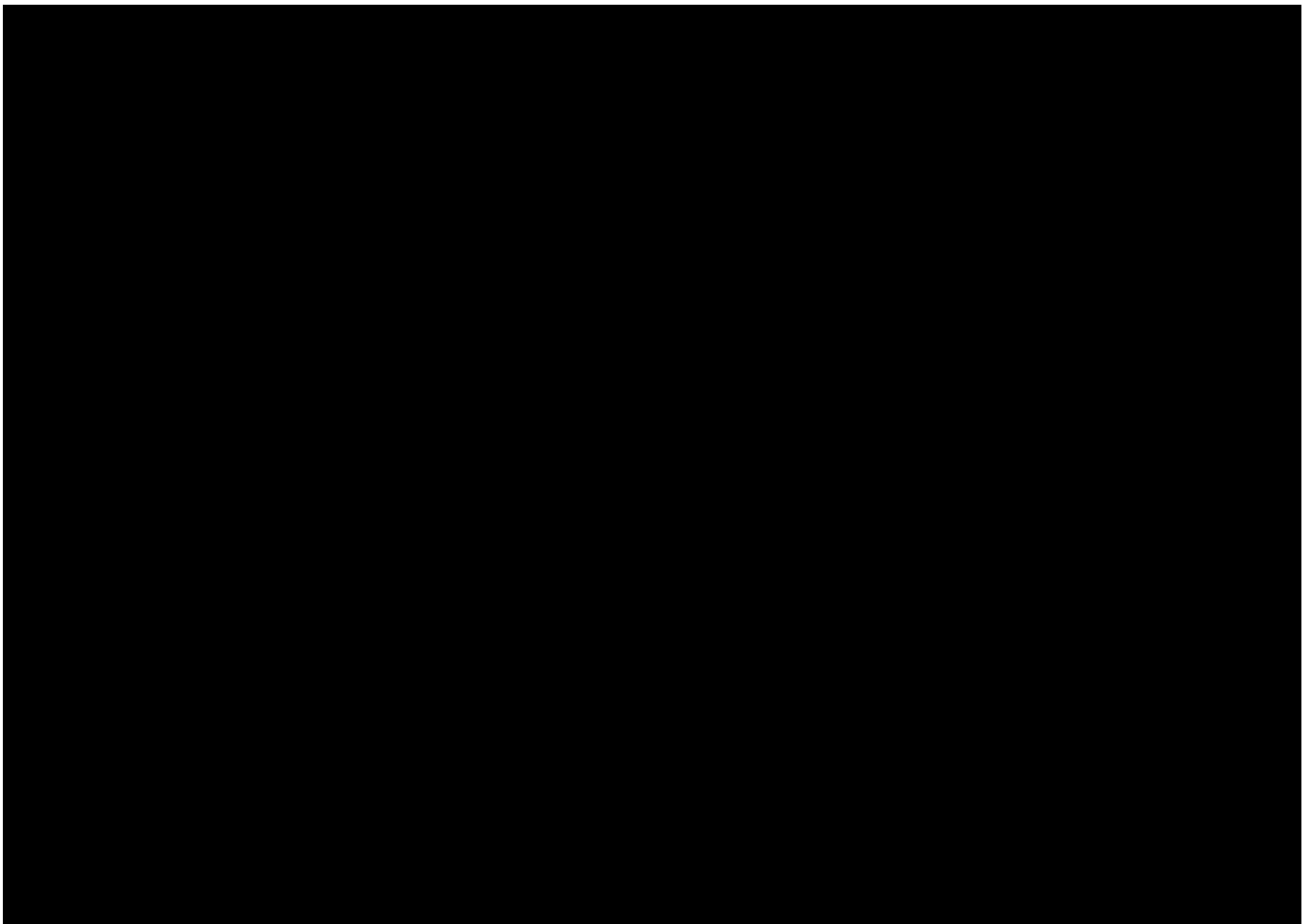




As noted the largest number of vacancies (93.9%) was found in the front-line positions. These are the positions that normally have the most frequent direct contact with inmates and routinely include post assignments such as housing units, transportation, yard, inmate escorts and providing direct security within a specific area.

There was an average of (62) front-line staff assigned to the facility during the five-month (July 1 – December 1, 2017) reporting period. To put into perspective the impact (62) front-line staff (FLS) would have on filling post assignments, the following scenario is provided.

There are five housing units at Ridgeland including four general population units and one restricted housing unit. The restricted housing unit provides housing and services for inmates requiring separation and/or more intense behavioral levels of supervision.



Operational Initiatives in Response to Staffing Levels

In view of the available staffing levels facility management personnel have had to deviate from the established staffing plan and implement several initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)³⁷. Under normal circumstances security staff are responsible for one post at a time. Staff at RCI are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. As a result, basic operating practices are not consistently being performed, including regular cell searches, building and area inspections, pat-down searches, engaging in pro-active security measures and providing inmates assigned to the restricted housing unit consistent access to recreation;
- **Staff are augmented to leverage existing personnel resources.** Approximately 94% of the vacancies were in the front-line staff positions resulting in personnel outside that position classification to frequently fill line staff post assignments.

³⁷ SCDC Policy OP.22.24 Post Orders.

A review of daily shift assignment rosters reflect sergeants, lieutenants and captains are commonly used to complete front-line post duties, limiting their ability to supervise or perform their normal responsibilities;

- **Security personnel from the Allendale Correctional Institution are used to fill Ridgeland post assignments often at an overtime rate.** Allendale security personnel are frequently used to fill external post assignments at Ridgeland including the mobile perimeter patrol, bus transport and the vehicle gate post. During the 60-day period of 7/22/17 – 9/19/17 a total of 1,197.5 hours of overtime was reported by Allendale staff to fill Ridgeland post assignments;
- **12 Hr. Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and Captains are considered exempt employees and not currently eligible for overtime;
- **Staff initially not scheduled to work are frequently required to fill vacant post assignments beyond their normal work schedule.** During the 28-day pay period of 6/24/17 – 7/21/17 a total of 2,779.6 hours of overtime was reported to fill security post assignments. During the 28-day pay period of 7/22/17 – 8/18/17, a total of 2,314.85 hours of overtime was reported to be worked by security staff. One employee had worked 111.5 hours of overtime in addition to their regular 168-hour work schedule during a 28-day pay period. Overtime expenditures at RCI have increased by over 120% during the first eleven months of 2017 when compared with the same period in 2016.

Facility management personnel reported the overtime was primarily the result of personnel filling vacant required post assignments, fewer FLS staff being available in 2017, staff staying after their shift because of late reliefs, providing hospital coverage, inmate transports and to attend required training during their scheduled off-time. Overtime should not automatically be considered a poor reflection of an existing staffing plan; however, excessive overtime can lead to job dissatisfaction, employee effectiveness, resignations and high rates of turnover. At Ridgeland overtime expenditures appeared to be constant and excessive;

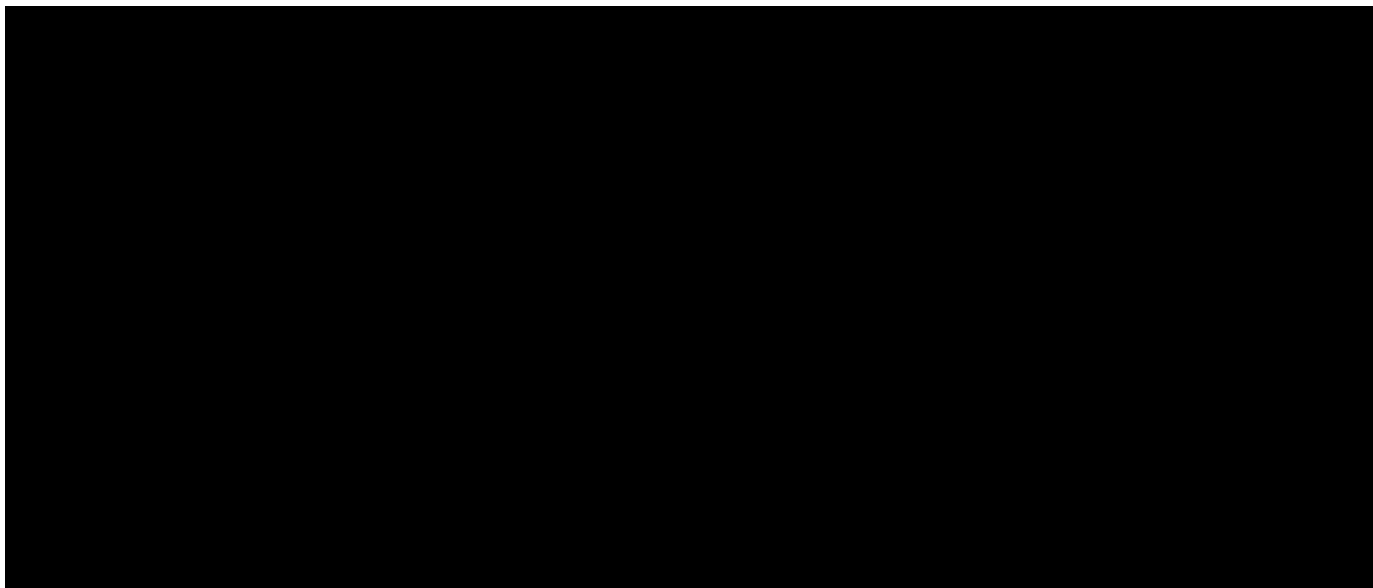
- **The facility is placed on full or partial lockdown to limit movement outside the cell.** During the first eleven months of calendar year 2017 the facility reported that due to staff shortages they were on full or partial lockdown a total of (108)³⁸ days. This resulted in limited access by inmates to programs and services and based on staff reports often resulted in an increase in tension throughout the facility;
- **A “Tiering” Schedule has been developed to limit inmate movement.** A “Tiering” schedule is implemented at the facility, limiting the number of inmates out of their cell during “dayroom time”. Normally during full operations, the inmates assigned to the entire wing would have the option of being allowed out of their cells during scheduled dayroom time.

The tiering schedule divides the housing wing in half, and only Inmates assigned to either the upper or lower tier are allowed out of their cell during scheduled dayroom-time.

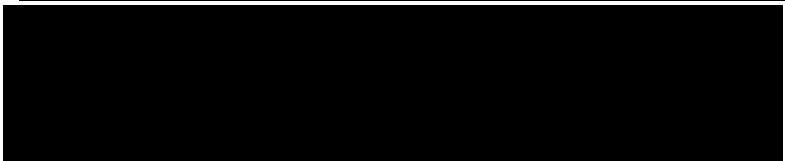
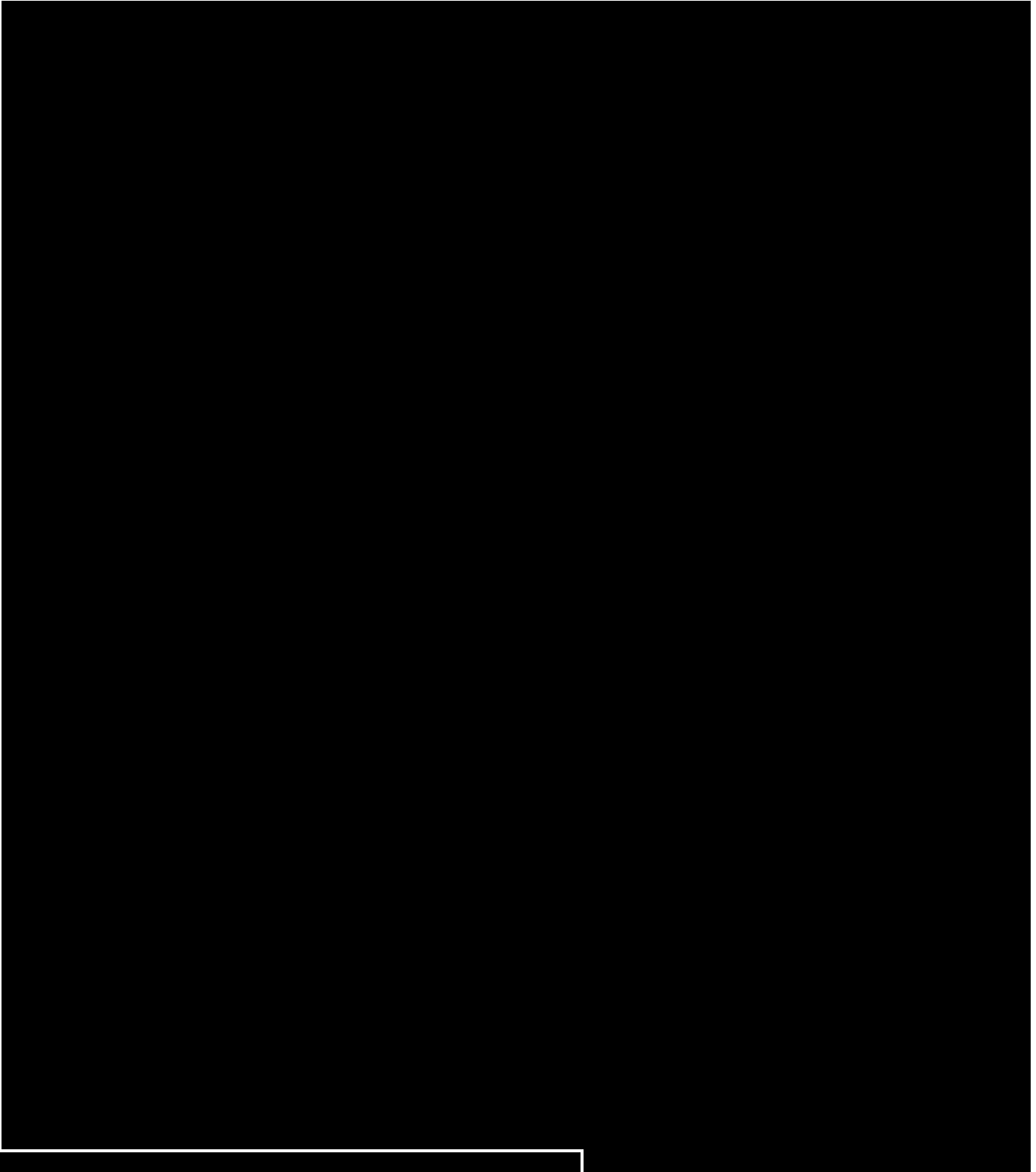
³⁸ SCDC Operations. December 2017 Lockdown Statistics.

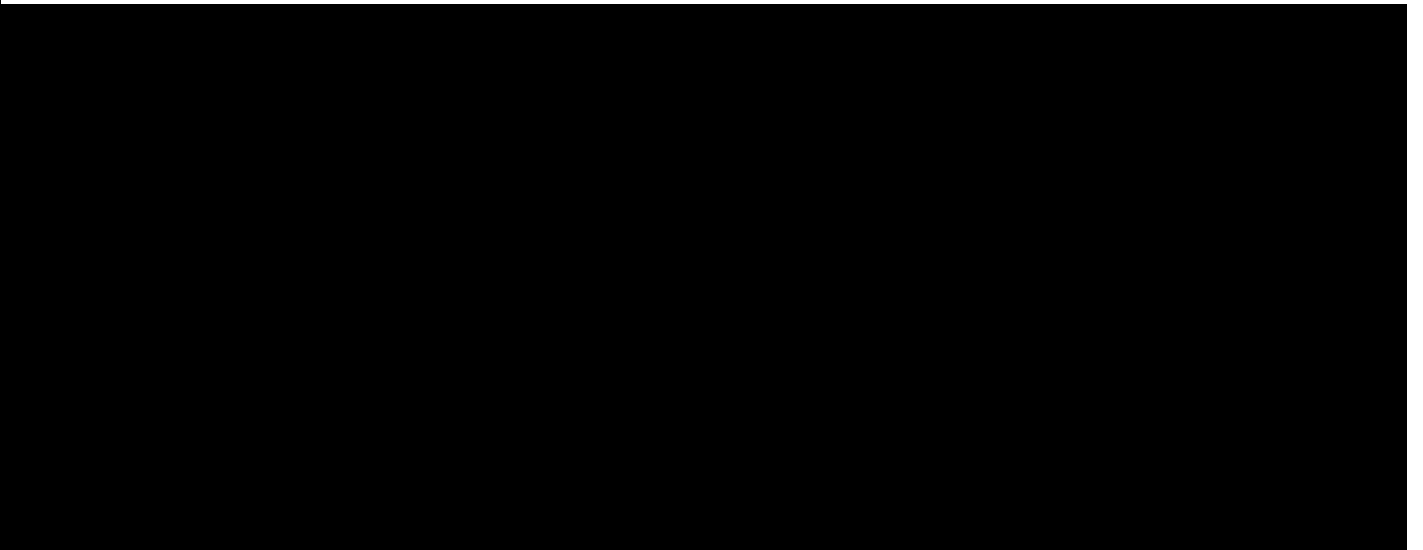
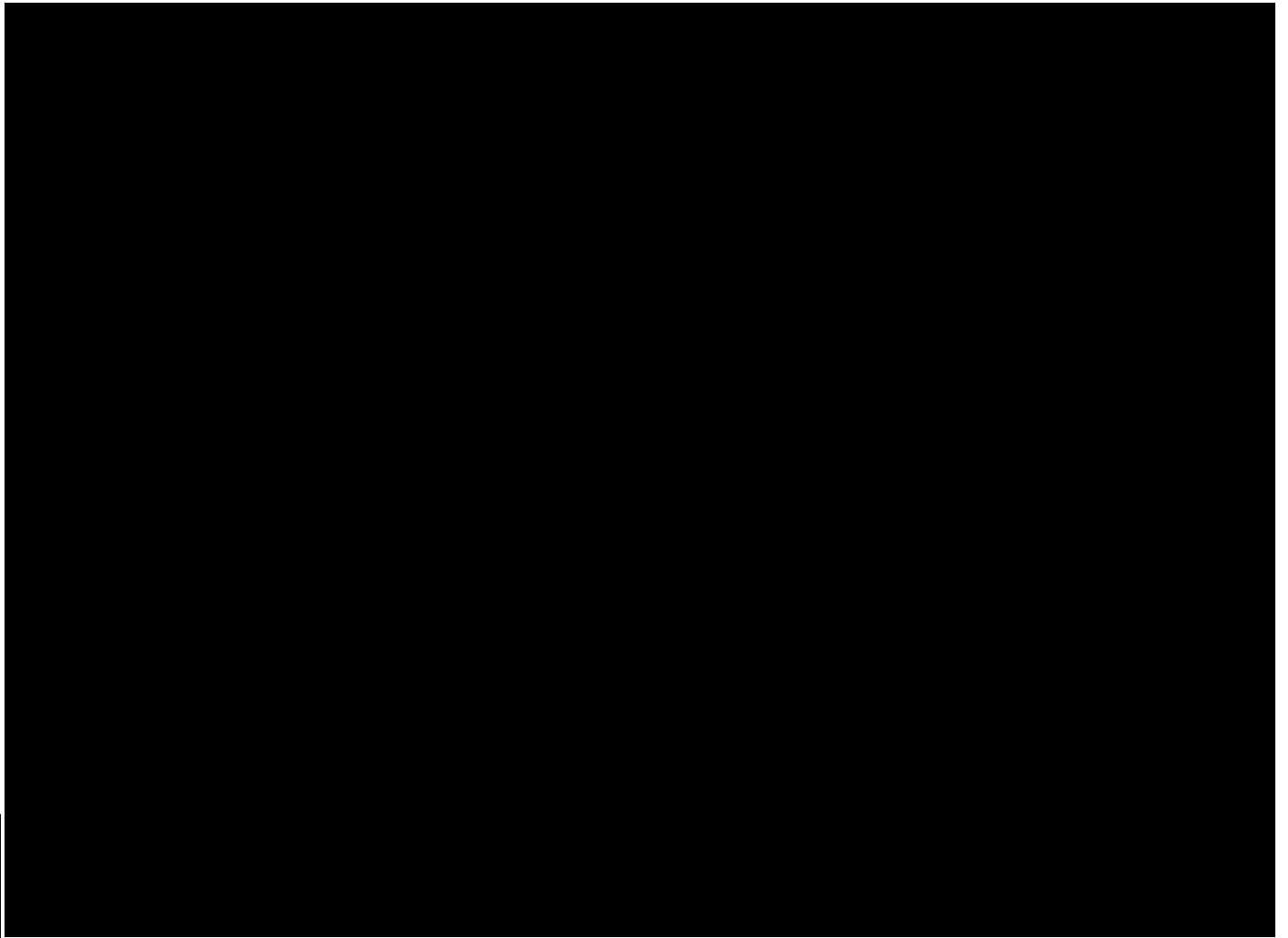
This results in inmates having half the amount of dayroom-time when compared with normal operations. On the day of the site visit as many as (136) inmates were assigned to one wing. Each general population housing unit has two wings;

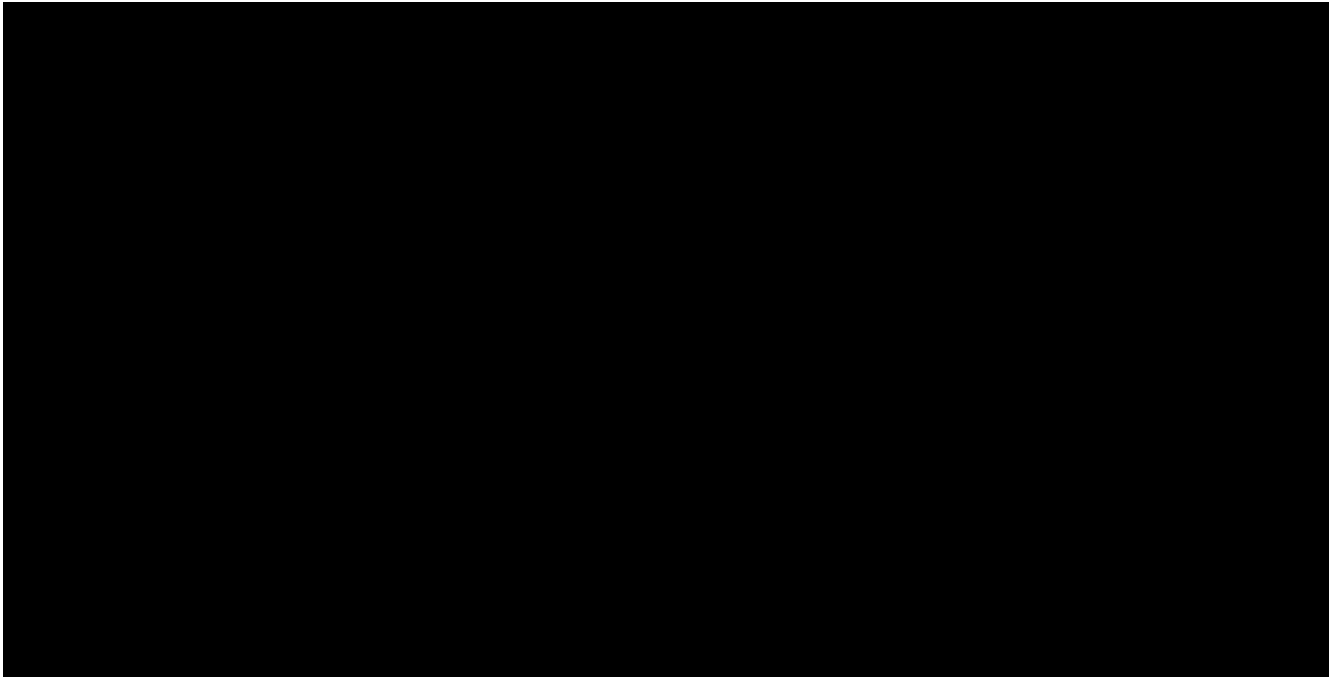
- **Out of cell inmate activity is limited after 7:00 pm.** Based on staffing levels inmates assigned to general population units are often restricted to their cells at 7:00 pm to limit inmate movement and reduce overall staff workload responsibilities;
- **Front-line security staff assigned to a 40-hour work week are scheduled to work one 8-hour shift during the weekend every four weeks.** To supplement existing staffing levels during the weekend, staff normally scheduled to work Monday through Friday are scheduled to work one additional 8-hour shift on the weekend every four weeks;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through September 2017 reflect all post assignments in the housing units, escort positions, yard, cafeteria and education are not frequently being filled. On the date of the site visit, based on the daytime daily shift rosters, (D-1 and C) there was one front-line security staff member assigned to each of the four general population housing units. The inmate count in three of the four buildings exceeded 245. One housing unit had a wing closed due in part to available staffing levels. As a result, inmate access to programs and services are often postponed, cancelled or delayed;
- **A housing unit wing is closed.** One of two wings in the inmate housing unit referred to as "Savannah" was closed to reduce the overall workload and associated staffing requirements of the facility;
- **Staffs assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working an 8-hour shift are initially scheduled to work (160) hours in a 28-day pay scale. Staff assigned to the 12-hour shifts are scheduled to work (168) hours with the additional 8 hours compensated at straight-time. The initial Department intent was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring;



Demonstrated Risk Factors



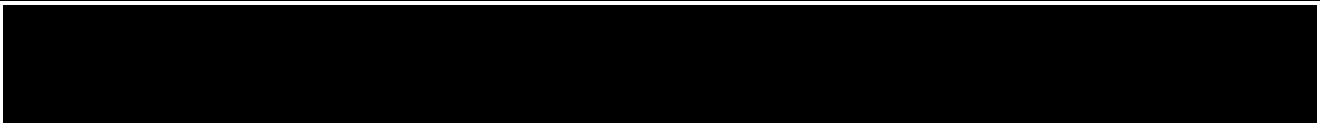
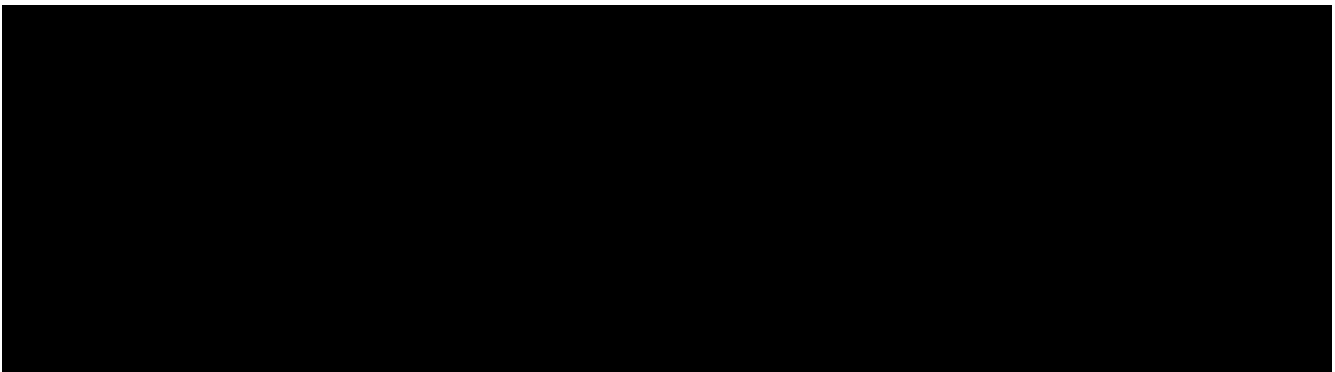


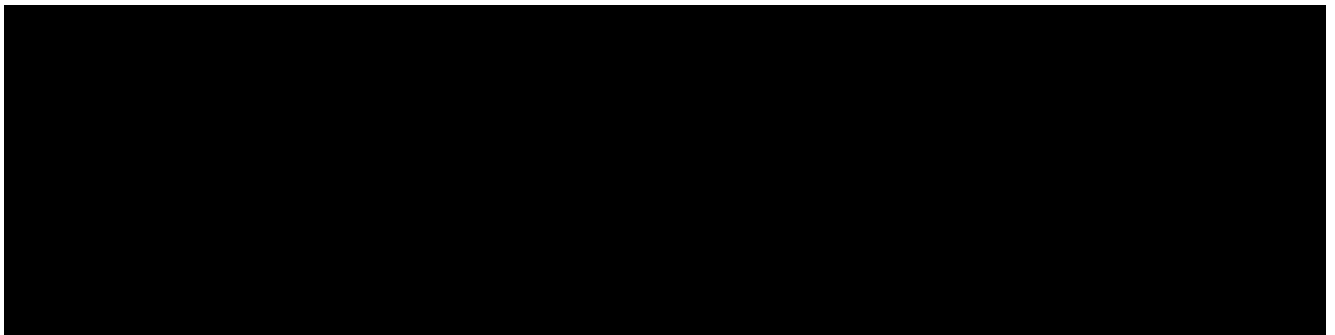
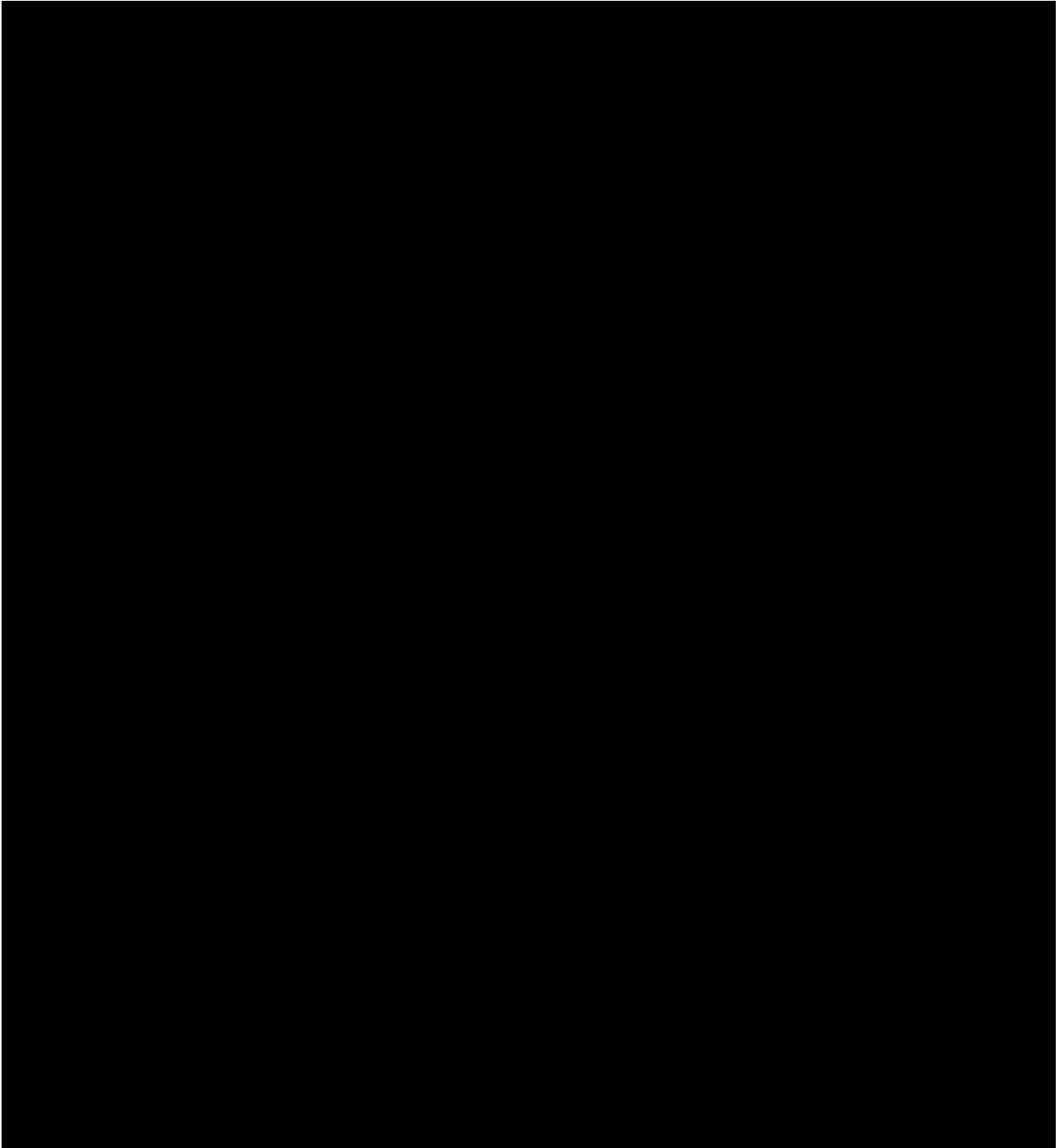


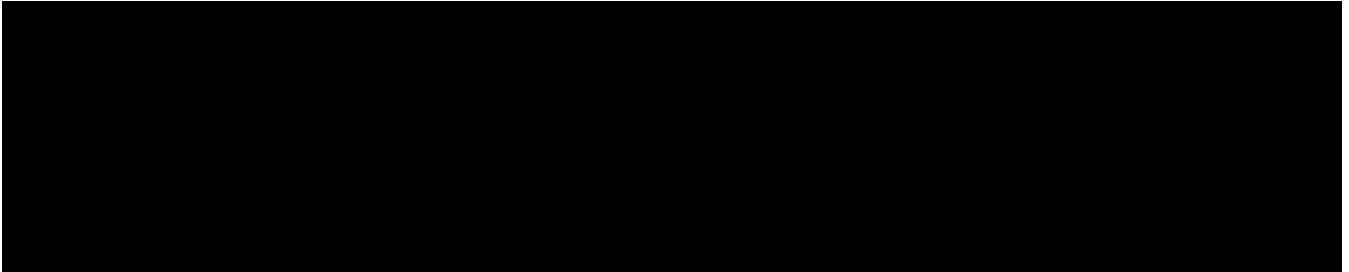
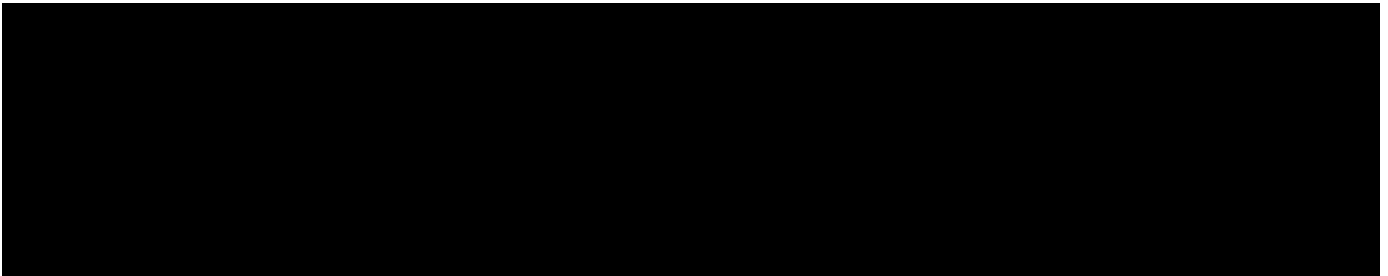
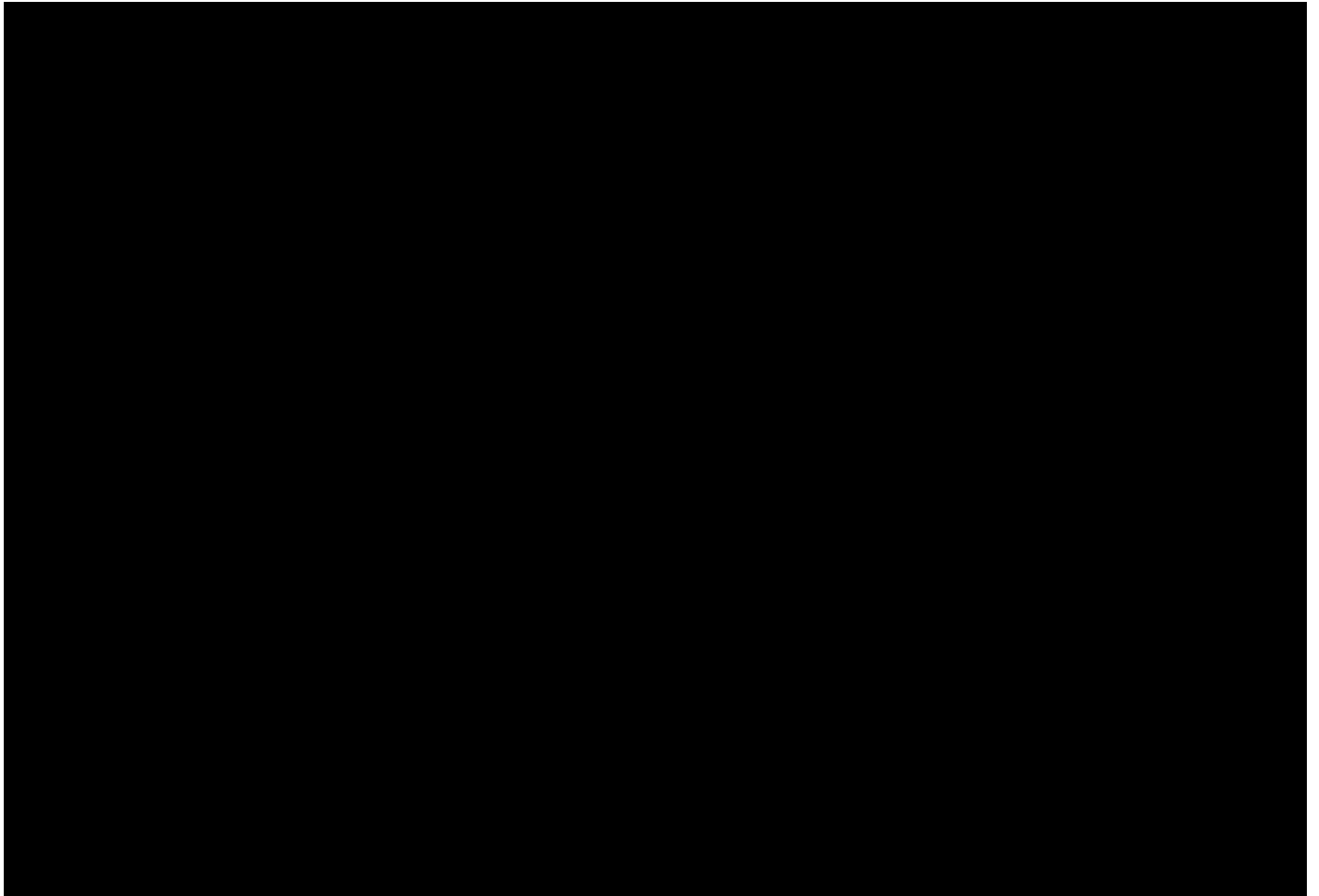
At Ridgeland the total number of reported assaults in 2017 was consistent with the total overall average number of assaults reported by the other male level 2 facilities reviewed. Inmate-on-Inmate assaults at Ridgeland was higher while inmate-on-employee assaults was lower than the average. Any assault is one to many; however, this should be considered a contributing factor to high staff turnover rates and staff pursuing alternative employment options. Based on weekly officer count reports received from RIM, during the period of May 1, 2017 to January 2018 (21) additional correctional officers/cadets were added and (12) had left.

Key Staff Positions

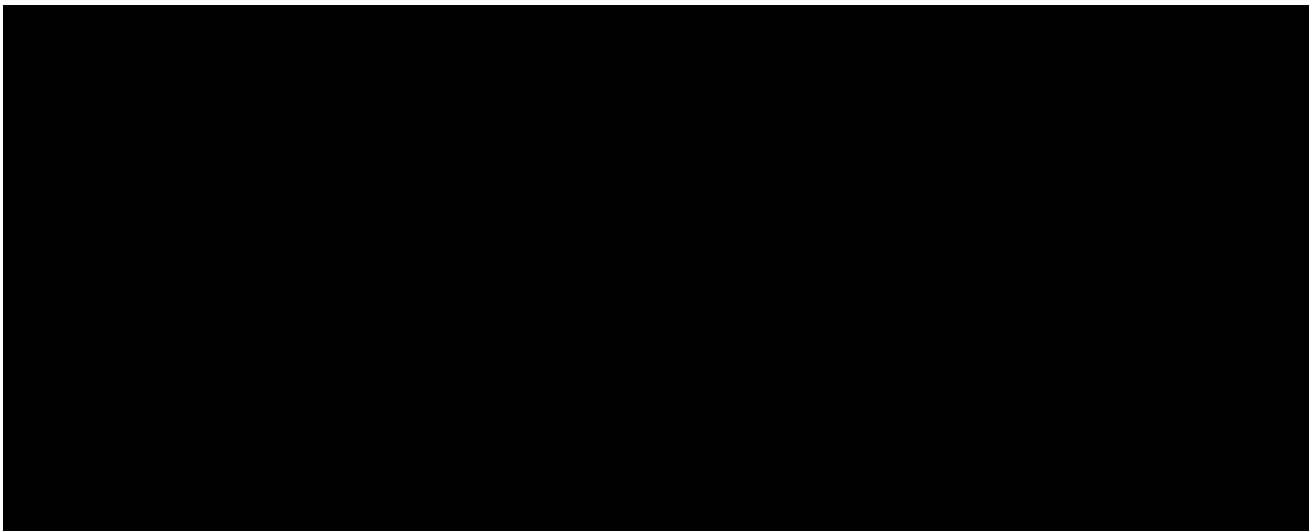
Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). The Regional Director, Warden and Major assisted in providing a tour of the facility and were available to discuss facility operations and clarify pertinent staffing-related questions. After the initial on-site assessment both the Warden and Major were available via telephone to clarify pending issues.







Shift Assignments. A master shift assignment roster for security personnel has been developed that identifies the personnel assigned to each shift, their position classification, status, those attending the Training Academy, “New Hires” and those on leave status.



Post Classification. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first.

Due to available staffing levels the use of a post classification system was not considered as critical as the facility was rarely filling other than mandatory and level II posts. Most daily rosters did not identify the post classification and based on current staffing levels was not a significant concern. Staff were being assigned to critical areas as there was no evidence staff were being assigned to posts that could be closed while mandatory posts were left unfilled. When staffing levels increase, allowing for more flexibility, post classifications should be clearly identified.

The sample daily shift rosters provided by the major show the following post assignments consistently being filled: Shift Commander, Main Control Room, Outside Perimeter Patrol, Restricted Housing Unit Control Room, Restricted Housing Unit Wing and General Population Housing Unit Wing Officer. The outside perimeter patrol post and Vehicle Gate post was often filled by staff working extra hours from the Allendale Correctional Institution.

The most significant concerns noted in reviewing daily rosters is in the number of front-line staff assigned to each housing unit. Normally on the day shift no more than two front-line staff are being assigned to directly supervise a housing unit with an operating capacity of approximately (270). Based on completed daily rosters, often only one front-line staff person is being assigned. During the day shift a unit manager and/or unit counselor may be available during peak times on weekdays to assist. On weekends, little to no assistance is provided. On the night shift rarely was there more than one front-line staff member assigned to the unit. The impact of operating at this level, results in very few, pro-active initiatives are getting done.

Additional concerns regarding filling mandatory posts, include the inability to fill a second outer perimeter patrol post and yard officer post during the evening shift on a consistent basis. Contraband as noted in the report, is a major concern at Ridgeland. Patrolling both the courtyard and perimeter is critical to identify and deter unauthorized movement in these areas.

At Ridgeland the basic elements of a roster management system including the identification of post assignments, establishment of recommended staffing levels, appropriate shift scheduling and daily shift roster development are in place.

The primary concerns with the roster management system include the following:

- There is not enough staff. The post chart identifies mandatory posts that need to be filled and are routinely not being filled. The current operating practice, when insufficient staff are available, is for the shift commanders to contact qualified staff assigned or on their off-day to determine their interest in working extra hours. Based on the number of staff that are scheduled and interested the shift commander fills as many posts as possible. Occasionally this results in mandatory posts going unfilled;
- The recommended minimum staffing levels for each 12-hour shift should be reviewed and updated on a regular basis. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis due to the number of staff assigned. Monthly in-house reviews should be completed to determine the effectiveness of the roster management system, confirm or re-establish minimum staffing levels, if needed, and to update voluntary and if needed mandatory call-back lists; and
- Daily shift rosters should be updated to reflect how all staff assigned to the shift are utilized. The daily roster should include a recapitulation table to reflect the number of staff assigned from the shift, additional personnel if applicable, staff using leave-time and staff off-post for other reasons. In addition, staff filling post assignments intermittently (for less than a full shift) should be clearly identified on the daily roster, including the time in which the staff member filled the post.

Post Assignment Enhancements

In reviewing current operational practices supported by daily rosters and staff interviews to meet the mission of the facility additional security staff should be made available to fill established post assignments on a more consistent basis. An updated recommended post chart has been developed to identify essential post assignments based on the current mission of Ridgeland when fully operational.

The following posts are key assignments that were not consistently being filled at a level to meet established responsibilities.

General Population Housing Units. A major concern noted in the daily rosters was in the number of staff assigned to the inmate housing units. The general population housing units each have a maximum capacity of approximately (270). Inmates are housed on two separate wings. When the officer is on one wing it is impossible based on building design to observe the activity level on the other wing. In reviewing available documentation, conducting interviews with staff and personal observation it appears there is normally between one and two front-line staff assigned to each general population unit. In addition to the front-line staff there may be a unit manager and/or unit counselor assigned depending on the time, day and whether they are meeting other responsibilities. The unit managers and unit counselors are scheduled to work an 8-hour shift five-days per week and are not always in the housing unit. Current responsibilities for the unit management staff are designed to be different from the housing unit officer; however, based on staffing levels they routinely fill front-line post assignments.

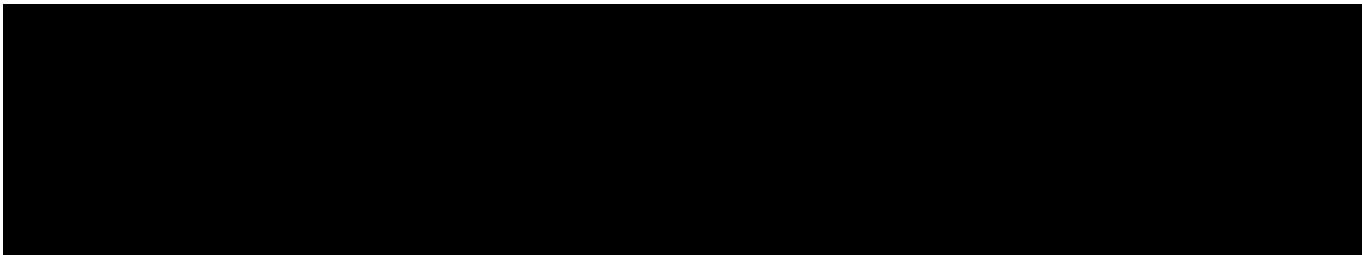
Taking into consideration the full scope of responsibilities of a correctional officer assigned to a housing unit, the capacity of each housing unit, the building design, separate living areas, dayroom schedules, and the security classification of inmates being housed, a minimum of three front-line staff and one sergeant should be assigned during the day shift seven days per week. During the night shift when scheduled activity levels are reduced a minimum of two front-line staff and one sergeant should be assigned. Having one or two officers on the day shift assigned to a housing unit as is the case at Ridgeland jeopardizes the opportunity to meet established post responsibilities and the ability to maintain a safe and secure environment.

Yard/Escort. Ridgeland is a campus-style institution with four general population housing units, programs and service areas surrounding a large open courtyard. To get from the housing unit to most program activities and services inmates are required to walk through the open courtyard. It is essential, and a fundamentally sound practice that security staff be present to monitor and control the inmate movement throughout the facility. On the day of the site visit the shift commander was the only security staff member available to observe and control inmate movement, preventing that staff member from focusing primarily on running the entire shift. Dedicated yard officers should be consistently assigned to the courtyard to assist in monitoring existing inmate movement, provide roving physical plant security and serve as responders throughout the facility;

Inmate Transportation and Hospital Coverage. Providing inmate transportation for medical and/or court mandated issues is part of the daily responsibilities of operating the facility. Most transports occur during the day, Monday through Friday, except for emergency transports that may occur at any time. During the 12-week period from July 5 – September 26, 2017 staff completed (109) separate off-ground transports ranging from no transports to having five transports on a given day. Each transport requires a minimum of two certified staff that have at least one year of service. When at-risk inmates are being transported outside the facility, by policy, a supervisor may be required; To meet these transport responsibilities current operational practice involves pulling staff from both the 8-hour shift and 12-hour shift, depending on the number of transports required. These are staff that may be initially assigned to areas such as inmate housing, contraband control or yard patrol.

Staff reported there was no designated transportation team at Ridgeland although there are frequent workload responsibilities. The number of staff required to provide transportation fluctuates, as it is based on the number of transports scheduled and the security classification of the inmate being transported. Based on a review of the number of transports during the reporting period, an average of (8) frontline staff are being recommended to consistently meet the existing workload responsibility;

Perimeter Posts. Allendale CI security personnel are frequently used to fill external post assignments at Ridgeland including the mobile perimeter patrol, bus transport and the vehicle gate post due to in-house staffing levels. During the 60-day period of 7/22/17 – 9/19/17 a total of 1,197.5 hours of overtime was reported by Allendale staff to fill Ridgeland post assignments. Staff from facilities from other than Ridgeland are generally restricted to filling perimeter-related post assignments. As part of the analyst recommendation, all perimeter post assignments are included in the recommended post chart for Ridgeland.



Front Lobby. All foot traffic, including staff and visitors entering the facility are required to be processed through the front lobby. This is the first security point of the facility to be reached after leaving the parking lot. The front lobby contains both a metal detector and property scanner and all individuals are subject to be searched prior to entering the secure portion of the facility.

On the day of my site visit, no security staff were initially present. A review of daily rosters reflects that normally no staff are permanently assigned to the area. It appears to be a post that is often filled intermittently. Staff reported that when someone arrives at the institution personnel from main control contact staff that may be nearby and notify them their assistance is needed at the front lobby.

This is directly the result of not having sufficient personnel to fill all required post assignments. This post should be considered a critical post to be filled during key time periods; and

Shift Relief Personnel. The relief factor established for Ridgeland reflects over the past three years assigned staff are available to fill a post approximately 77% of their scheduled time.

The rest of the time staff are using benefit time or are off-post. Shift relief factors are only provided for seven-day front-line post assignments. Based on staffing levels and the fact that the average employee is not available to fill a post approximately 20% of the time post assignments go unfilled.

Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Ridgeland based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the post hour requirements divided by the number of hours that the average employee assigned to the post is available. The SRF provides a reference as to how many FTE are required to meet post responsibilities. Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor.

⁴⁰ SCDC Policy ADM-11.21 Regular Working Hours and Overtime.

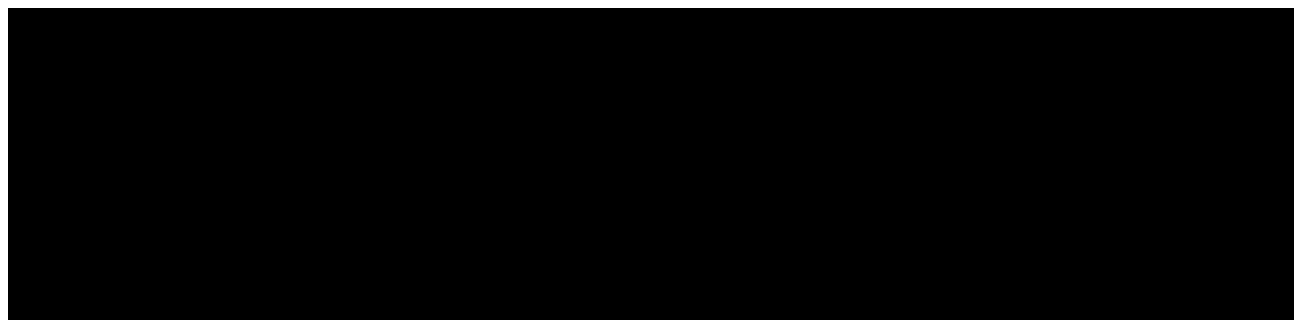
The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- The blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule is applied to determine the SRF;
- The three most recent completed years that was available at the time the report was being prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Ridgeland, the overall use of "leave-time" has increased over the three-year period.

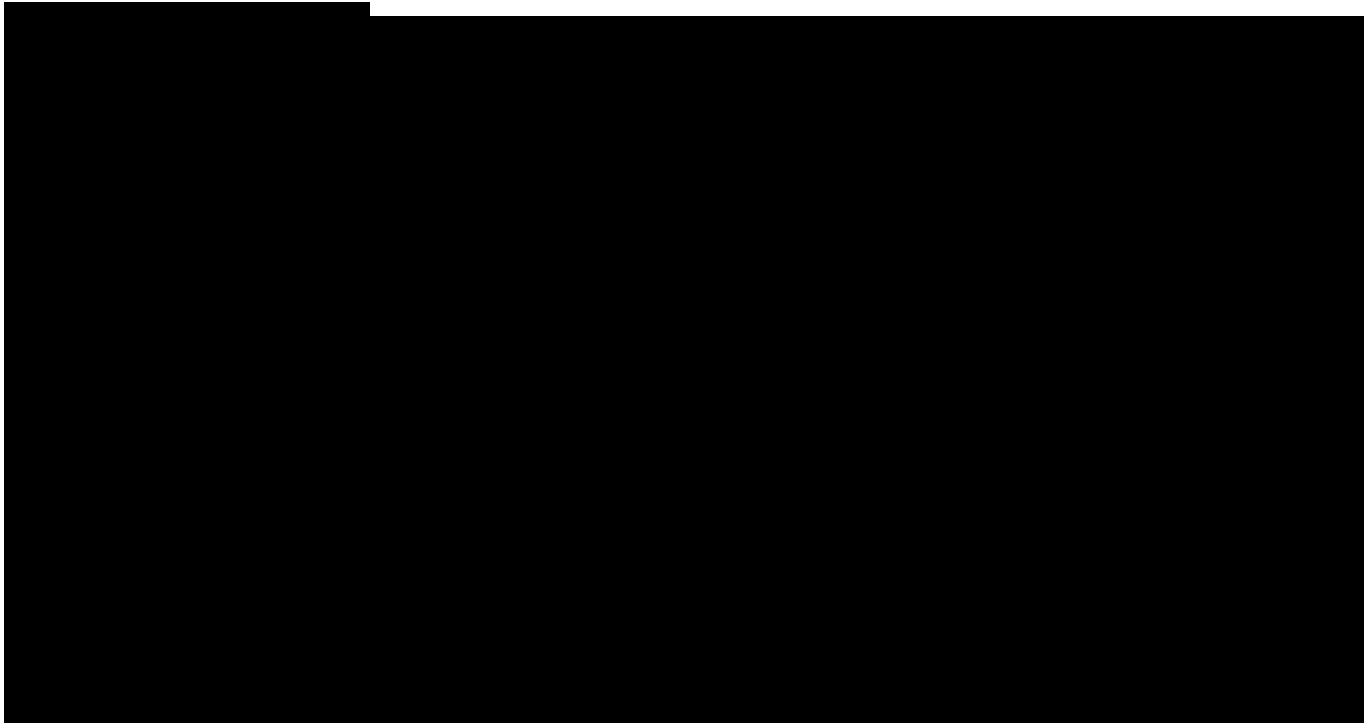
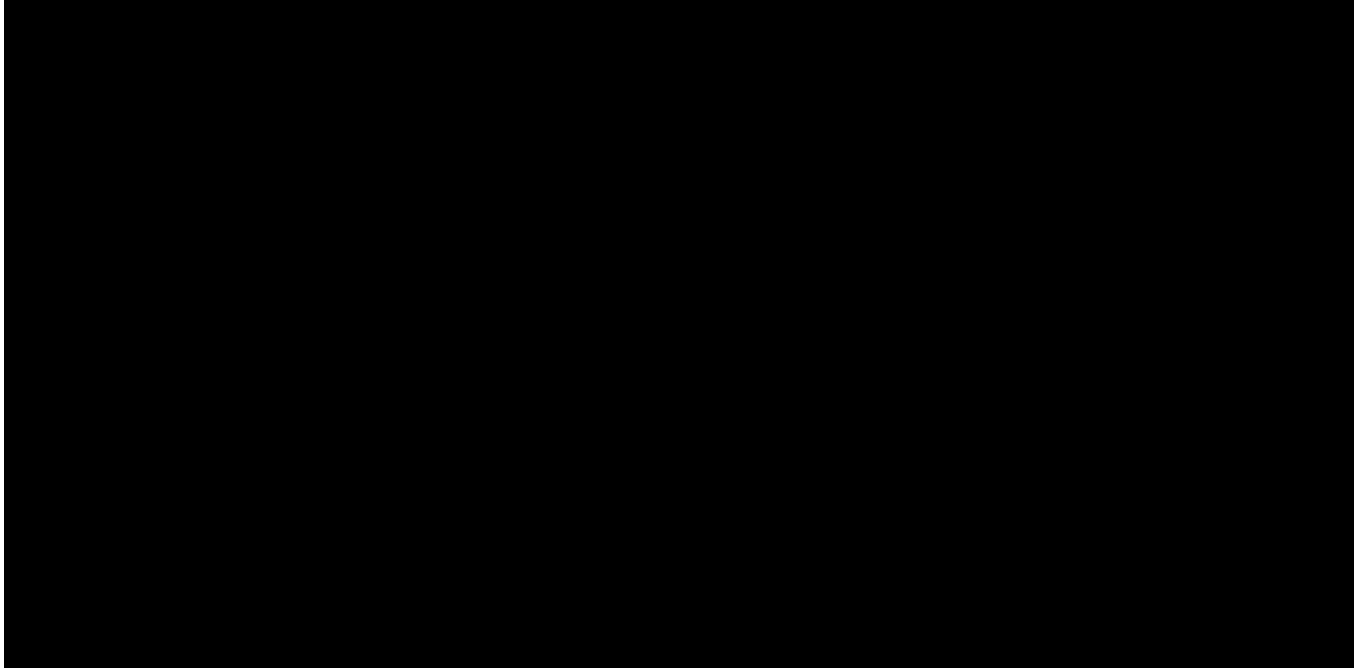
- Other-Time (FMLA, Military, Injury, etc.): In 2017, the average full-term security employee used (18.4) hours of other-time, compared to (9.02) hours in 2016 and (8.29) hours in 2015.
- Sick-Time: In 2017, the average full-term security employee used (106) hours of sick-time, compared to (111) hours in 2016 and (93) hours in 2015;
- Annual-Leave (vacation): In 2017, the average full-term security employee used (109) hours of annual-leave, compared to (100) hours in 2016 and (103.7) hours in 2015;
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specifically which posts are considered relief posts.

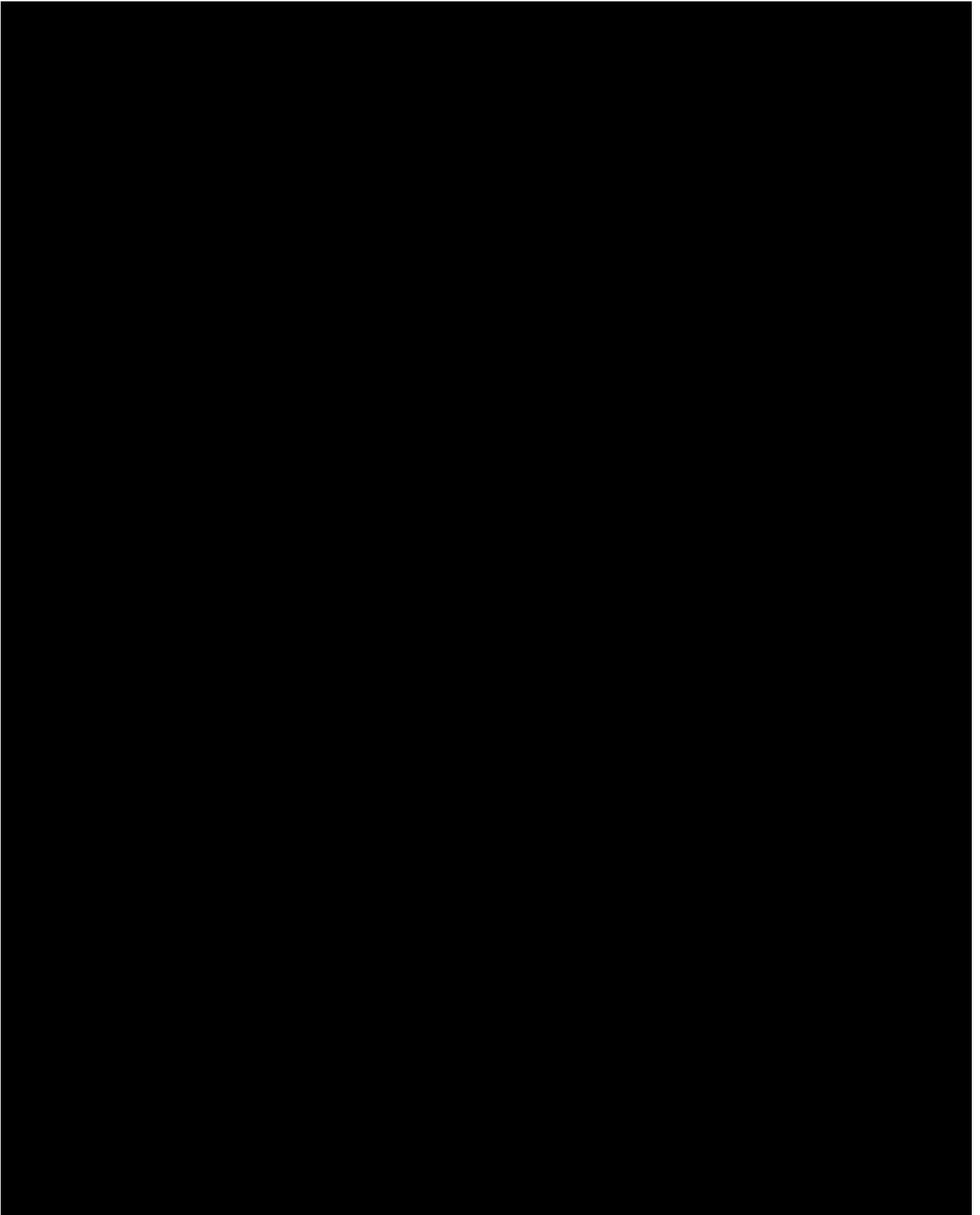


A shift relief factor of 5.02 can be translated to reflect that in one year an average of 5.02 staff will be required to fill one 24-hour post assignment when applying the 12-hour shift schedule.

Staffing Level Recommendations

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Ridgeland Correctional Institution when fully operational. As the mission changes the staff requirement may also change.





Turbeville Correctional Institution

The Turbeville Correctional Institution (TCI) is a state operated level 2 facility located approximately 65 miles east of Columbia in the town of Turbeville, South Carolina. The facility was opened in 1994 and serves as one of South Carolina's adult male medium security correctional facilities. The current reported operating capacity at Turbeville is 1,377 and the average daily population during the last six months of 2017 was 1,030. One housing unit had been closed (October 2017) due in part to limited available staffing levels, temporarily reducing the current operating capacity of the facility.

While most of Turbeville's inmate population is considered medium custody, approximately 15% of the inmates were classified as minimum (1B) and 3% were considered maximum custody. At the time of the review, approximately 10% of the total population was reported to be on a mental health caseload.

The Turbeville Correctional Institution is the primary facility within the SCDC to provide housing, programs and services for younger adult males. This includes inmates recently transferred from the Department of Juvenile Justice, inmates 17 years of age, inmates sentenced under the Youthful Offender Act and inmates participating in the Shock Incarceration Program. In addition, older adult males serving "straight-time" are housed separately at the facility.

The mission of the facility is well diversified and as a result, maintaining separation between the inmate classifications and providing mandatory programming and services is essential to the operations of the facility.⁴¹ Facility management maximizes the use of the inmate housing unit designs that allow for separation within each housing unit. The following inmate classifications were being housed at TCI on the date of the on-site assessment:

- Youthful Offenders;
- Restricted Housing Youthful Offenders;
- Addictions Treatment Program Youthful Offenders;
- Shock Incarceration Program;
- 17-year old's;
- Department of Juvenile Justice (DJJ) recent transfers;
- Restricted Housing Unit Straight-Time;
- Faith Character-Based Program;
- Litter Crew;
- Crisis Intervention;
- Addictions Treatment Program Straight-time;
- Infirmary; and
- General Population.

⁴¹ South Carolina Code of Laws Title 24-19-60. Youthful Offender Act

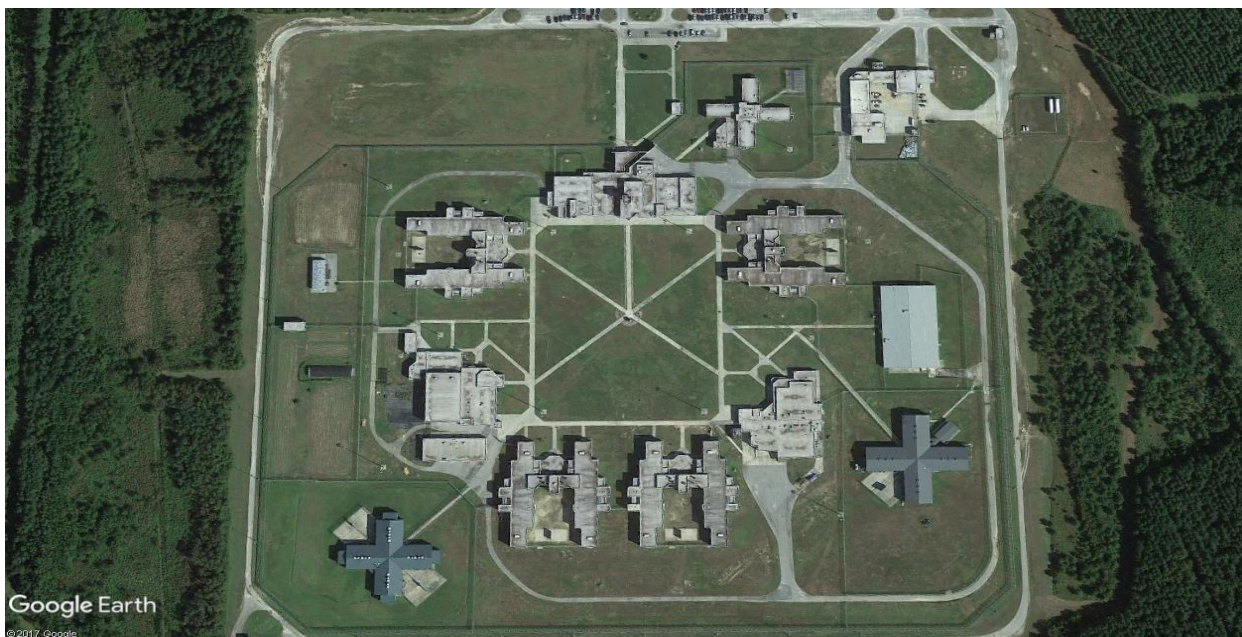
In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These programs have been integrated into the daily facility schedule. Such programming and services include: ABE/GED; Education Finance Act (EFA) Program; Library/Law Library; Religious Education; Visitation; Canteen; Recreation; Vocational Education; Mental Health Services; Faith Character-Based Program; Horticulture; Commissary; Volunteer Services; Behavioral Health Counseling; Addictions Treatment; Sex Offender Treatment and facility work programs.

The physical plant at Turbeville was initially built as a minimum-security facility and has been upgraded to include a reinforced perimeter fence with a roll of razor ribbon, concertina wire, electronic surveillance equipment, high-mask lighting, vehicle access gate, mobile perimeter patrol and an alarm detection system.

Inside the perimeter are a variety of buildings and open space provided to help meet existing responsibilities. The physical plant contains the following: Secure Front Gate; Outer Perimeter Road; Administrative Services Building; Main Control; Medical; Maintenance/Vehicle Gate Area; Support Services Building; Education/Library; Second Education Building; Multi-Purpose Building; Restricted Housing Unit; General Population Units; Greenhouse; internal fencing and gates and a large open yard located in the center of the facility.

Food Services are normally provided to the general population inmates in the main cafeteria located in the Support Services area. Staff reported the evening meal was being provided in the housing unit due to limited staffing levels.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

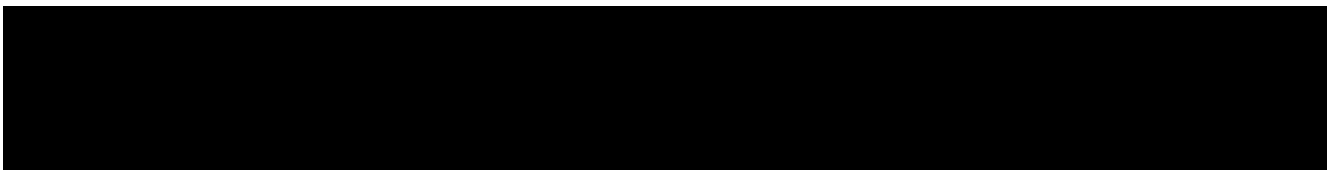


Housing Unit Designs

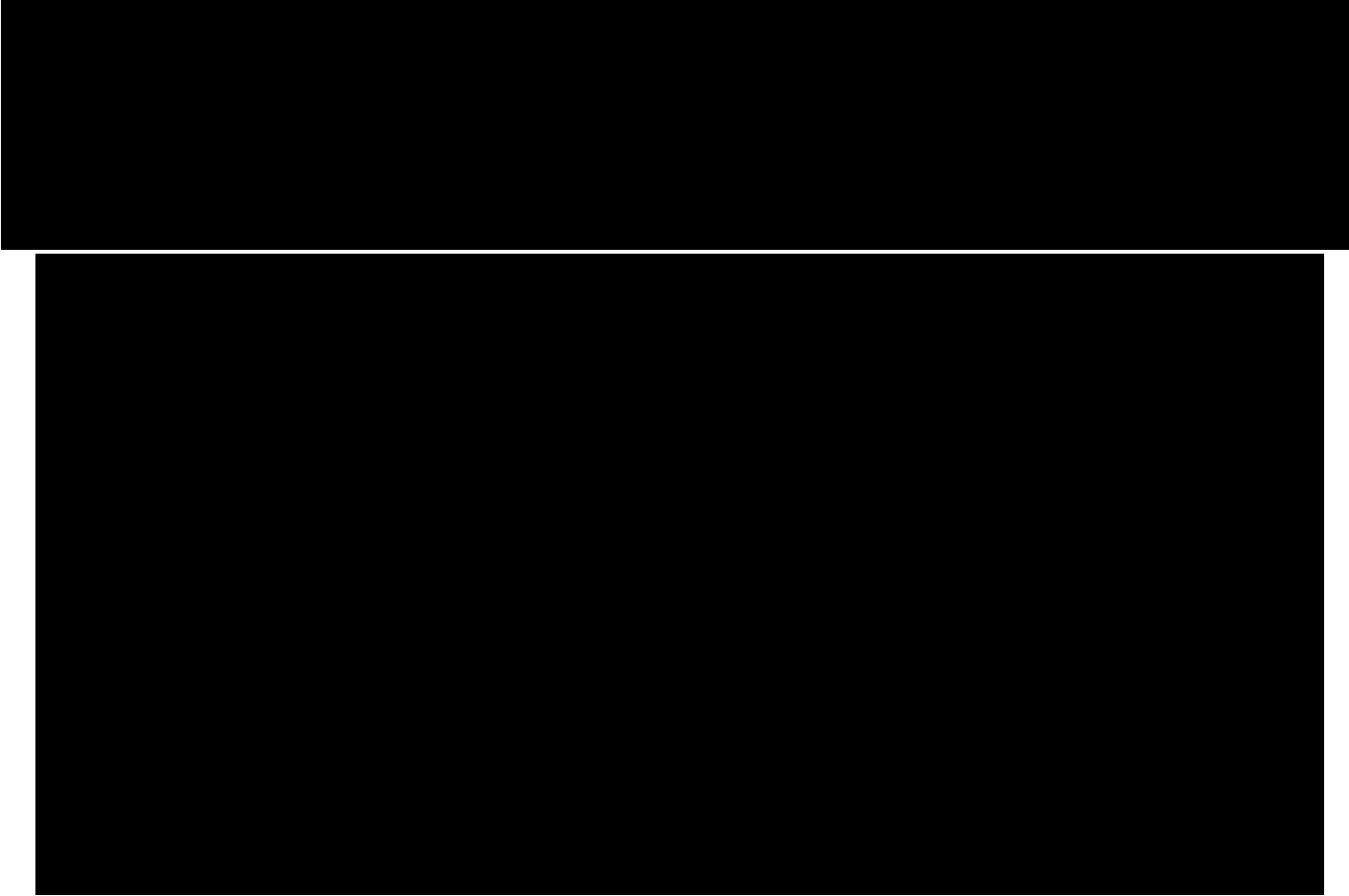
There are four housing unit designs at the Turbeville Correctional Institution. All the housing units contain secure cells as dormitory style housing is not available at this medium-security facility. The housing unit designs are consistent with nationally recognized practices for a level 2 facility. In total there were eight inmate housing areas at TCI. One of the (*X-Shaped*) housing units was not being used due in part to limited available staffing levels.

- **Direct Supervision Units.** The general population housing units on the date of the review consisted of four direct supervision, two-tier units similar in design. The living areas are referred to as “wings” as they represent one of two housing areas within each unit. The living areas contain double occupancy cells, dayroom space, showers and an open-counter officer work station. Total capacity for each wing in the four similar designed housing units is approximately 136. In the front center of each unit is a secure indoor sally port and staff working space. In the back of each unit located between the two wings is an open-air recreation yard.
- **Indirect Supervision Unit.** There are two indirect supervision multi-level general population units that each have an operating capacity of 256. One of the units referenced as “Rimini”, was temporarily closed due in part to staffing availability. An elevated secure control center is centrally located in the unit surrounded by security glazing and four separate living areas (wings). Staff assigned to the secure control room can view the activity in all four wings. Each wing contains double occupancy cells which are equipped with beds, toilet and a wash basin. Showers, dayroom and passive recreation space is available within each living area. The one operating unit was used to house strictly younger offenders, including the Shock Program; select Youthful Offenders; DJJ transfers and 17-year old’s. One wing within the unit was considered the Restricted Housing Wing **for individuals assigned to the housing unit.**
- **Infirmary.** The infirmary is in the medical unit and consists of multiple cells/rooms with a total operating capacity of eight. On the day of the site visit there were seven inmates assigned to the infirmary.
- **General Population Restricted Housing Unit (RHU).** The RHU is a single-story building which consists of a secure entrance sally port and four separate living areas surrounding a control room strategically located in the center of the building. Control room staff is responsible for providing back-up support to the wing officers, distribute security equipment, maintain communications using a video monitor, radio and telephone and activate an electronic door access control panel that operates the security doors within the unit. Individual showers controlled by security staff are in each cell as well as beds, a toilet and wash basin. Inmate telephone access is provided in the unit and outdoor recreation is provided in a secure area near the building. One wing in the unit was being used to house general population inmates assigned to work details located outside the perimeter fence.

Security Staffing Profile



[REDACTED]



As noted the largest number of vacancies (84.8%) was found in the front-line positions. These are the positions that normally have the most frequent direct contact with inmates and routinely include post assignments such as housing units, transportation, yard, inmate escorts and direct security within a specific area.

As noted the average number of filled full-time security staff positions at the Turbeville Correctional Institution was (165) during the reporting period. This represents the number of staff assigned; however, does not represent the number of staff considered, "post eligible". At TCI there were eight security staff on extended leave status that were unavailable to fill a post assignment on the date of the on-site assessment. This included (2) sergeants, (2) corporals and (4) officers. During the five-month period of July 1 through December 1, 2017 an average of 6.7 security staff were reported to be on extended leave status.

In total, the **facility has been operating at approximately 71.4% of the approved number of FTE security positions during the five-month reporting period.** As a result, the facility has consistently operated without all required post assignments being filled and has been operating at significantly deficient levels since 2012.

Operational Initiatives in Response to Staffing Levels

Based on staffing levels facility management personnel have deviated from the original staffing plan and implemented several security initiatives to maintain minimum operations at the facility.

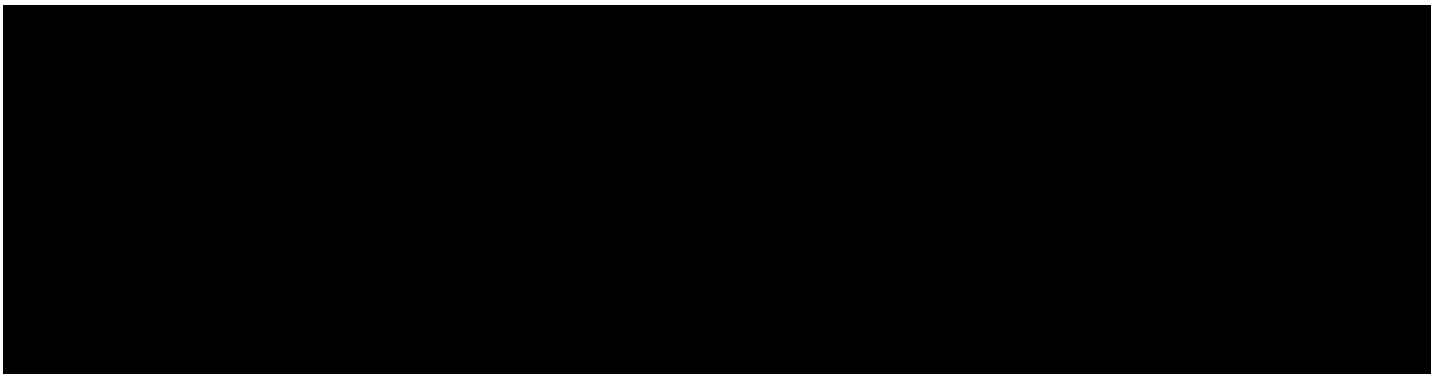
These initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)⁴². Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. This often results in fewer and less thorough pat-down searches, fewer building inspections, limited inmate escorts, delays and or cancellations in program and service delivery;
- **Staff are augmented to leverage existing personnel resources.** Since 84.8% of the vacancies were in the front-line staff positions personnel outside those position classifications frequently are required to fill front-line staff post assignments. Daily shift assignment rosters reflected sergeants, lieutenants, counselors and unit managers are routinely used to meet front-line post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;
- **12 hr. Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are considered exempt employees and not eligible to receive overtime compensation;
- **Day shift security personnel routinely work 14 hrs. per day.** Security personnel assigned to the day shift routinely remain at the facility until the initial evening institutional count checks which is usually two hours after their shift is scheduled to end;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** During the first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 133⁴³ days due to staff shortages. This resulted in limited access for the inmate population to programs and services during those days;
- **Out of cell inmate activity is limited immediately prior to the 5:00 pm roll call count.** Inmates assigned to general population units are often restricted to their cells just prior to roll call count to limit inmate movement and reduce staff workload responsibilities. Staff reported one inmate is allowed out of their cell at a time in each wing, to take a shower when an officer is present. Inmates assigned to the Character-Based program are allowed out of their cells into the common dayroom area of the housing wing until 11:00 pm;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures;

⁴² SCDC Policy OP.22.24 Post Orders.

⁴³ SCDC Operations. December 2017 Lockdown Statistics.

- **Post Assignments go unfilled.** Daily shift assignment rosters from July 2017 through September 2017 reflect all recommended post assignments in the housing units, restricted housing units, transportation, perimeter, cafeteria and yard are not always being filled;
- **Evening meal is generally served in the housing unit.** The evening meal is routinely served in the housing units instead of the dining hall to limit mass inmate movement throughout the facility;
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle. Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring;
- **Staff initially not scheduled to work fill vacant post assignments beyond their normal working schedule.** During the first eleven months of 2017 the facility had \$759,928 (rounded) in overtime expenditures for security personnel. During the same period in 2016 the facility had \$390,466 (rounded) in overtime expenditures for security personnel. This represented a 94.6% increase in overtime expenditures during the two eleven-month periods. Most of the increase in overtime is the result of a reduction in the number of front-line staff assigned (**averaged 114.4 in 2016 v. 104.4 in 2017**), staff not initially scheduled filling vacant post assignments, staff attending required training on their off-days and staff temporarily filling a post assignment after their shift due to late reliefs;
- **Close Housing Unit.** One of the two indirect housing units was closed;
- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard and/or some of the housing unit posts only during peak hours; and



Demonstrated Risk Factors

Contraband Incidents. The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity, violence and escape.

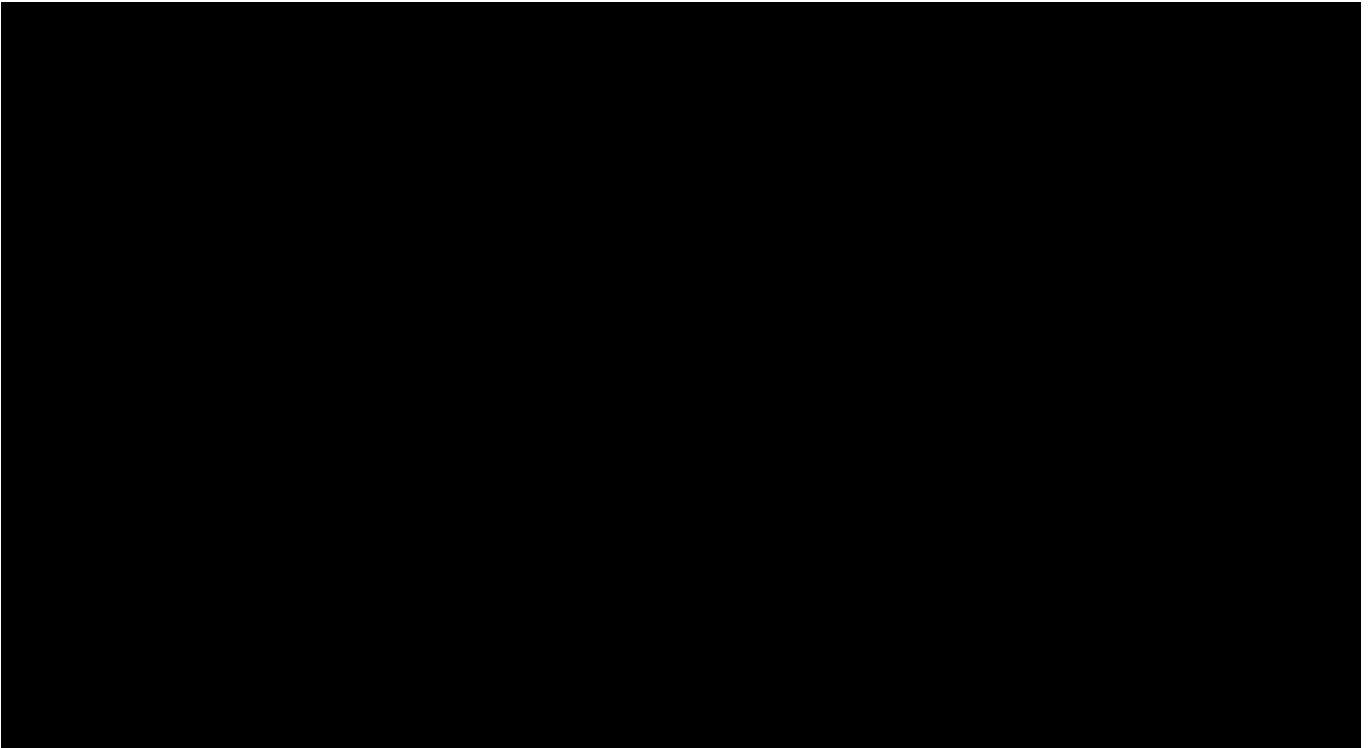
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[REDACTED]


The Director has been at the forefront on a national basis calling for federal support to repeal federal laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials.

[REDACTED]



Key Positions

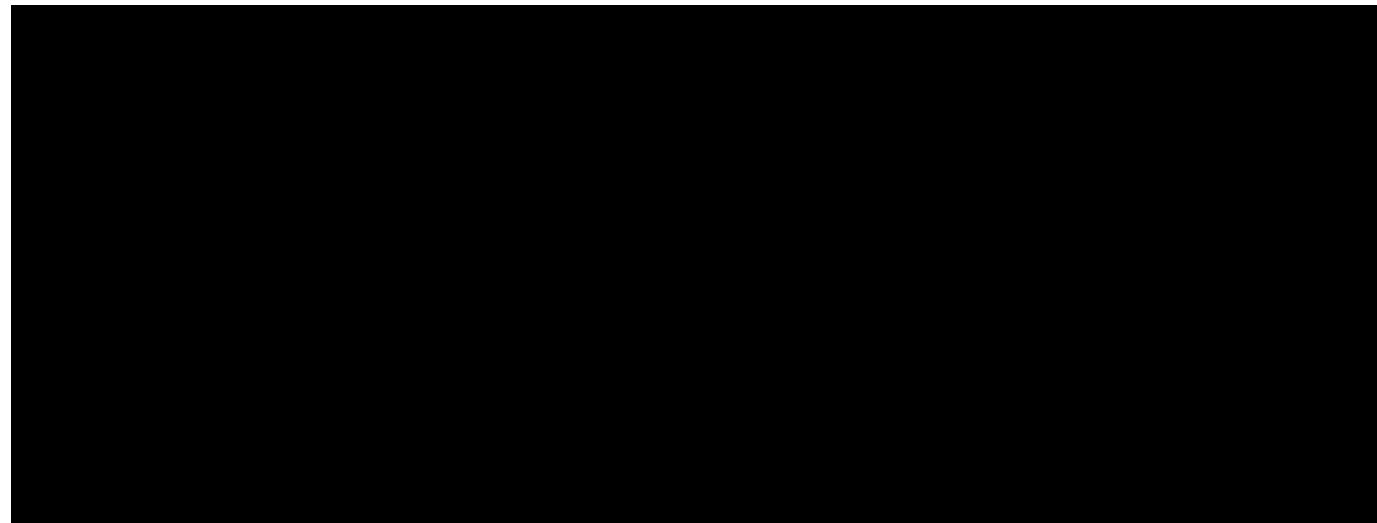
Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Associate Warden of Programs). On the date of the on-site assessment all the administrative core positions were filled. The warden was debriefed and interviewed at the start and conclusion of the on-site assessment and was available throughout the day to discuss facility operations and to clarify pertinent staffing-related questions. After the initial on-site assessment, the warden was contacted via telephone to further discuss pending issues.



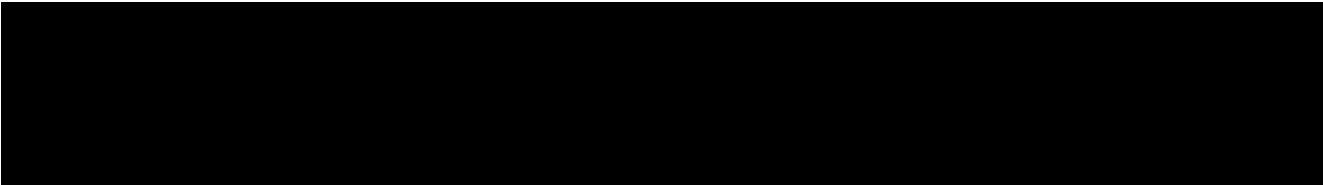
[REDACTED]

[REDACTED]

[REDACTED]



Shift Assignments. Facility management personnel at TCI have developed a shift assignment roster for security staff that identifies the names of the personnel assigned to each shift, their position classification and status. The *C-Card* (8 hr. shift) roster also identified the employee's normal post assignment. In addition, a shift assignment roster had been developed for the security staff assigned to the Shock Incarceration Program. This roster identified the name of the employee, position classification and their shift assignment.



Daily Shift Roster. In addition to the shift assignment roster, daily shift rosters are also maintained for the 12-hour shifts identifying in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. Based on a review of over (25) sample daily post assignment rosters, there is no recapitulation data provided, no post classifications identified, or any consistent reference to staff being scheduled from another shift. This information is critical when identifying how staff assigned to the shift are being utilized and the staffing needs of each shift.

Completed daily rosters and personal observation revealed staff were being assigned to critical areas and there was no evidence staff were being assigned to posts that could be closed while mandatory posts were being left unfilled.

The primary issue concerning roster management was in the accuracy of the automated daily shift roster that is inputted into the Human Resources Electronic Management System.

To determine how all staff were utilized on a shift, the master shift assignment roster for the E2 shift was compared with a completed daily shift roster for the same shift. As a result, there were seven staff identified on the shift assignment roster that were not listed on the automated daily shift roster. How the seven staff were being deployed during the shift was not possible to determine when reviewing the automated daily shift roster. The major was able to secure the **hand-printed manual** daily shift roster and identified where six of the seven scheduled staff were assigned.

The (6) staff identified were listed on the hand-printed daily roster as assigned to a post; however, they were not inputted into the automated daily roster submitted to central office. In reviewing additional copies of manual and automated rosters provided the transferring of information into the automated system appears to be a concern at this facility.

The *C-Card* maintains primarily the automated daily shift roster that identifies the post number, post description, area, post type, sub post, responder, name of the employee, employee number, gender and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed for the *C-Card*. As a result, there is no reference to post classification levels or a recapitulation table for the *C-Card* shift.

Post Classification. By directive from the *Division of Security*, the facility post chart should identify post assignments as either, Pull Post Level I, Level II, or Level III (Mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by facility management. The classification of post assignments is designed to ensure certain post are shut down first.

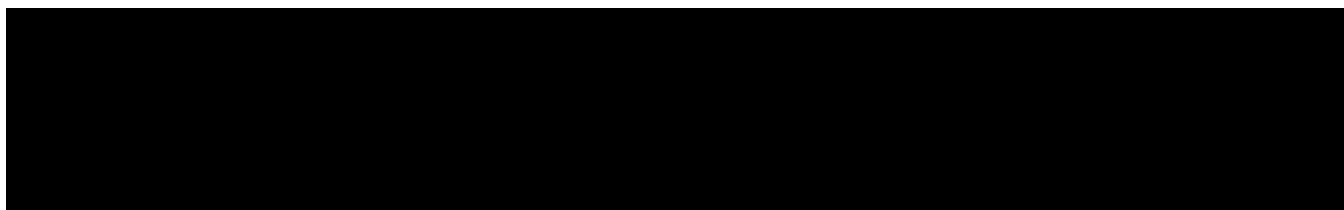
In reviewing the sample daily shift rosters provided and interviewing staff it appeared all the critical posts identified in the *Division of Security* post chart were not consistently being filled.

The discrepancy between operational practice and recommended mandatory posts was primarily in the number of staff assigned when more than one post was recommended. For example, in the post chart the *outer perimeter patrol* post is identified as two posts to be filled during the night shift, seven days per week. Based on staff interviews and a review of completed daily shift rosters, one post is normally filled instead of two. The completed daily post rosters did identify (2) night shifts where two staff were assigned to the outer perimeter; however, during most nights one post is filled. Additional discrepancies between the operational practice and recommended level III (mandatory) posts include the following:

- **Housing Units (8).** The post chart recommends a total of eight front-line staff be assigned to the four housing units on a 24/7 basis. In respect to the four units based on the documentation provided, normally there were between four and five FLS assigned to the four units. Unit management personnel assigned to the *C-Card* were used to assist FLS during peak periods when needed.

Staffing Recommendations

Facility personnel expressed concern with the impact staff vacancies were having on both the facility and staff. Specific issues presented, included staff turnover rates resulting in a large percentage of inexperienced personnel filling both front-line and supervisory posts; an increasing reliance on staff working extra hours each day to meet existing responsibilities and the resiliency of staff to consistently enforce policy appeared to be fading.



[REDACTED]

[REDACTED]

[REDACTED]

Kitchen/Dock. TCI routinely requires supervisory personnel to assist in providing security supervision during meal periods. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, a high number of assigned inmates and access to outside the building including the dock area for the cafeteria, canteen and commissary. Food service personnel primarily focus on food preparation and delivery. No security personnel were consistently assigned to the kitchen/dock area which should be considered a high-risk area.

Front Lobby. All foot traffic, including staff and visitors entering the facility are required to be processed through the front lobby. This is the first security point of the facility to be reached after leaving the parking lot. The front lobby contains both a metal detector and property scanner and all individuals are subject to be searched prior to entering the secure portion of the facility. On the day of my site visit no staff were initially present. A review of daily rosters reflects that normally no staff are permanently assigned to the area. Staff reported that when someone arrives at the institution, personnel from the main control contact staff that may be nearby and notify them their assistance is needed at the front lobby. This is directly the result of not having sufficient personnel to fill all required post assignments. This post should be considered a critical post to be filled during key time periods.

Shift Relief Personnel. The shift relief factor allowance is not fully reflected in current staffing levels. Security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments; the relief factor established for Turbeville reflects over the past three years assigned staff are available to fill a post an average of 78% of their originally scheduled time. The updated recommendation includes the recognition of a shift relief factor for most post assignments.

Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Turbeville based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year and is based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

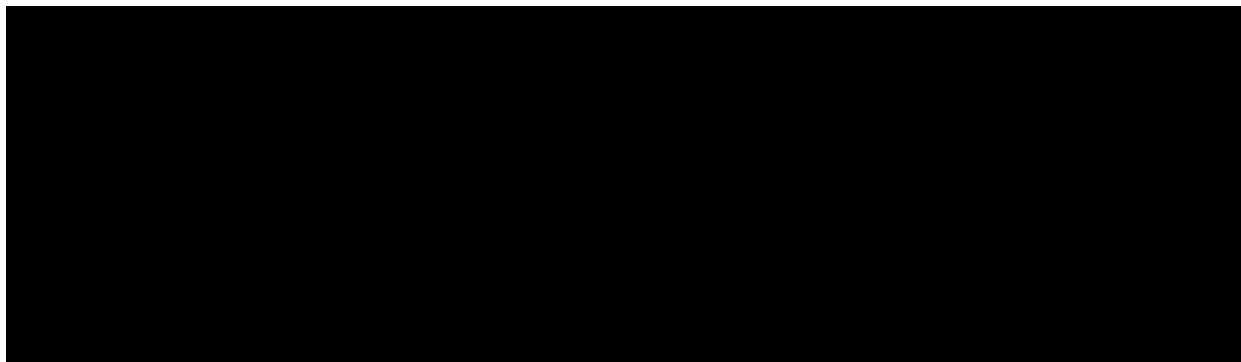
- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was initially prepared.

This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Turbeville, the use of “sick-time” has remained relatively stable over the past three years; however slightly higher than the overall average. In 2015 and 2017, the average full-term security employee used (112) hours of sick-time and in 2016 used (114) hours.

The use of annual leave-time (vacation) has increased significantly during the three-year period. In 2015, an average of (92) hours was used. In 2016, (108) hours and in 2017 (131) hours were used. The average full-term security employee worked approximately (5.5) fewer days in 2017 compared with 2015.

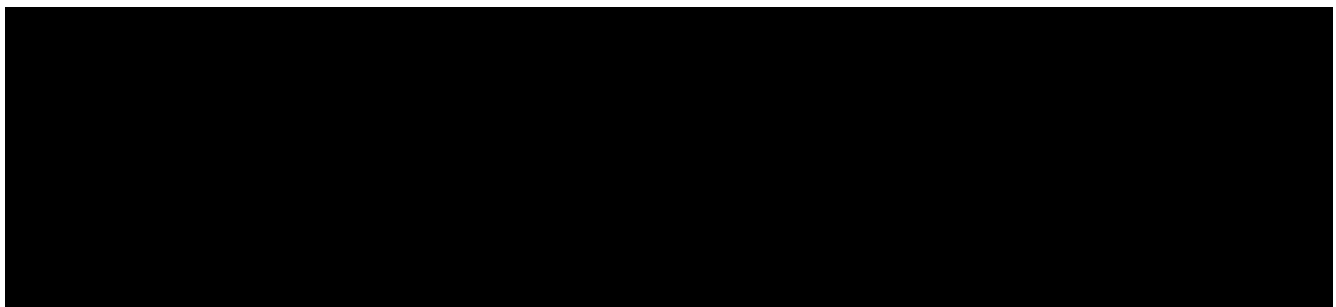
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

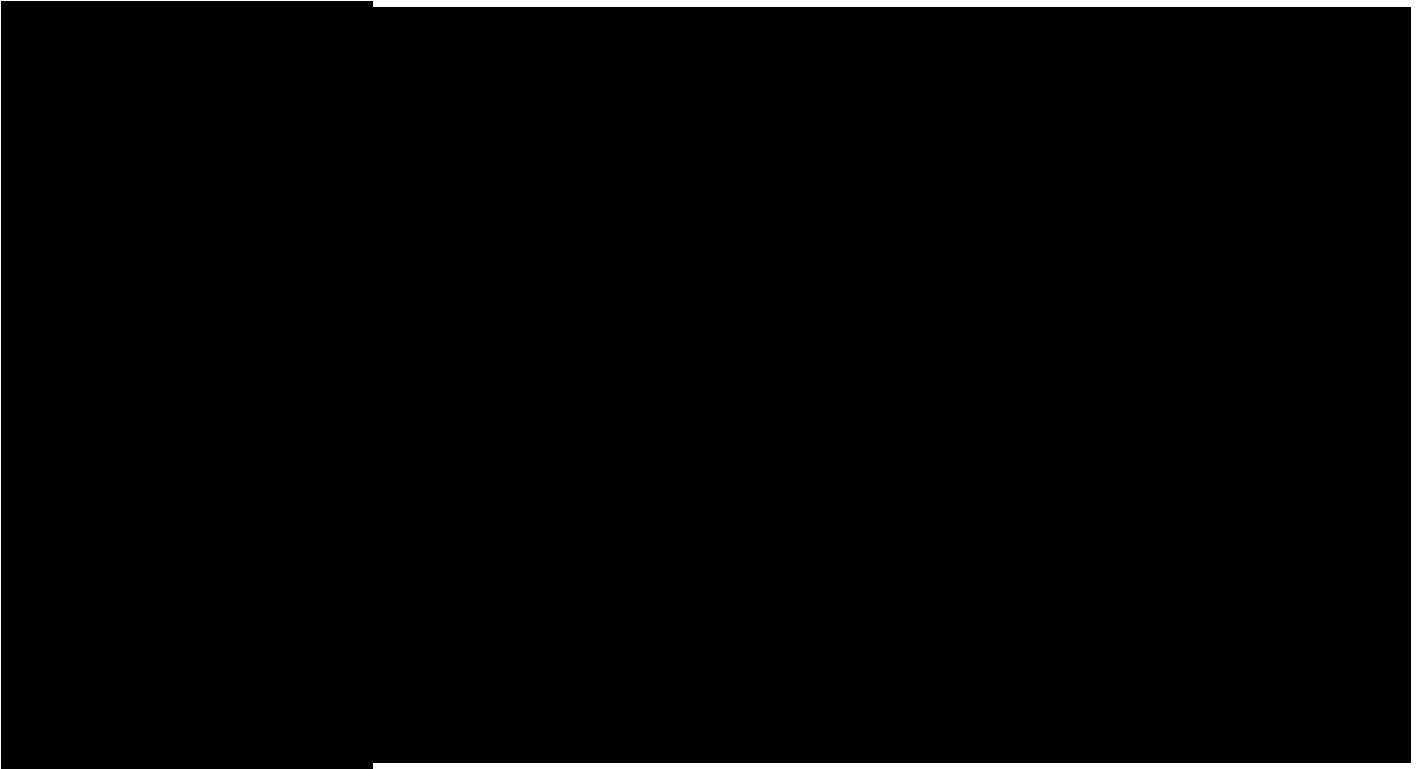


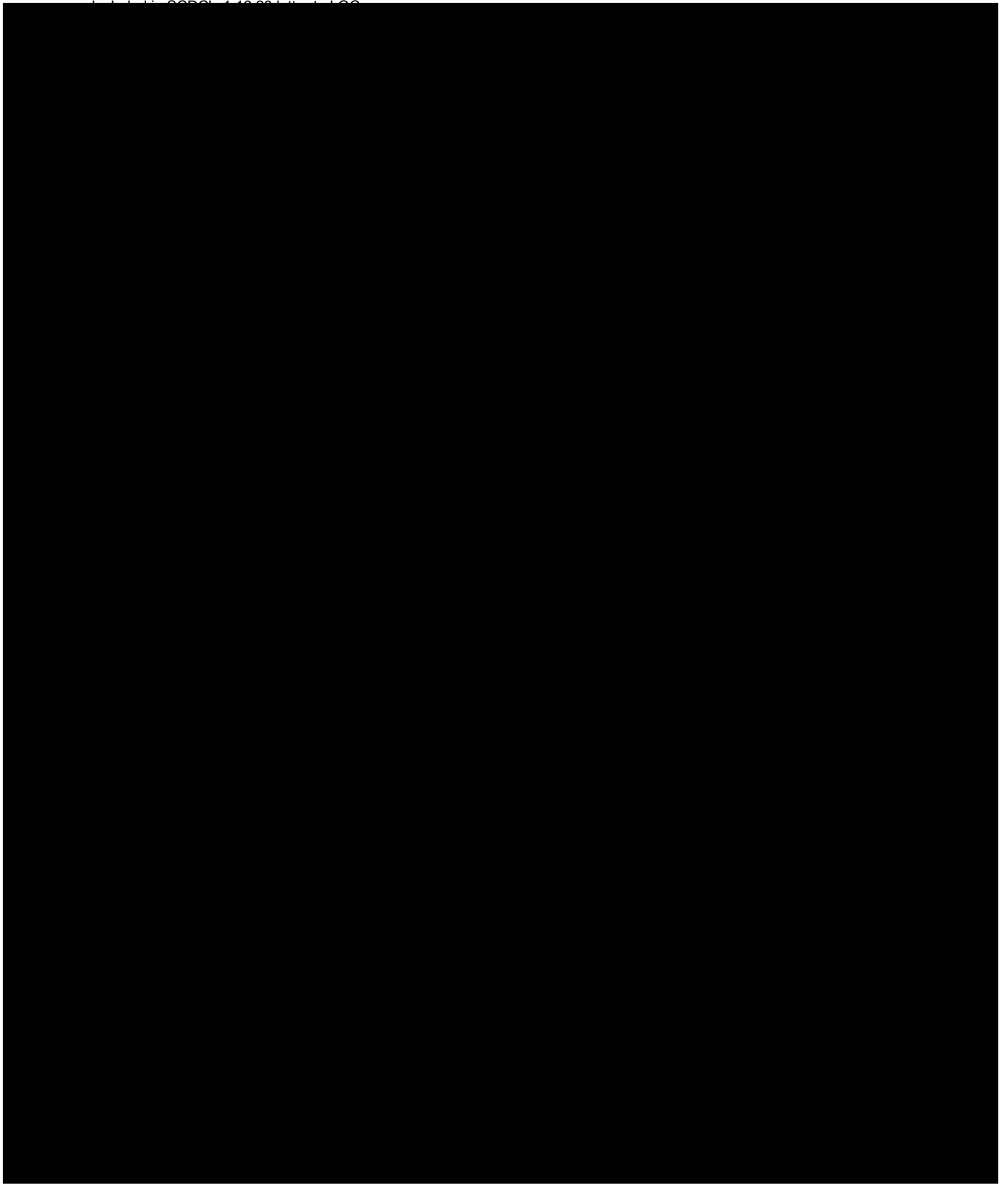
A shift relief factor of 5.13 can be translated to mean that for one year, an average of slightly more than five staff (5.13) will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.33 staff (160 hours) throughout the year.

Staffing Level Recommendations

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Turbeville Correctional Institution when fully operational. As the mission changes the staff requirement may also change.







Tyger River Correctional Institution

The Tyger River Correctional Institution (TRCI) is a state operated level 2 facility located approximately 75 miles northwest of Columbia in the town of Enoree, South Carolina. The facility serves as one of South Carolina's adult male medium-security correctional facilities. The reported maximum capacity at Tyger River is 1,297 and the average daily population the first nine months of 2017 was 1,261.

While most of Tyger River's inmate population is considered medium custody a small percentage of inmates (approximately 7.4 percent) are classified as level 1 (minimum) and may be assigned to a variety of work details including jobs located outside the secure perimeter. At the time of the review approximately 15% of the population was on a mental health caseload.

The physical plant at Tyger River is unique in that it represents the results of merging two side-by-side SCDC correctional facilities in 1999, the Dutchman Correctional Institution and the Cross Anchor Correctional Institution. One facility was originally designed to house level 1B (minimum) inmates and the other was built as a level 2 (medium) security facility. The perimeter has been modified and upgraded since the original merge. The current perimeter is protected by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, high-mask lighting, vehicle access gate, sensors, elevated watch towers, perimeter zone stations and an alarm detection system. There is no single perimeter road that circles the entire facility.

In addition to providing housing and services for general population inmates Tyger River also provides housing and services for special programs including a Restricted Housing Unit, Transition Program and the Under 21 EFA Program. The Restricted Housing Unit is available to house inmates requiring more intense behavioral levels of supervision and the inmates are housed and programmed separately from inmates assigned to the general population. The transition program provides management an opportunity to temporarily monitor inmates on a short-term basis in a more controlled environment while providing required programs and services. The under 21 EFA program is an educational program for inmates under the age of 21.

Inside the perimeter are a variety of buildings, services and open space available to help meet the existing facility responsibilities. Since TRCI was originally designed as two separate institutions the footprint of the facility is extremely large and includes several duplicate functioning service areas.

The physical plant contains the following: Front Gate/Vehicle Access Gate; Administration Building; Upper Main Control; Lower Main Control; Upper Operations; Lower Operations; Personal Property; Visitation Area; Programs Buildings (2); Chapel; Education (2); Canteen (2); Laundry (2); Medical (2); Commissary (2); Greenhouse; Cafeteria (2); Maintenance; Prison Industries Buildings (3); General Population Housing Units and Two Restricted Housing Units.



Food Services are normally provided to the general population inmates in the cafeteria. Inmates assigned to the lower housing units normally use the lower cafeteria and inmates assigned to the upper housing units normally use the cafeteria located in the upper section of the facility.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement, escorted, supervised and the use of passes (OTR's) was all being used.

Housing Unit Design

There are three primary housing unit designs at Tyger River. What is somewhat unique at this SCDC medium-security facility is that ten of the housing units provide "dry" cells. Each of these units contain cells that have no toilets or wash basins. The toilets, wash basins and showers are all located in the common area within each wing. In total, there are (13) separate housing units required to be staffed.

The following housing unit designs are available.

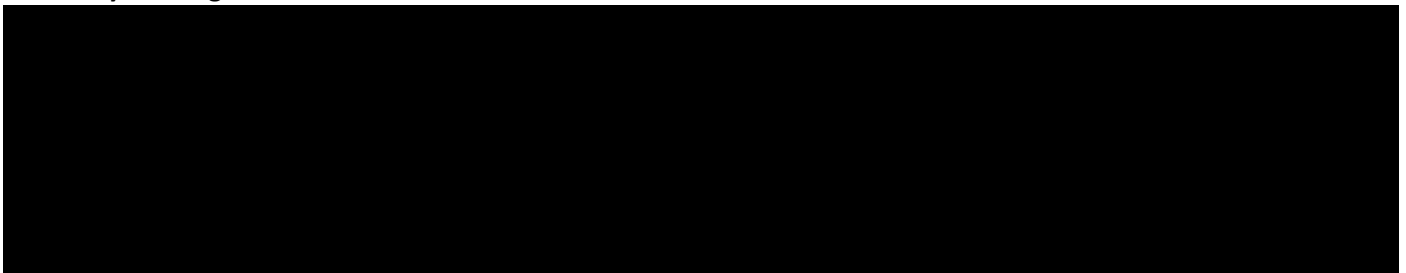
- **Unit 6.** Unit 6 is a single story 96-bed housing unit located in the upper section of the facility used to provide housing for general population inmates. An officer work station is centrally located between two open bay wings where the inmates reside. The open bay wings containing half-wall living space separations are similar in design to dormitory style housing as there are no cells within this unit. Showers, toilets, wash basins, dayroom space and passive recreation opportunities are available within each wing. Secure outdoor recreation space is also available immediately adjacent to the unit.

- **General Population Units.** There are ten additional **indirect supervision** housing units available at TRCI, that each contain a centralized secure control room surrounded by two wings providing inmate living space. Visibility into each adjacent wing is available from the control room. Inmate housing is provided in “dry” cells located on two levels within each wing. The cells do not contain a toilet or wash basin and inmates are issued door keys to their cells in all but one of the housing units. In one housing unit, secure Folger Adams locks have been installed to the doors. Showers, toilets and wash basins are available within each wing. The operational capacity of the housing units varies from (96) to (127) which represent housing units with strictly double occupancy cells and housing units containing a combination of double and triple occupancy cells.
- **Restricted Housing Units (RHU).** There are two indirect supervision Restricted Housing Units that contain a centralized secure control room surrounded by three housing unit wings. Visibility into each wing is available from the control center. All inmate housing is provided on one level using secure cells which contain a bed, toilet and wash basin. Outdoor recreation space is available immediately adjacent to the unit. The operating capacity of one RHU is 48 and in the second unit the capacity is 58, where ten cells allow for double occupancy.

Program Services

A wide variety of program services are available and integrated into the daily facility schedule. The primary programming includes: ABE/GED; Under 21 Education Program (EFA); Vocational Education; SPICE Program; Religious Services; Anger Management; Mental Health Services; Volunteer Services; Alcohol and Drug Education; General Library; Law Library; Recreation; Visitation; Canteen and expansive Prison Industry Programs. Staff report that over (480) inmates are routinely assigned to the Prison Industries program which includes three separate operations located in three different buildings.

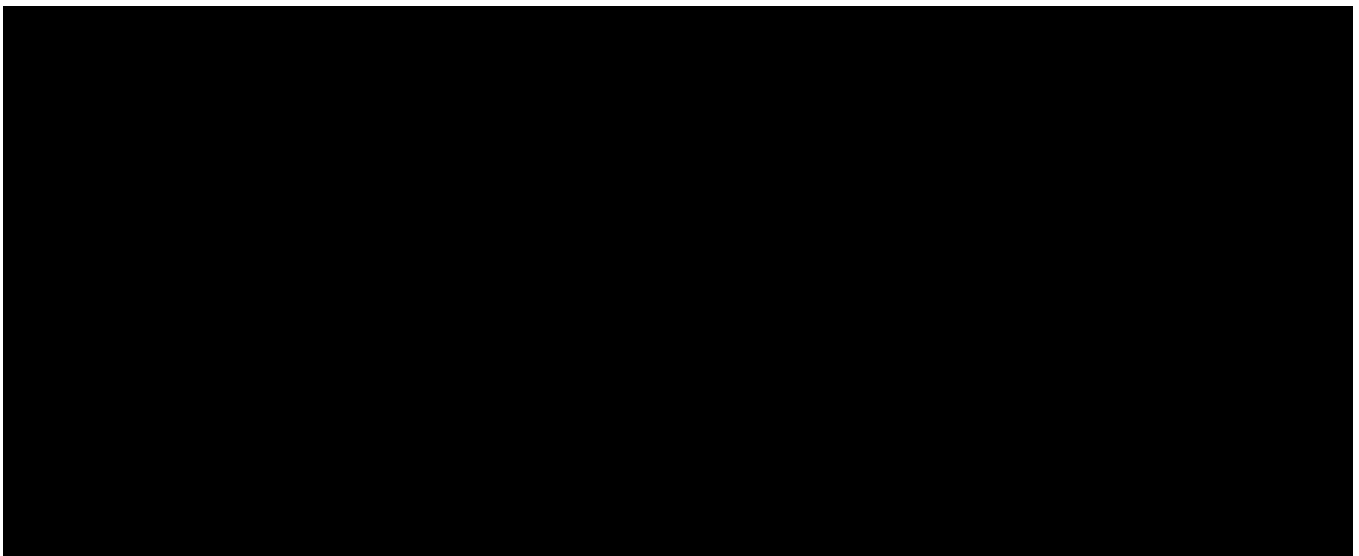
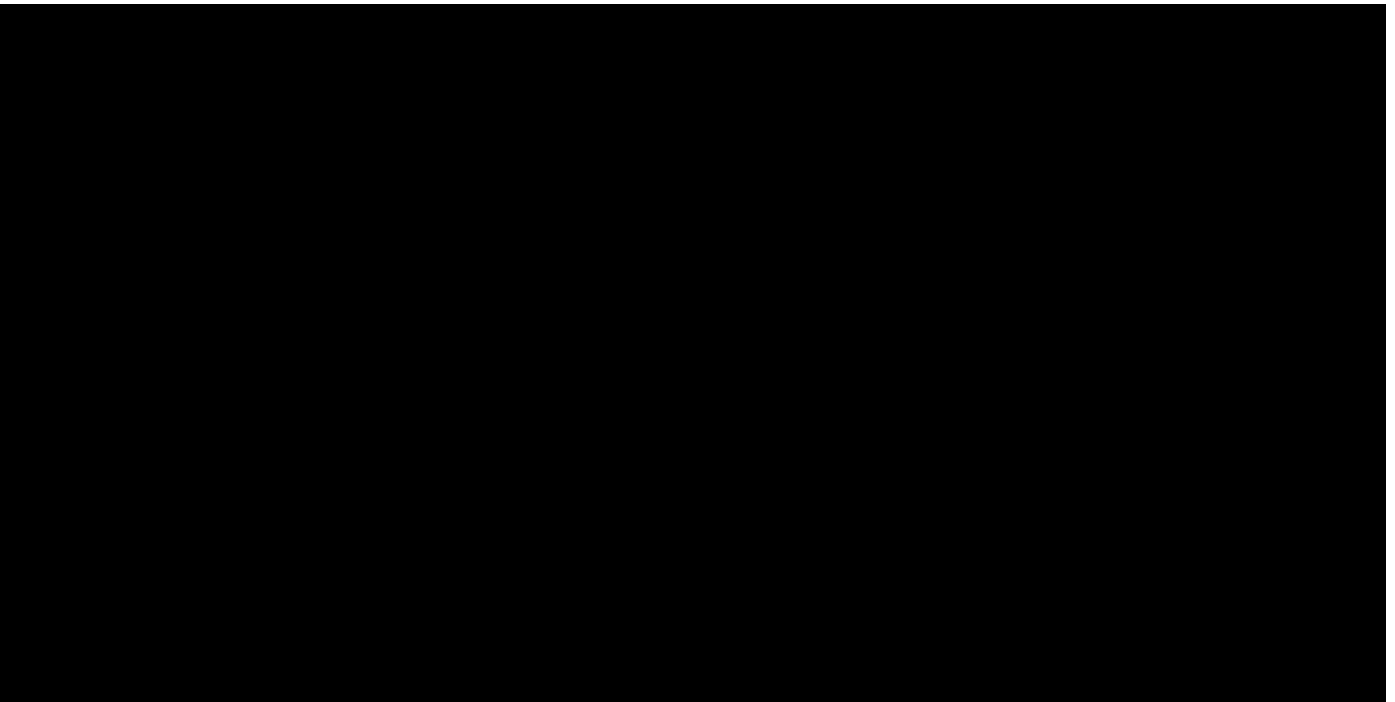
Security Staffing Profile



Security staff vacancies have been a concern at Tyger River for an extended period. In January 2011 the security staffing level was reported as (212). At the end of the year the security staffing level dropped to (194). The facility continued to operate in the (194-196) range until July 2014 when it dropped to (187) total security staff. Since July 2014 the security staffing level at Tyger River had continuously declined until August 2017. The following figures identify **the total number** of filled security positions reported on January 1 of each corresponding year.

[REDACTED]

[REDACTED]



Operational Initiatives in Response to Staffing Levels

Based on staffing levels facility management personnel have deviated from the original staffing plan and implemented several initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:

- **Deploy Cross-Watching.** There are 13 housing units at the Tyger River Correctional Institution of which all but two of the units are considered general population units. The capacities of the eleven general population units each range from (96) to (127). There are no toilets or wash basins in the cells and the inmates have keys to their cells in all but one of the general population units. Housing units are occasionally left without staff while inmates remain in the units as assigned personnel, on occasion, are responsible for providing supervision to more than one area.

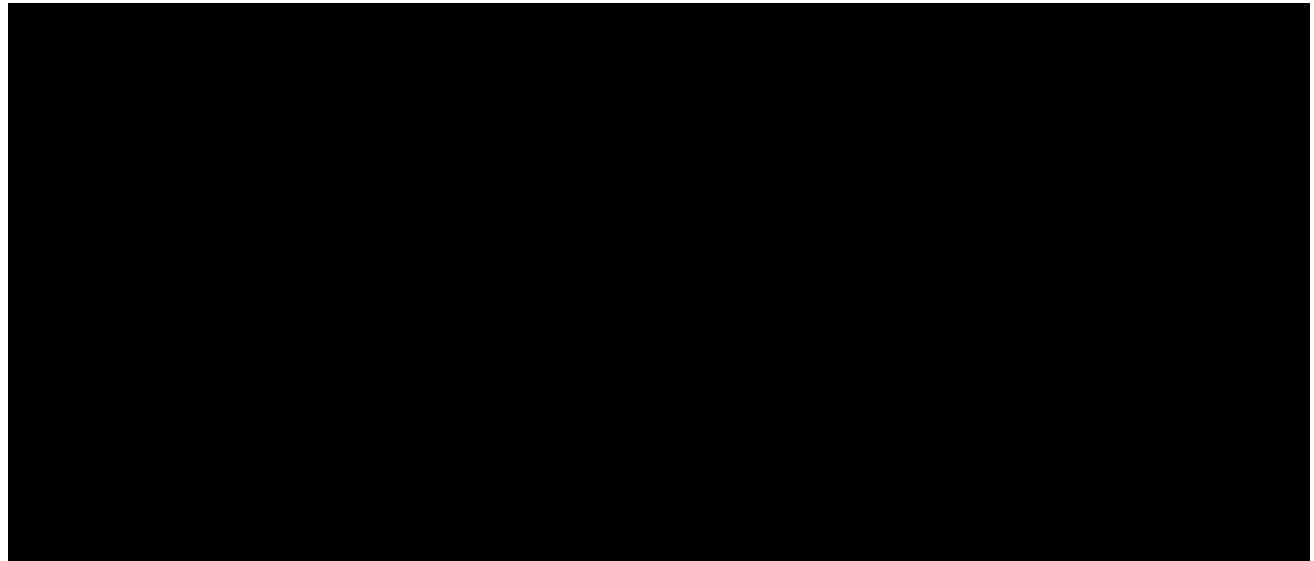
Approximately 92% of the inmate population housed at TRCI are considered medium custody and approximately 15% were on a mental health caseload during the review period;

- **Staff are augmented to leverage existing personnel resources.** Since 84.5% of the vacancies were in the front-line staff positions staff outside those position classifications are frequently required to fill front-line staff post assignments. Based on a review of daily shift assignment rosters sergeants, lieutenants and captains are frequently used to meet line staff responsibilities, limiting the amount of time available to supervise or perform their normal assigned responsibilities;
- **Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their shift, review staff availability levels, facility schedules and overall workload. Shift supervisors often remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are not eligible to receive overtime compensation;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** The first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of (222)⁴⁴ days. This resulted in limited access for the inmates to programs and services;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days or after their shift resulting in possible overtime expenditures. Pay cycle dates of August 18, 2017 – September 15, 2017 identified (229)⁴⁵ hours of overtime reported for staff training. Pay cycle dates of September 16, 2017 – October 13, 2017 identified (360) hours of overtime reported for staff training;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through November 2017 reflect all post assignments in the housing units, towers, yard and Restricted Housing Unit Wing positions are not routinely being filled;
- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)⁴⁶. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. This often results in fewer and less thorough pat-down searches, fewer building inspections, limited inmate escorts, delays and or cancellations in program and service delivery;
- **Out of Cell Recreation is not consistently being offered in RHU.** Based on staff interviews and a review of available documentation inmates assigned to the Restricted Housing Unit did not consistently receive access to recreation outside their cell at a frequency consistent with policy;

⁴⁴ SCDC Operations. Lockdown Statistics.

⁴⁵ Tyger River Human Resources.

⁴⁶ SCDC Policy OP.22.24 Post Orders.

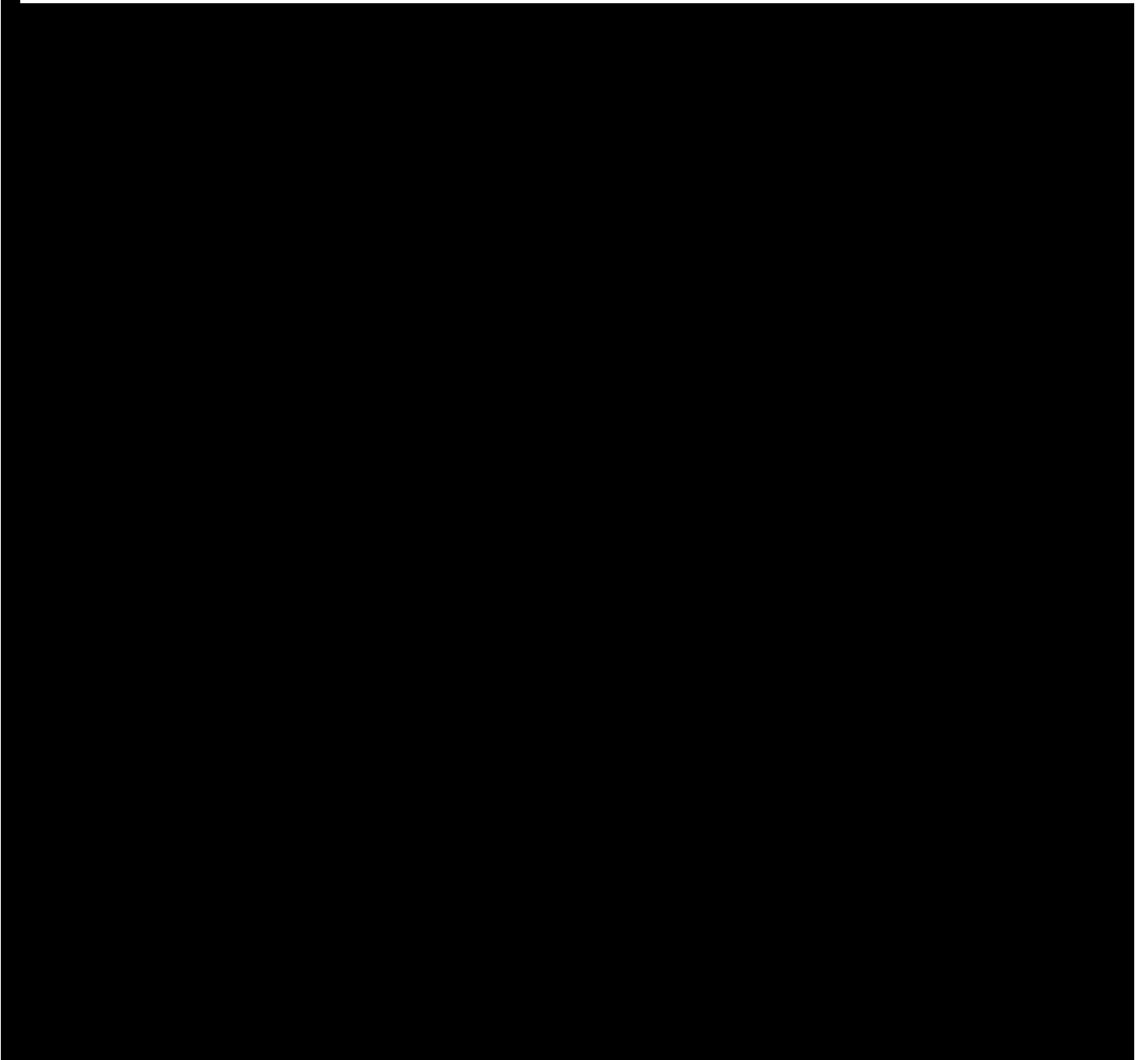


- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle. Staff working the additional eight hours are normally compensated at straight-time which is consistent with Fair Labor Standards Act (FLSA) guidelines. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring;
- **Staff not initially scheduled to work a shift are held over or called in to work often at an overtime rate to fill vacant post assignments.** The first eleven months of 2017 overtime expenditures were reported as \$729,806. Approximately 86% of the reported overtime is the result of back-filling required post assignments; and
- **Restrictions on staff overtime.** Facility management personnel have placed restrictions on overtime including the number of consecutive days and number of hours in a day an employee can work overtime. As a result, overtime expenditures have decreased at TRCI as have the number of post assignments being filled have decreased.

Demonstrated Risk Factors

Contraband Incidents. The introduction and presence of contraband in a correctional facility has always been an issue and is a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity, violence and escape.

One of the keys to an effective contraband prevention and detection plan is to establish an internal plan based on available resources that focuses on the prevention, identification and detection of contraband as a facility-wide goal. Part of the plan should ensure fundamental practices including searches, patrol, detection and intelligence gathering are consistently incorporated into daily workload activities by all staff, not just those assigned to contraband control.



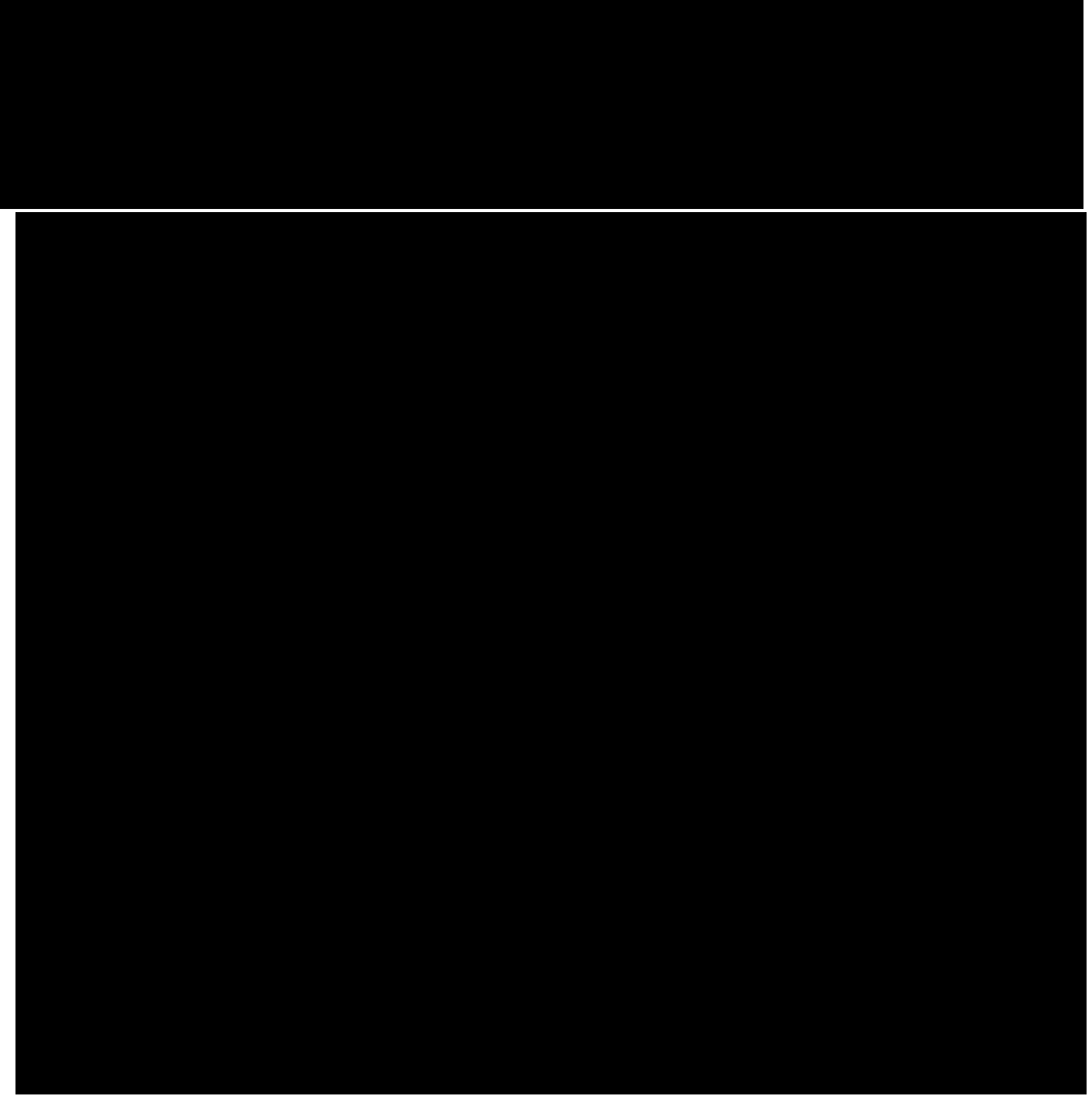
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Key Positions

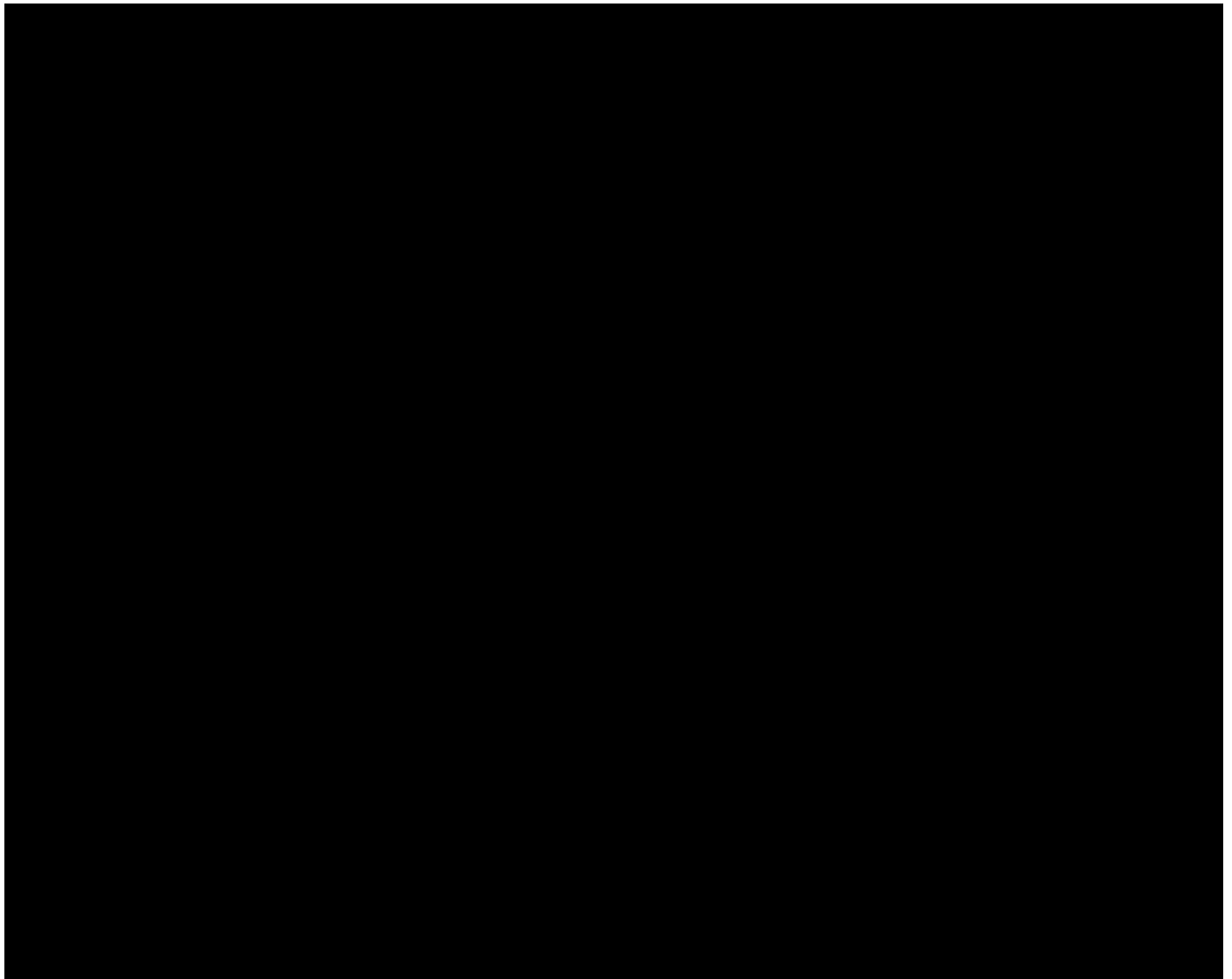
Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). All the positions were filled on the day of the site visit. The Warden was initially interviewed at the beginning of the assessment, provided the security post assignment tour and was debriefed prior to the completion of the on-site phase of the assessment. After the initial on-site assessment, the warden was available via telephone to clarify pending issues.



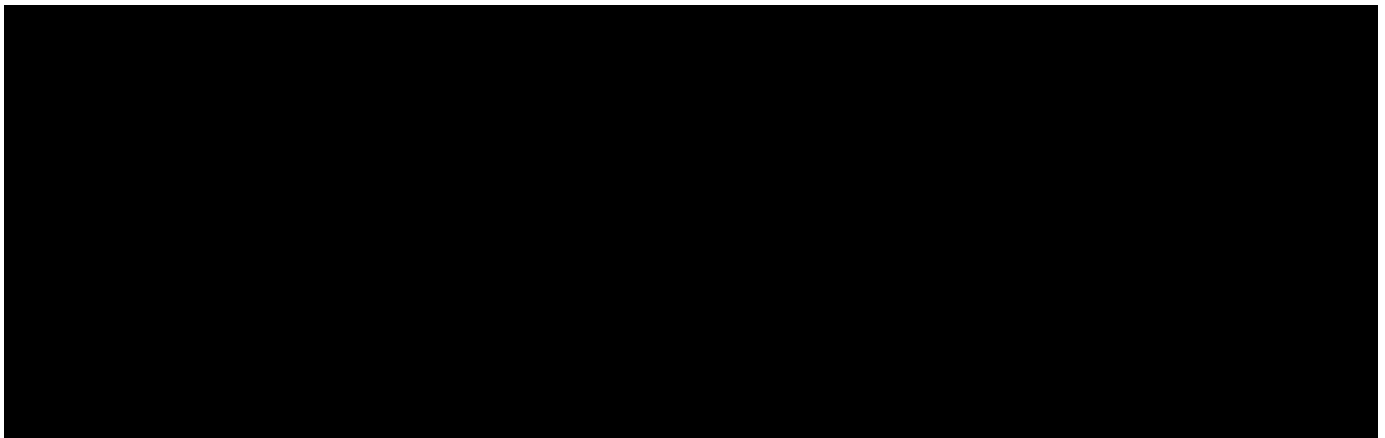
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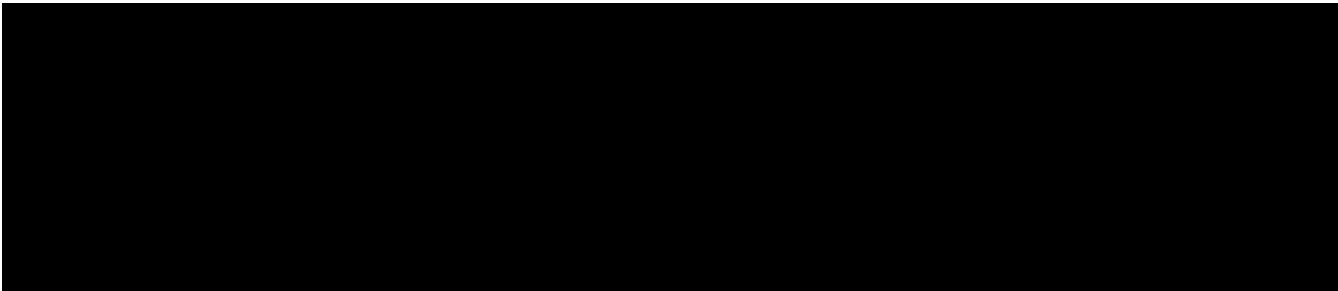
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Shift Assignments. Facility management personnel at LCI have developed a master shift assignment roster for security staff that identifies the name and number of personnel assigned to each shift, employee number, their position classification, post assignment (C-Card Only), leave status, those staff identified as “new hires” and their corresponding basic training reporting date.





Daily Shift Rosters. Daily shift rosters are also maintained at Tyger River that identify in more detail the actual staff assigned by day, their post assignment, staff on leave and briefing notes. The daily shift rosters are designed to document how scheduled personnel are utilized and to provide a necessary tool to provide staff accountability.

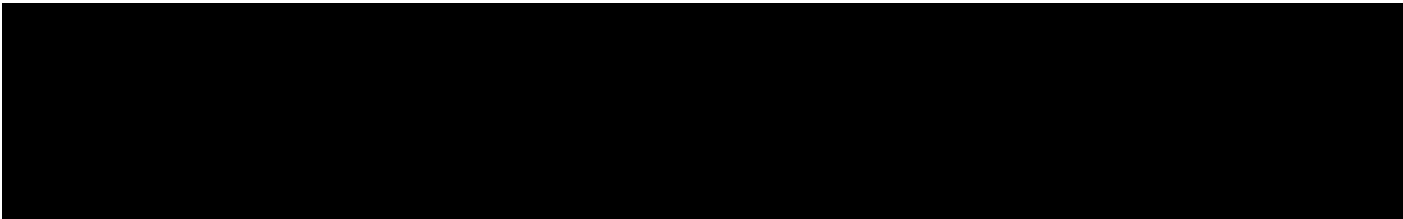
A review of sample daily rosters reflect rosters are maintained and identify specific staff assigned to select post assignments. There is no reference to post classifications or a recapitulation table identifying the total number of staff originally assigned to the shift. The conjecture is all staff scheduled are identified as being assigned to a listed post. When comparing the master shift assignment roster with the daily rosters all staff identified as being on the shift were not always listed on the daily roster.

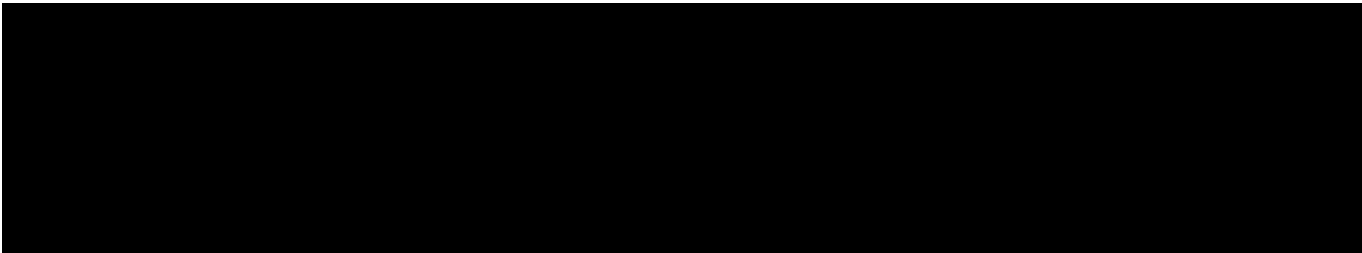
An additional concern identified on the daily shift rosters is that the same individual may be listed as being assigned to more than one post, without any explanation. For example, one individual was listed on the D-1 daily roster for 11/2/2017 as being assigned to Housing Unit 11, Upper Yard Lieutenant, Shift Commander and Upper Yard Cafeteria. No other staff were identified for these posts. The conjecture, unless indicated otherwise, is that when an employee's name is listed next to a post assignment, that individual is responsible for that post during the entire shift. If that is not the case, notations should be made in the roster.

In view of the limited staffing levels available, staff at Tyger River are often required to work more than one post at a time. When more than one post is being filled by the same individual and one of the posts includes housing units where medium security inmates have keys to their own cells, safety concerns are enhanced.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain posts are shut down first.

Sample daily shift rosters provided reflected most of the mandatory posts identified in the post chart were being routinely filled. As mentioned they may only be filled intermittently. One exception was the three Outer Perimeter posts which were not being filled. In addition, the number of staff assigned to the Front Gate and Restricted Housing Unit Wings were deficient when compared with the post chart. Staffing levels in these areas reflected that normally fewer staff were being assigned than identified in the post chart.



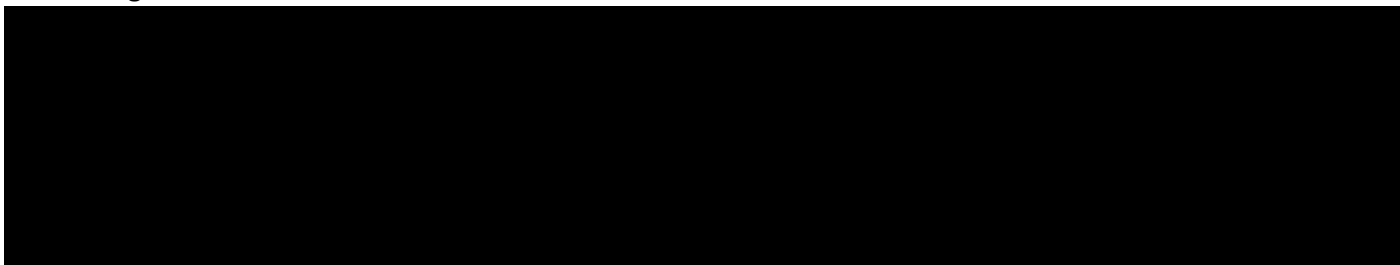


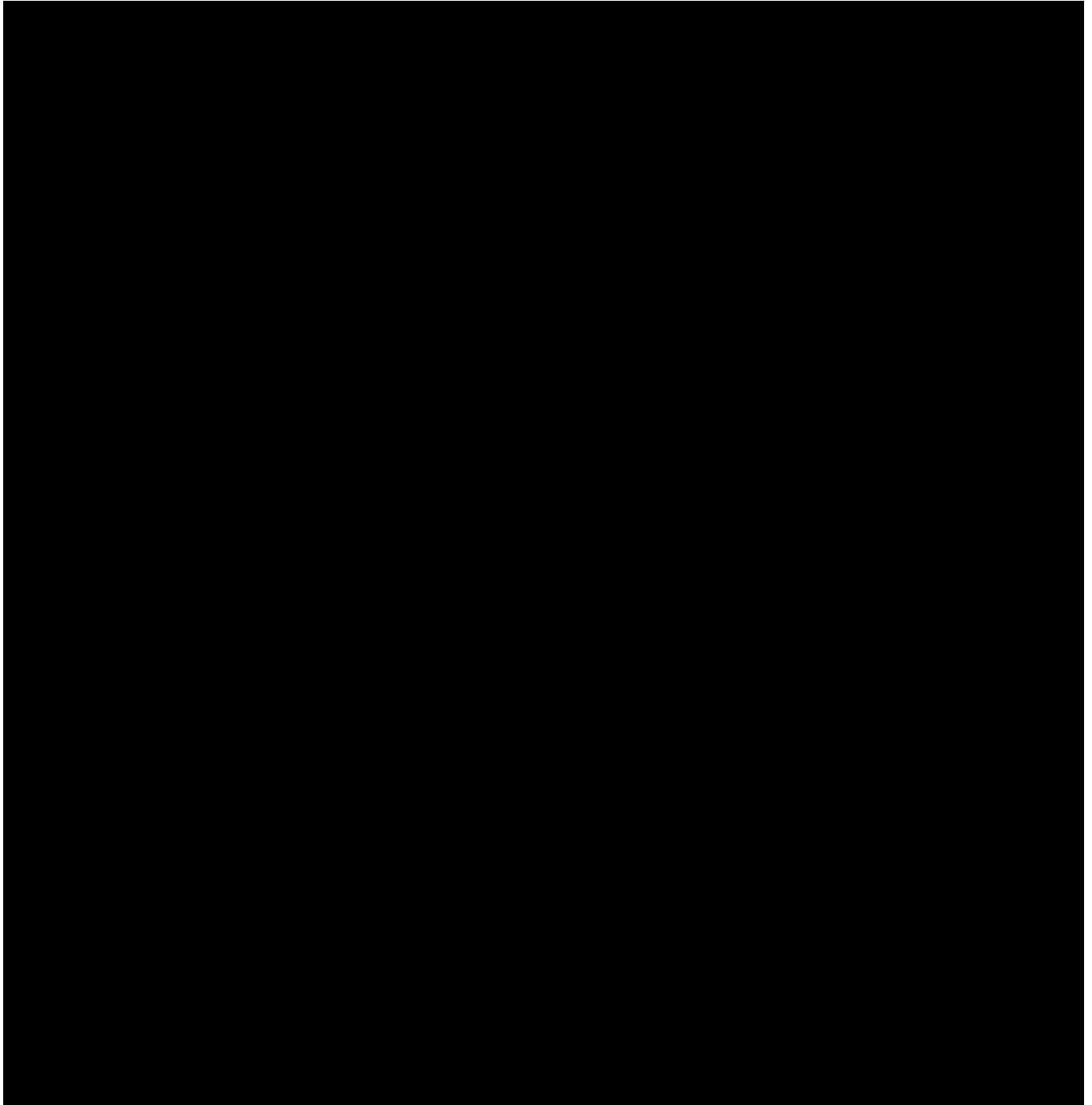
At Tyger River the basic elements of a roster management system including the identification of post assignments, recommended staffing levels, shift scheduling and daily shift roster development are in place.

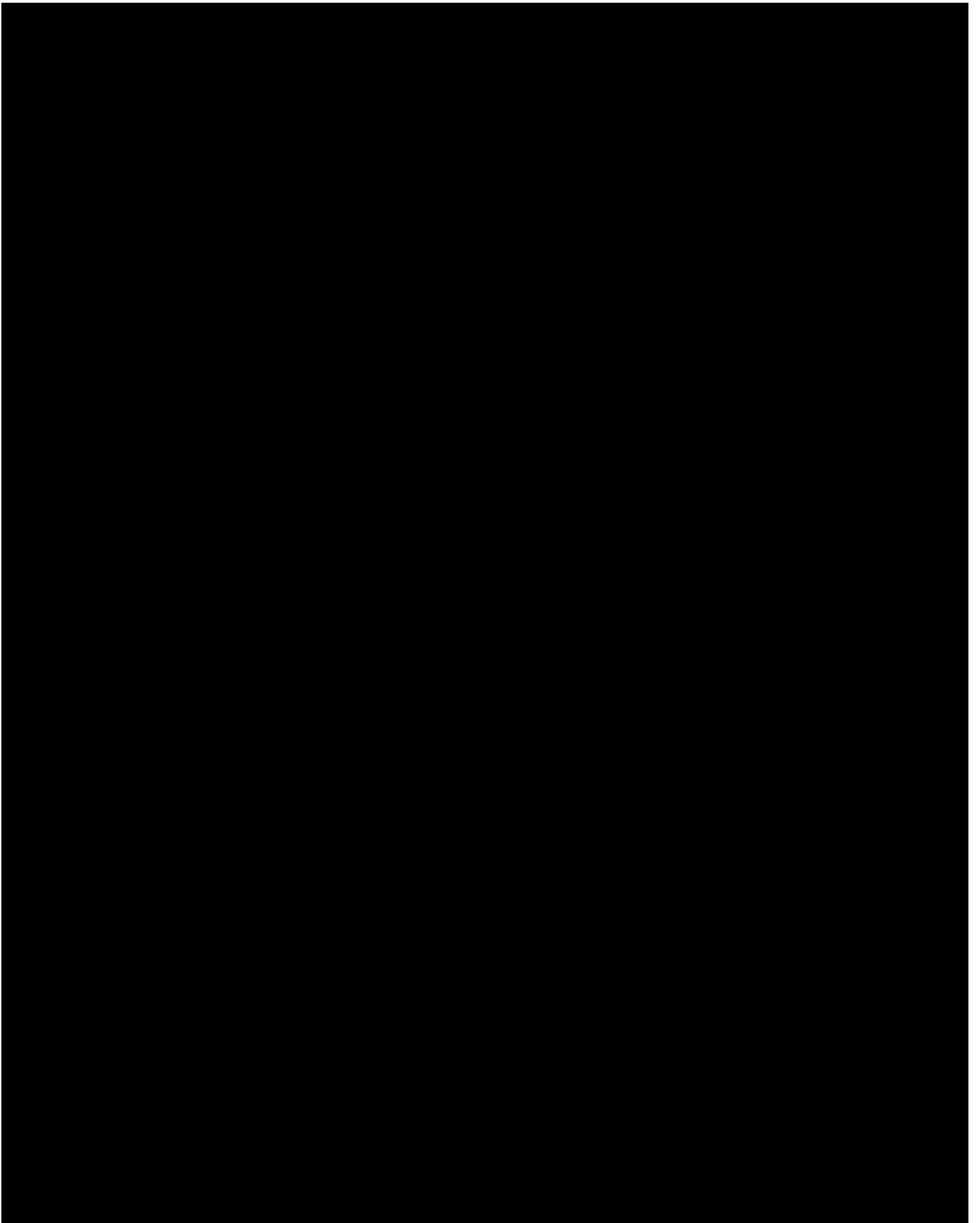
The primary concerns with the system include the following:

- The post chart **underestimates** the number of mandatory posts that need to be filled. The current operating practice when insufficient staff are available is to contact qualified staff currently assigned or on their off-day to determine their interest in working additional hours. Based on the number of staff interested in working additional hours combined with the scheduled staff the shift commander fills as many posts as possible. Most often, this results in mandatory posts going unfilled, staff working multiple posts and post assignments being filled intermittently and/or by personnel outside the recommended position classification;
- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis. Monthly in-house reviews should be completed to identify the number of post eligible personnel, determine the effectiveness of the system and to confirm or re-establish minimum staffing levels;
- Daily shift rosters need to be updated to reflect how all staff assigned to the shift are utilized. The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures the employee assigned to each post and if assigned for less than a full shift that should be noted. Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster; and
- Manual and automated daily rosters should be completed and maintained as a potential legal document designed to identify how staff are utilized during each shift. Discrepancies identified between the manual and automated daily rosters should be addressed in the recommended monthly roster management meeting.

Staffing Recommendations







Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Tyger River based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year and is based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

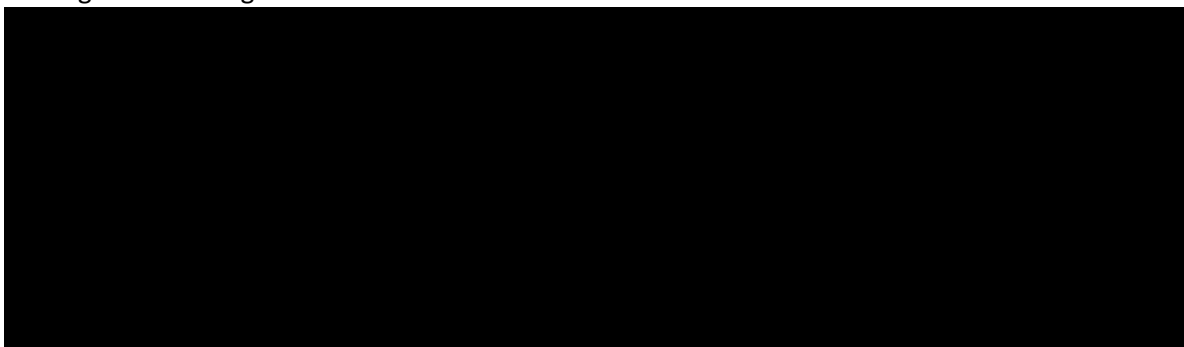
Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years available at the time the report was being initially prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers. The average security employee was available to fill a post approximately (60) fewer hours in 2017 compared to 2015.

At Tyger River, the use of "annual-leave" (vacation) had increased in 2017 compared to 2016 and 2015. In 2017 an average of (112) hours of annual leave was used per employee compared to (93) hours in 2016 and (82) in 2015;

- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.



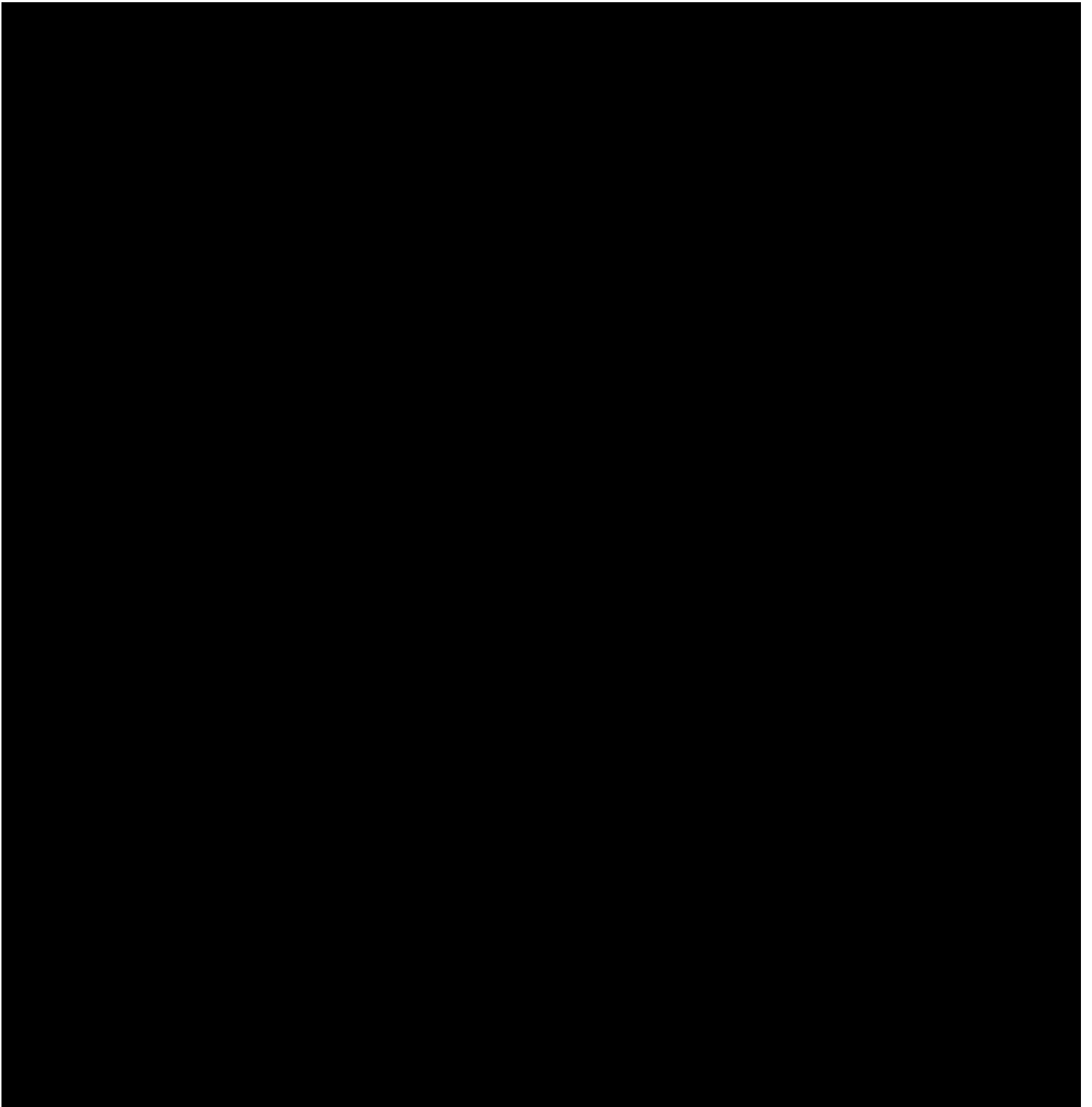
A shift relief factor of 4.94 can be translated to mean that for one year, an average of slightly less than five staff (4.94) will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.29 staff (160 hours) throughout the year.

[REDACTED]

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Camille Graham Correctional Institution

The Camille Graham Correctional Institution (CCGCI) is a state operated correctional facility located within the Department of Corrections Broad River Complex in Columbia, South Carolina. The facility was originally opened in 1973 as the South Carolina Women's Correctional Institution and renamed the Camille Griffin Graham Correctional Institution in 2002. Additional replacement housing units have been added since the facility was originally opened.

CCGCI serves as the Department's Women's Reception and Evaluation Center (R & E) in addition to providing permanent housing and services for females admitted to the South Carolina Department of Corrections. The combined operational capacity at CCGCI is reported as 916 and the average daily population during the last six months of 2017 was 745. The custody level of inmates assigned to the main facility varies from level 1A to level 3. At the time of the review approximately 51% of the total population (excludes R & E) was on a mental health caseload.

The facility currently provides housing and services for a wide variety of inmates including the following:

- **Reception and Evaluation (R & E).** CCGCI is the only female R & E facility within the South Carolina Department of Corrections. All females admitted to the South Carolina Department of Corrections are processed initially through the CCGCI Reception and Evaluation Center. The security classification of inmates assigned to the R & E varies from level 1 to level 3. During FY 2017, there were 1,120⁴⁷ females admitted to the Department;
- **Crisis Stabilization Unit (CSU).** The Department implemented a Crisis Stabilization Unit at CCGCI in 2017 to centralize medical and mental health care for females while maintaining safety and security regulations for a high-risk population. Inmates assigned to the 12-bed CSU are provided housing and services in a separate corridor of a wing within the "Blue Ridge" housing unit. Based on the population profile of the inmates and associated treatment requirements, additional security personnel are considered essential. In calendar year 2017 there were 149 admissions into the unit;
- **Intermediate Care Services (ICS).** In addition to the Crisis Stabilization Unit, mental health programs and services are also provided to a special needs population housed within the "Blue Ridge" unit. The ICS is a residential mental health program for females classified with serious persistent mental illness who require intensive treatment, monitoring, and care, but do not currently require psychiatric hospitalization. The program requires both structured and unstructured out of cell time, treatment and group therapy. Program assignments are based on the inmates presenting symptoms, behaviors, and adherence to treatment goals and recommendations;
- **Restricted Housing Unit.** The Restricted Housing Unit is available to house inmates requiring more intense behavioral levels of supervision. Additional security personnel are required to meet established responsibilities within the unit. The inmates are normally housed and programmed separately from inmates assigned to the general population;

⁴⁷ SCDC RIM

- **Residential Substance Abuse.** CCGCI provides a 48-bed residential substance abuse treatment program designed to provide offenders with 6-9 months of gender specific structured programming through a therapeutic community treatment approach. Inmates reside in a housing unit where one wing was strictly dedicated to the substance abuse program;
- **Work Release.** In 2016 the Department of Corrections merged the level one female work-release operations from the Goodman Correctional Institution with CCGCI. Individuals assigned to the CCGCI work release program currently reside inside the secure perimeter of the main facility. The work release inmates are classified as level 1A, (community-minimum) and work at approved sites within the local community. Inmates assigned to the work release program may be required to be transported to and from the facility daily. Work Release Inmates are housed in a separate wing at CCGCI from the rest of the population;
- **Shock Incarceration Program.** The Shock Incarceration Program is a 90-day program designed as an alternative to traditional incarceration, providing a therapeutic environment where young female nonviolent offenders receive substance abuse treatment, academic education, and other assistance to promote their reintegration into the community. Individuals assigned to the Shock Incarceration Program reside in the housing wing with youthful offenders;
- **Youthful Offenders.** On the date of the review females sentenced under the South Carolina Youthful Offender Act were housed with younger inmates in the same wing as the shock incarceration program and normally separate from general population inmates; and
- **General Population.** The largest percentage of inmates housed at CCGCI are assigned to the general population engaged in both program and work assignments.

CCGCI operates as a multi-level security correctional facility surrounded by a perimeter fence reinforced with razor ribbon, concertina wire, electronic surveillance equipment, roving perimeter patrol, high-mask lighting, vehicle access gate and an alarm detection system.

Inside the perimeter of the facility are a variety of buildings and services provided to meet existing responsibilities. The physical plant includes: An Administration Building; Main Control; Medical Unit; Education Building; Multi-Purpose Building; Maintenance Area, Vocational Welding Shop; Support Services Building; Chaplaincy Area; Prison Industry Program; Cafeteria; Vehicle Gate; an open yard with walking track located in the center of the facility and six housing units including the Restricted Housing/R & E Unit and five additional housing units.

Food Services are provided to the general population inmates in the main cafeteria. Inmates assigned to the RHU and CSU have meals delivered to the housing unit.



Housing Unit Designs

There are five different inmate housing unit designs at the facility.

- **General Population.** Three of the housing units are similar in design. The **indirect supervision** replacement units contain a centralized officer work station located between the two housing wings. The work station allows partial visibility and direct access into each wing as well as to the exterior of the building. The open bay wings are similar to dormitory style housing as there are no cells within these units. Showers, toilets, wash basins, dayroom space, telephones and passive recreation opportunities are available within each wing of the single-story units.
- **Mental Health.** One housing unit was being used to house inmates where the primary program focus was on providing mental health programs and services. This housing unit referred to as “Blue Ridge”, contains an officer work station located in between the two housing wings in the sally port and an officer work station in the CSU corridor. The work station in the sally port allows partial visibility into each wing and has direct access to the exterior of the building as well as each housing wing. One wing contains an open bay, similar to dormitory style housing. Showers, toilets, wash basins, dayroom and passive recreation space are available within the wing.

The second wing provides direct supervision and contains secure cells located on two separate corridors. Each cell has a bed, toilet and wash basin. Showers are located outside the cell in the immediate area. In addition to the shower facilities **an officer work station is provided on the wing** as well as dayroom/group programming space, passive recreation and interview rooms.

The Crisis Stabilization Unit was located on one corridor and Intermediate Care Services was being provided both on the other corridor within the wing and in the second wing. All housing, programs and services were provided in a single-story building.

- **Residential Substance Abuse/Work Release.** There was one two-tier **indirect supervision** design unit containing two wings being used to house inmates assigned to a residential substance abuse program and the work release program. Each program operated on a separate wing. Housing was provided in cells as there was no dormitory style housing within the unit. Each cell contained a toilet and wash basin and each wing has showers, a dayroom and passive recreation space. A secure centrally located control room was available within the unit to control access into the living areas and provide security support and visibility into each wing.
- **Reception and Evaluation/Restricted Housing.** The Reception and Evaluation Housing Area consist of two multi-level wings with each wing containing cells. The living areas are designed to provide primarily double occupancy cells, and each cell contains a toilet and wash basin. Dayroom space, showers and an **open officer work station in each wing**. On the day of the site visit, due to the total number of inmates assigned to the R & E, nine of the cells contained three inmates and six R & E inmates were being housed in the Restricted Housing Unit wing. Current housing practice is for one wing to contain strictly inmates assigned to the Reception and Evaluation process and one wing provides housing primarily for inmates assigned to the Restricted Housing Unit; however, this wing may also be used to provide temporary overflow housing for R & E inmates. The average overall length of stay for inmates assigned to the Graham R&E Unit was reported as being between 35 and 45 days.
- **Infirmary.** A small infirmary is in the medical unit and provides limited housing options for inmates requiring medical assistance. On the date of the on-site assessment one inmate was housed in the infirmary.

Program Services

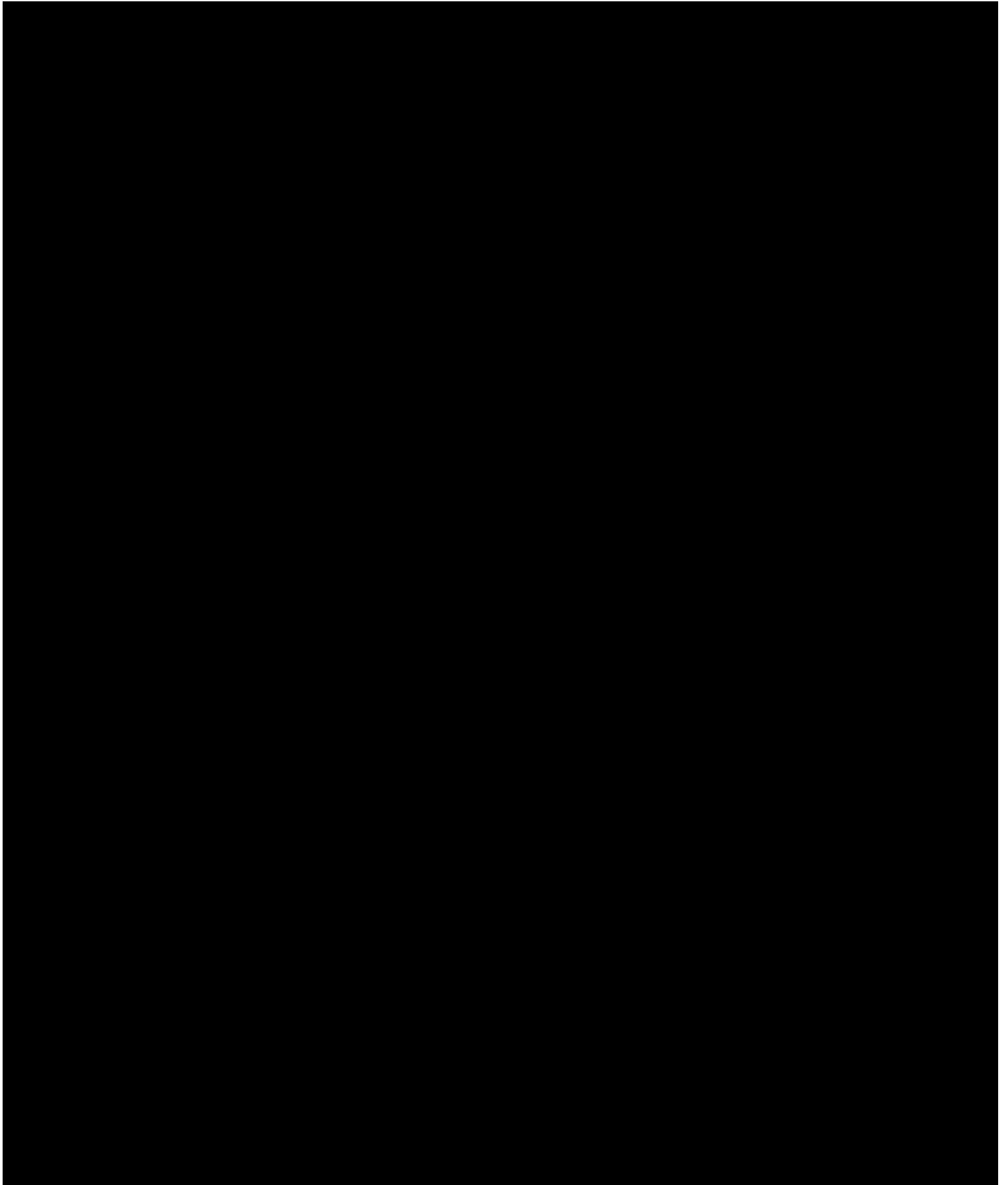
In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These program services have been integrated into the daily facility schedule to include the following:

ABE/GED; Under 21 EFA Program; Vocational Education; Religious Services; Volunteer Services; Second Chance Program (DEW); Residential Substance Abuse; Work Release; Alcohol and Drug Education; Library; Recreation; Visitation; Canteen; Pre-Release Classes; Columbia International University; Crisis Stabilization; Intermediate Care Services; Habilitation Services (outpatient counseling); Sister Care for Abused and Battered Women; Impact for Crime classes; Girl Scouts Beyond Bars; Greyhound Pets of SC; Parenting Education; Parents Anonymous; Storybook Project; Junior Achievement; YWCA Professional Skills Development; HIV Support Group; Breast Cancer Survivors; Words Travel; Friends of Corrections Clothing Program and the Prison Industry Program.

[REDACTED]

[REDACTED]

[REDACTED]



Operational Initiatives in Response to Staffing Levels

Based on staffing, facility management personnel have deviated from the original staffing plan and implemented several initiatives to maintain minimum operations at the facility. These initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)⁴⁸. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post;
- **Staff are augmented to leverage existing personnel resources.** Since 89% of the (18) vacancies were in the front-line staff positions, staff outside those position classifications frequently are required to fill front-line staff post assignments.

Based on a review of daily shift assignment rosters, sergeants and lieutenants are frequently used to meet front-line staff post responsibilities, limiting the amount of time available to supervise or perform their normal assigned responsibilities;

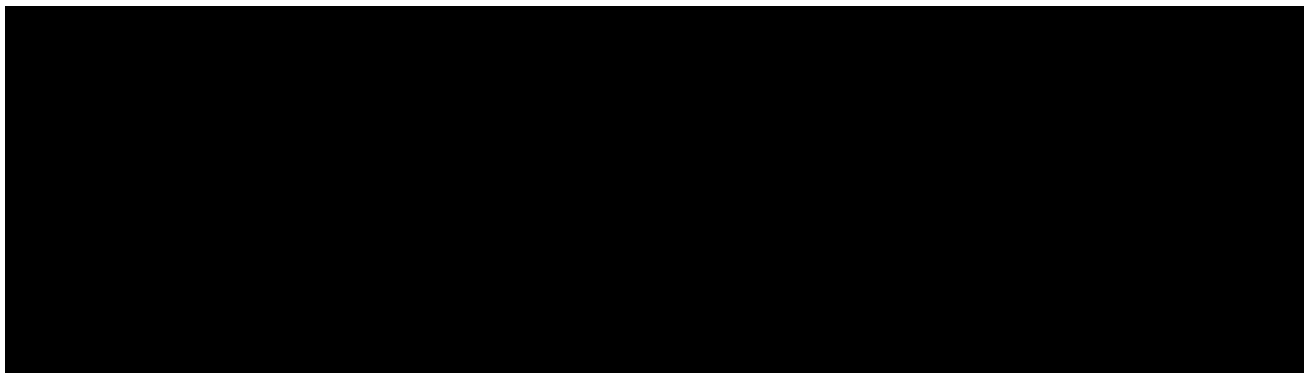
- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard only during peak hours;
- **Staff initially not scheduled to work often fill vacant post assignments at an overtime rate.** Overtime expenditures required to fill post assignments has increased substantially. During the first eleven months of 2016 the overtime expenditure was reported as \$21,292 (rounded) and in 2017 it was \$264,481 (rounded)⁴⁹; This represents the most dramatic increase percentage-wise (1,142%) in overtime expenditures during the reporting period when compared with other facilities reviewed. Overtime was required primarily to back-fill facility post assignments, conduct transports, provide hospital coverage, staff training and to stay after shift because of late reliefs. Providing security staff for hospital coverage at Palmetto Richland, Work Release Program and periodic coverage in the Crisis Stabilization Unit was reported to be instrumental in the increased overtime expenditures;
- **12 hr. Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage all at straight-time. Lieutenants and captains are not eligible for overtime compensation;

⁴⁸ SCDC Policy OP.22.24 Post Orders.

⁴⁹ SCDC RIM

- **The facility is placed on full or partial lockdown to limit movement outside the cell.** The first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a

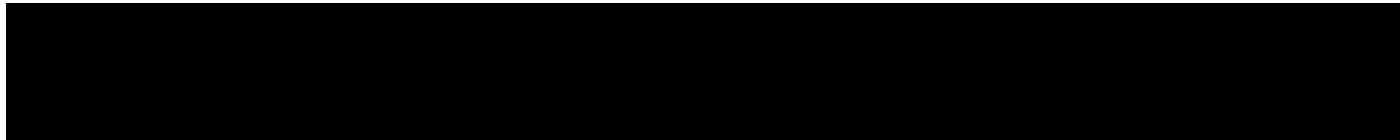
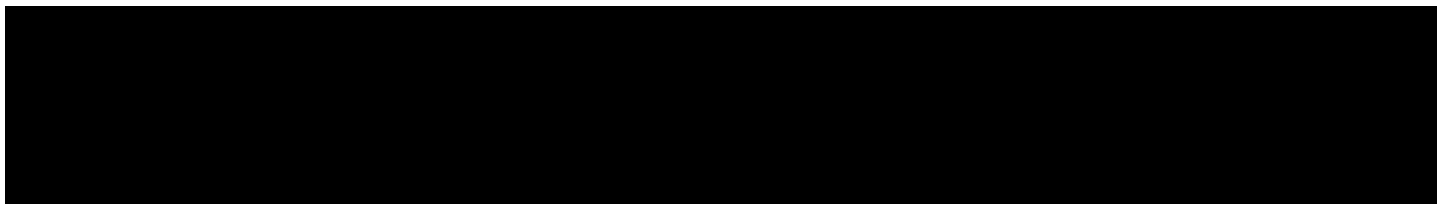
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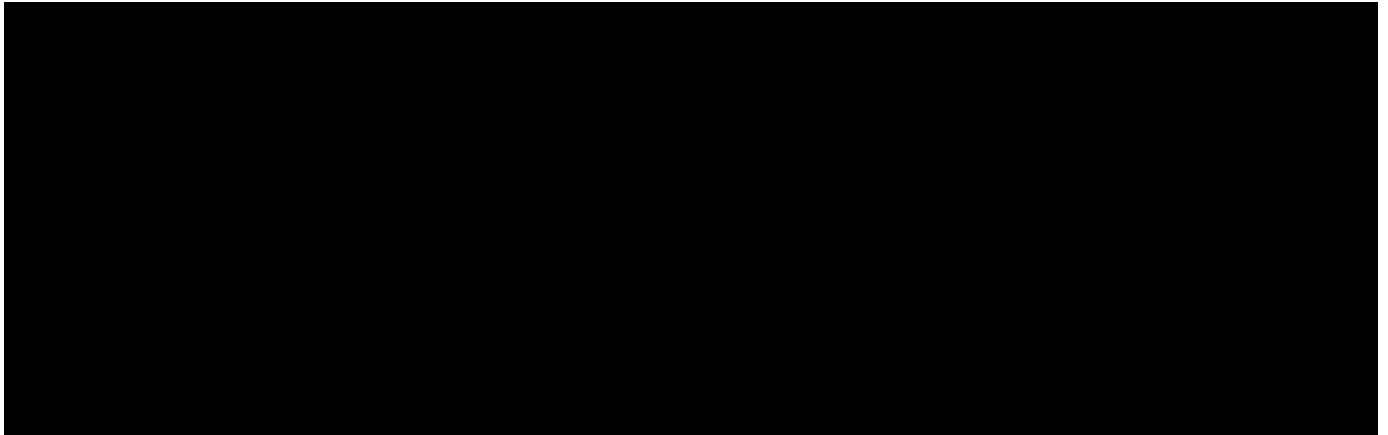
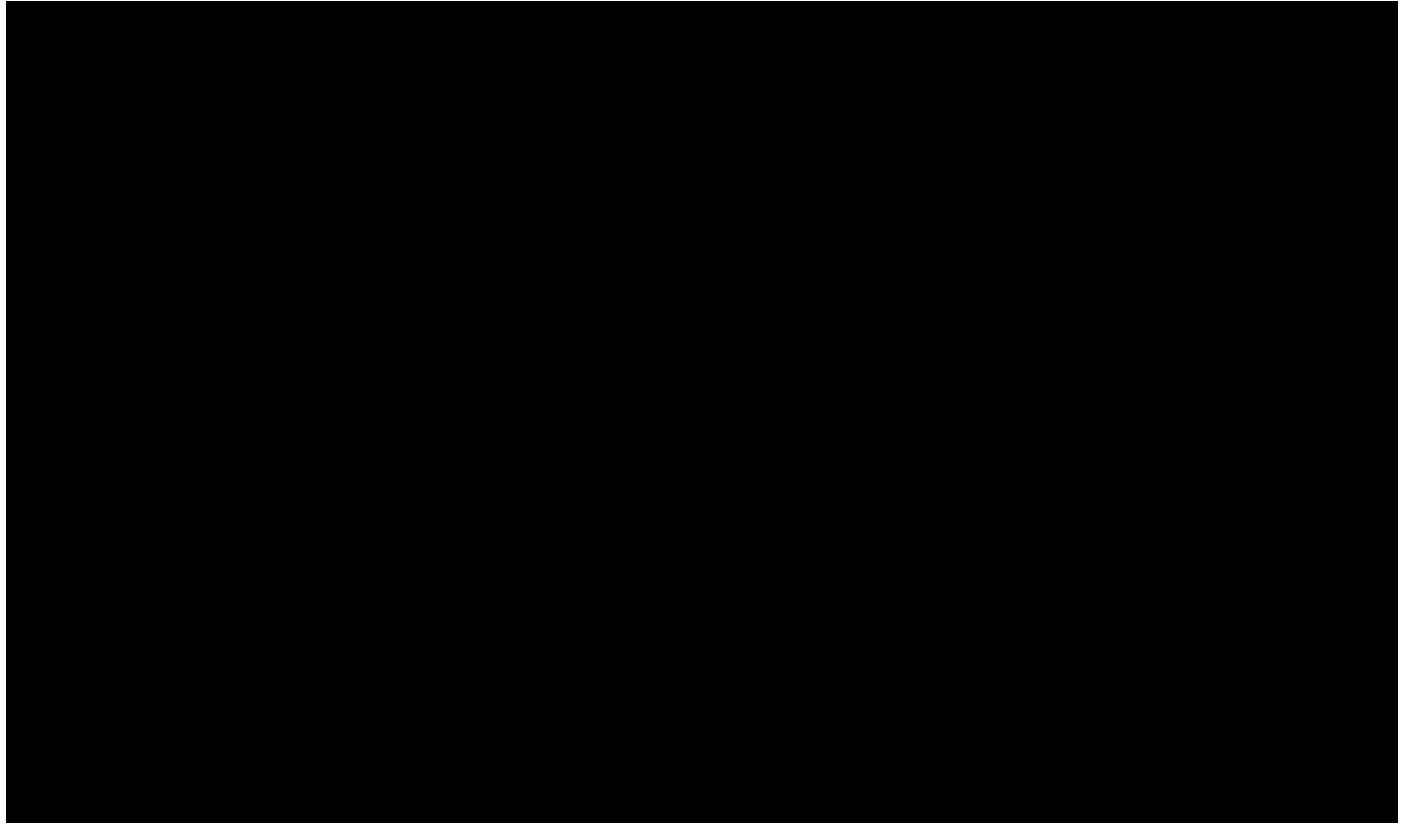
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are often scheduled to complete required training on their off-days resulting in additional overtime expenditures; and
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through September 2017 reflect all post assignments in the housing units, yard, support service areas, cafeteria, prison industries, chapel and education area are not routinely being filled.

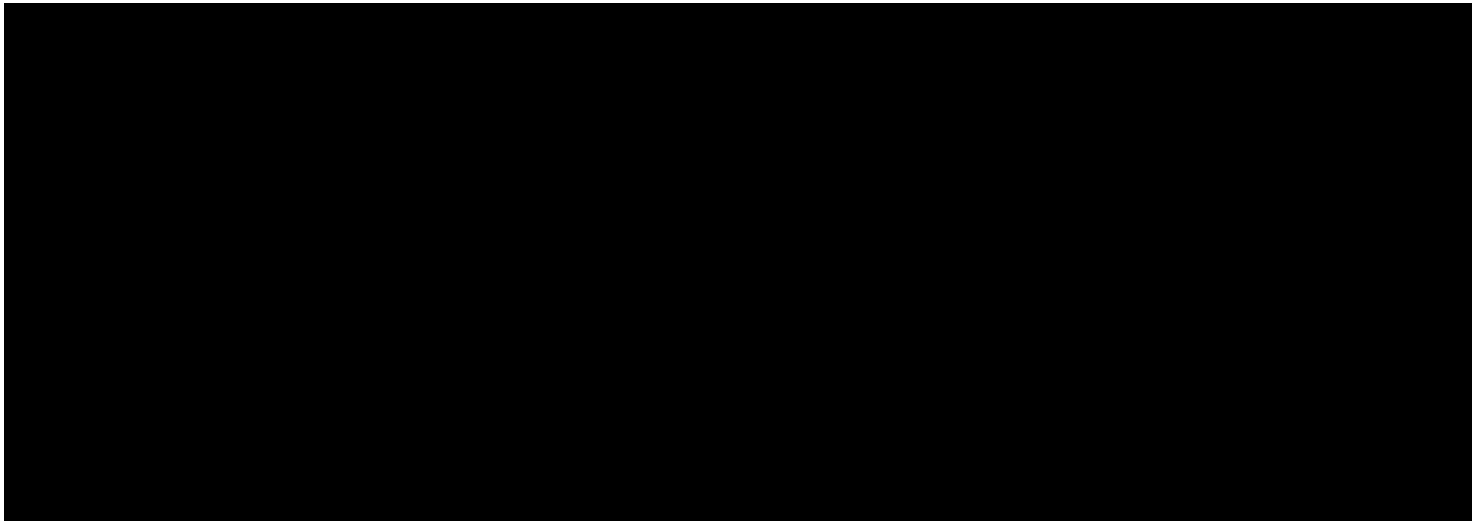
Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). The Warden was initially interviewed at the beginning of the assessment, was present during the review of post assignments and debriefed prior to the completion of the on-site assessment. After the initial on-site assessment, the warden was available via telephone to clarify pending issues.

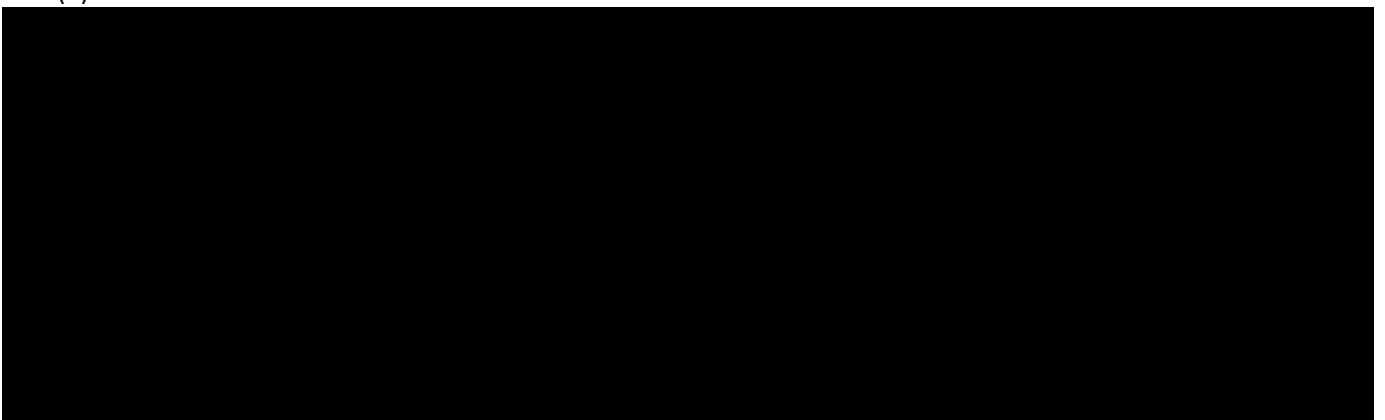


⁵⁰ SCDC Operations: Lockdown Statistics.





Shift Assignments. Facility management personnel at CGCI have developed a master shift assignment roster for security staff that identifies the personnel assigned to each shift, their position classification, status, those attending the training academy and those on leave status. A review of the master shift assignment roster reflected a relatively balanced division of staff in both numbers and position classification between the (4) 12-hour shifts.



Daily Shift Rosters. In addition to the master shift assignment roster daily shift rosters are also maintained for the 12-hour shifts that identify in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. Daily shift rosters appeared to be completed for each shift as required.

In reviewing the daily rosters there was no reference to post classifications or a recapitulation table provided to identify how all the staff originally assigned to the shift were being utilized. The initial conjecture is all staff scheduled are assigned to a post and no staff from another shift are working a post assignment. Based on reported overtime expenditures this does not appear to be the case. The daily shift rosters are designed to identify how scheduled personnel are utilized and to provide a necessary tool to document staff accountability and staffing needs.

The *C-Card* maintains an automated daily shift roster that identifies the name of the employee, gender, employee number, where they are assigned and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed; however, an automated version is provided.

In practice based on a combination of document review, on-site observation and staff interviews the following post assignments were routinely being filled:

Housing Units; Restricted Housing Unit Control; Restricted Housing Wing; Reception and Evaluation Wing; Outer Perimeter Patrol; Front Gate; Contraband; Transportation; Hospital Coverage; Shift Commander; Shift Lieutenant; Yard Officer; Back Door Officer; Main Control; Operations/Recorder; Gatehouse; Cafeteria; R & E Supervisor; Crisis Stabilization Supervisor; Crisis Stabilization Wing Officer; YOIS Officer; Environmental Health and Safety; Property Control; Armory /Key Control and Litter Crew.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first.

The approved post chart identified several post assignments as mandatory. In reviewing approximately 40 sample daily shift rosters, and interviewing staff it appeared all but one of the mandatory posts identified in the *Division of Security* post chart were routinely being filled. The Inner Perimeter Patrol post was not being filled as a dedicated post. Internal perimeter checks were reported to be conducted as an additional responsibility; however, the post was not considered a dedicated post assignment during the shift as reflected in the Post Chart.

The other operational inconsistency involved the actual number of staff routinely assigned to all the identified mandatory posts, when more than one post was recommended.

The total staff assigned to the general population housing units did not consistently include six or more staff. On those dates where fewer than six staff were assigned, a higher than normal number of staff were using benefit-time or being assigned to additional post responsibilities including the "outside hospital".

A post responsibility that did appear to be consistently filled, that was not identified on the post chart, was the post identified as the "Outside Hospital". The facility was ranging between two and ten (9/27/17) security staff per shift to provide on-site security coverage at the Palmetto Richland Memorial Hospital. In reviewing hospital coverage workload responsibilities at CGCI for a 12-month period from December 2016 to November 2017 the facility averaged 4.5 staff per 12-hour shift to the PRMH each day. The post chart does not provide a staffing allowance to meet these daily responsibilities.

At Camille Graham, the basic elements of a roster management system are in place except for having an appropriate number of security personnel to meet workload responsibilities. A post analyses has been completed, master shift assignment rosters have been developed and daily shift rosters are completed on each shift. The primary concerns identified are there are not enough security personnel to meet existing workload responsibilities without relying on staff working potential overtime, working outside their position classification or staff working more than one post assignment.

Additional concerns with the roster management system include the following:

- The post chart identifies mandatory posts that need to be filled and are not routinely being filled due to available staffing levels. The current operating practice when insufficient staff are available is to contact qualified staff currently assigned or on their off-day, to determine their interest in working additional hours. Based on the number of staff that are interested in working additional hours, combined with the scheduled staff the shift fills as many posts as possible. Most often this results in mandatory posts going unfilled, staff working multiple posts and post assignments remaining unfilled;
- The post chart needs to be updated to include additional existing workload responsibilities, i.e. "outside hospital";
- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis due to staffing levels. Monthly in-house reviews should be completed to determine the effectiveness of the system, identify core posts and to confirm or re-establish minimum staffing levels; and
- Daily shift rosters need to be updated to reflect how all staff assigned to the shift are being utilized. The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures, the employee assigned to each post and include a recapitulation table. Staff assigned to posts for less than a full shift, detailed to a special assignment, not normally assigned to the shift should be clearly identified on the daily roster.

Staffing Summary

The most significant concerns reported by facility personnel regarding staffing involved the following:

PRMR coverage. Providing Palmetto Richland Hospital inmate coverage drastically impacts staff availability within the facility. Providing inmate hospital transports and coverage at the hospital occurs most often daily. The number and type of staff required to provide hospital coverage varies. A review of daily shift assignment rosters reflects an average of (4.5) employees are required to provide outside hospital coverage for each shift on a regular basis. This represents approximately one-third of the non-supervisory security staff assigned to a 12-hour shift.

As a result, line staff posts inside the facility are routinely closed, filled by staff working overtime, filled mostly by staff with less than one year of service or filled intermittently by supervisory personnel.

On the date of the site visit, documentation reflected twenty-one of the eighty-six officers assigned to the facility had less than one year of service.

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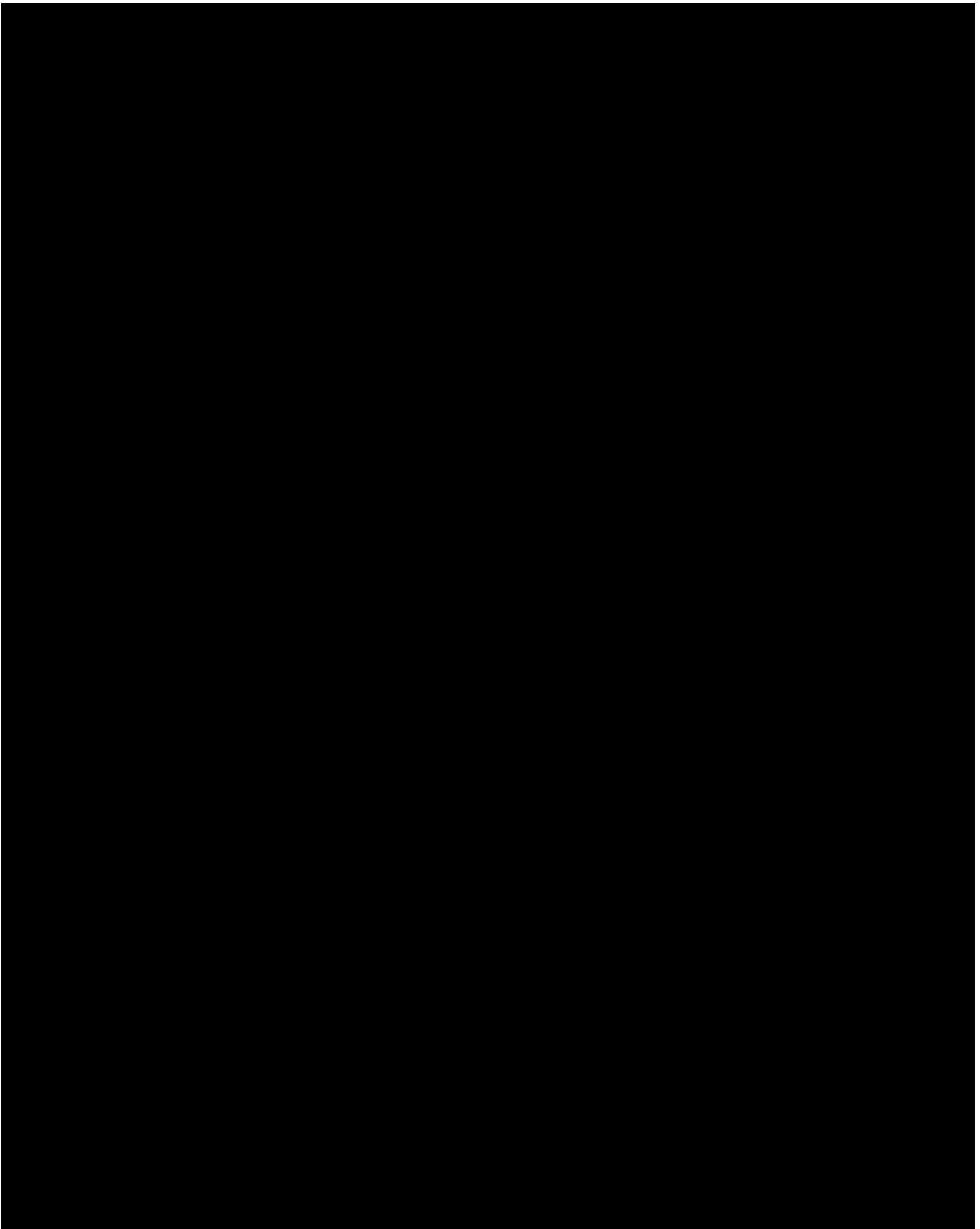
CSU and ICS. CSU and ICS programs require both structured and unstructured out of cell time, access to programs and treatment and when appropriate participation in group therapy. The programs and services are driven by national best practices and the recognition of the mental health settlement agreement⁵¹. The Blue Ridge Housing Unit offers housing, services and program space to operate secure residential treatment programs.

Most structured and group treatment are scheduled on the day shift Monday through Friday. Based on the type of inmate involved in the programs, proper security staffing levels need to be aligned with both meeting traditional responsibilities and treatment schedules. Staff need to be available and present to assist in facilitating, monitoring and creating an environment where treatment personnel can focus primarily on treatment goals and not focus primarily on safety issues. Triaging scheduled treatment, due to limited security staff should not be considered an option in the development of a staffing plan. Certified mental health techs have been added to supplement program and service delivery; however, should not be considered a replacement for having trained correctional officers.

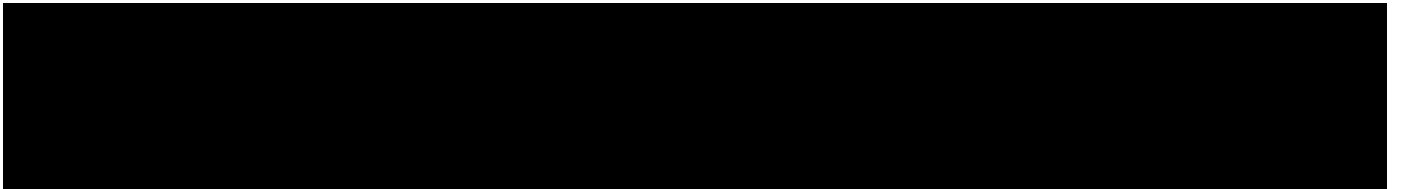
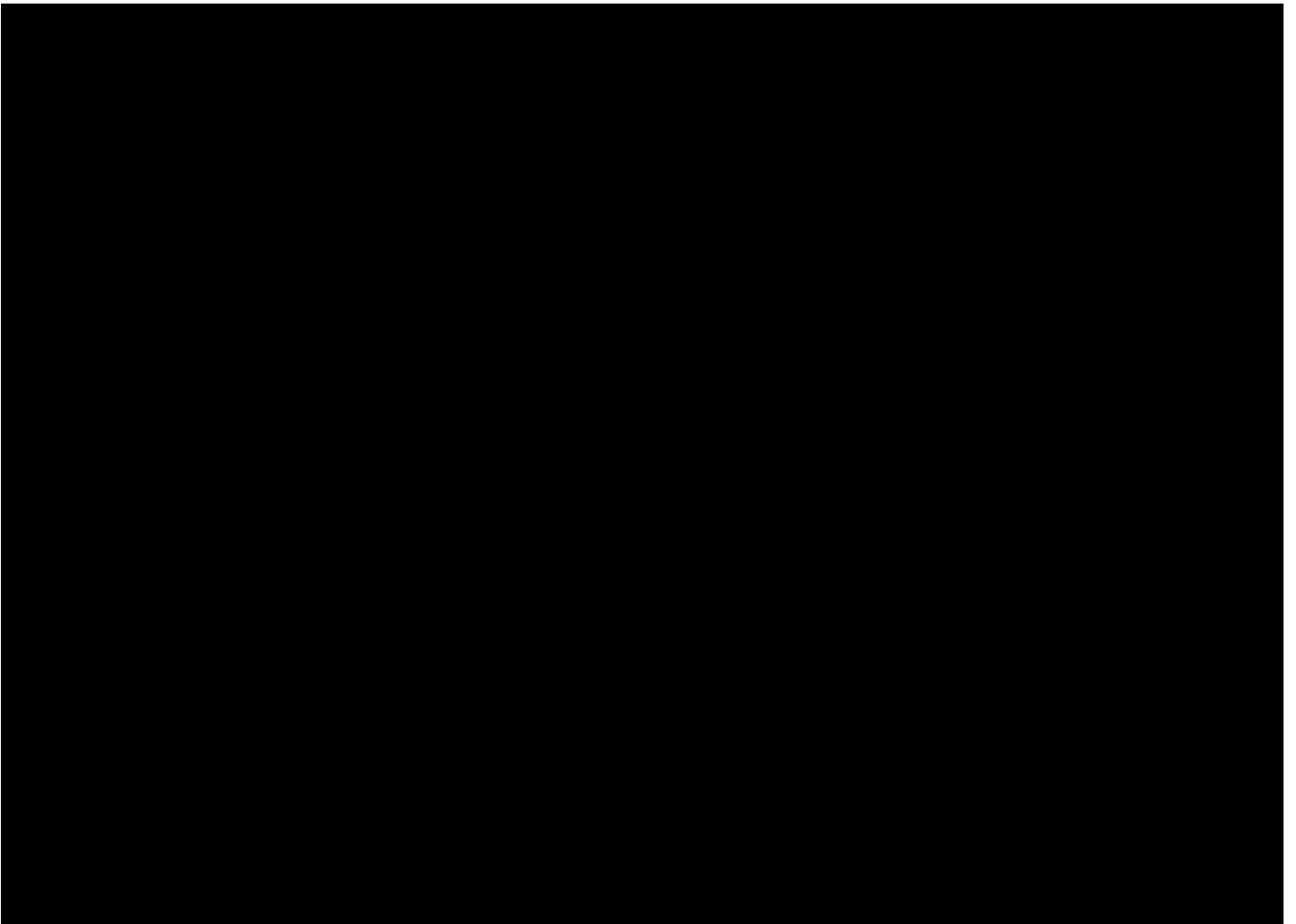
Work Release. Inmates assigned to the Work Release Program are required to be kept separate from the general population and to be transported to and from their approved job/program site in the community. Job schedules include inmates being assigned during all seven days of the week. Part-time transport drivers are available on a limited basis. As a result, scheduled transports occur every day requiring in-house staff to be available to provide additional transports.

A review of security staffing levels for CGCI reflect that in January 2016 there were 119 positions filled, in December 2016 there were 142 filled and on November 1, 2017 there were 144. It appears security staffing levels have increased significantly since January 2016 although required post assignments and workload responsibilities remain vacant and overtime expenditures have reached accelerated levels.

⁵¹ T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925).



⁵² SCDC OP-22.10, Transportation of Inmates outside the Institution.



Shift Relief. The shift relief factor allowance is not fully reflected in current staffing levels. Security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments. An updated shift relief factor is applied to most post assignments to reflect the importance of meeting associated workload responsibilities;

Youthful Offenders/PREA. CGCI houses adult females sentenced under the Youthful Offender Act. The Youthful Offender Institutional Services (YOIS), focuses on the needs of offenders ages 17-25, sentenced by the courts as Youthful Offenders, is a behavior and performance-driven program. Youthful Offender Institutional Services (YOIS) is required to provide programming to include: education, work details, mental health services, behavioral health counseling, and substance abuse services. Youthful offenders due to the small number and lack of alternative space were being housed separately on a wing with inmates participating in the Shock Incarceration Program.

⁵³ SCDC Policy ADM-11.21 Regular Working Hours and Overtime.

The PREA standards state that any person under the age of 18, and incarcerated or detained in a prison, must be housed separately from any adult inmates and, outside the housing unit, “sight and sound separation” or direct staff supervision must be maintained. This federal standard requires significant resources, including providing security staff to maintain supervision at a level separate from the general population. Sufficient housing unit personnel are being recommended to assist in providing separation, escort and detailed in-house supervision based on current population levels.

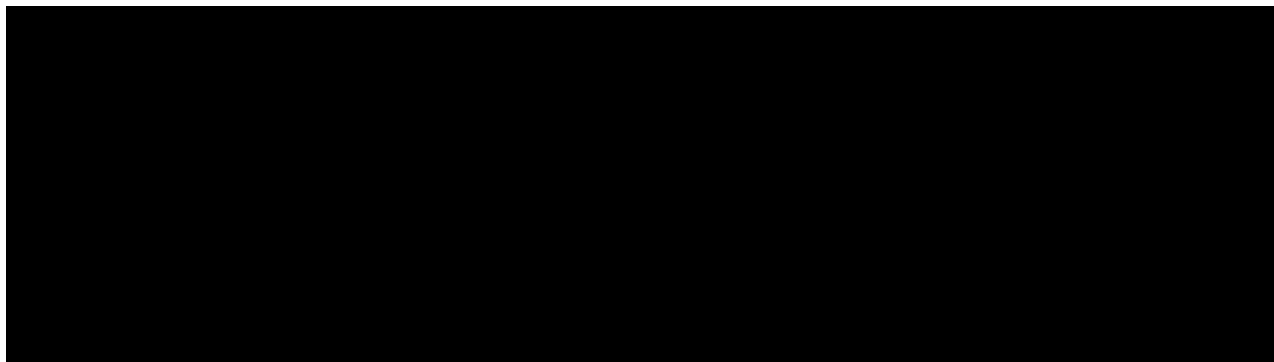
Shift Relief Factor (SRF)

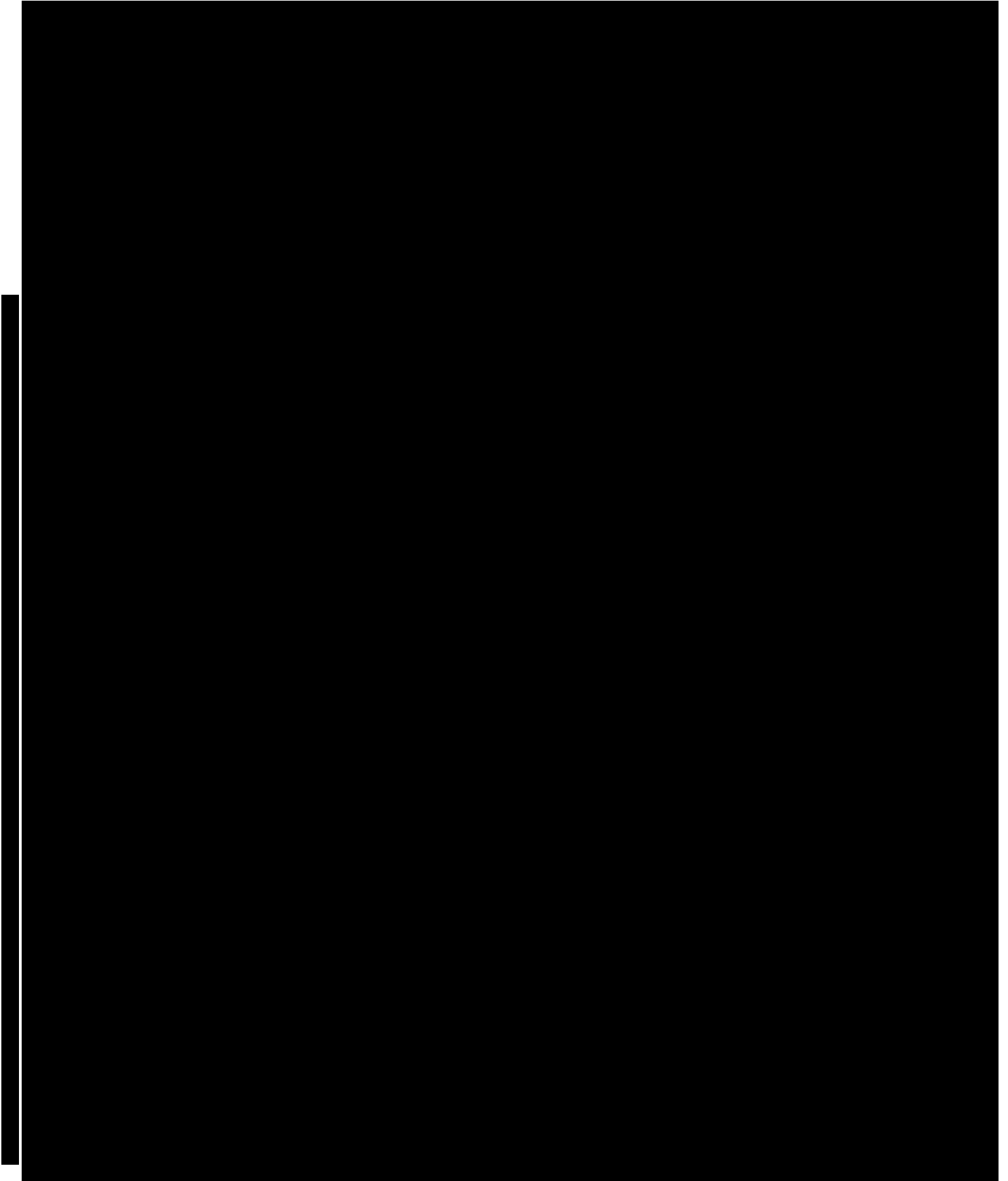
An updated shift relief factor has been developed for Camille Graham based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year and is based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

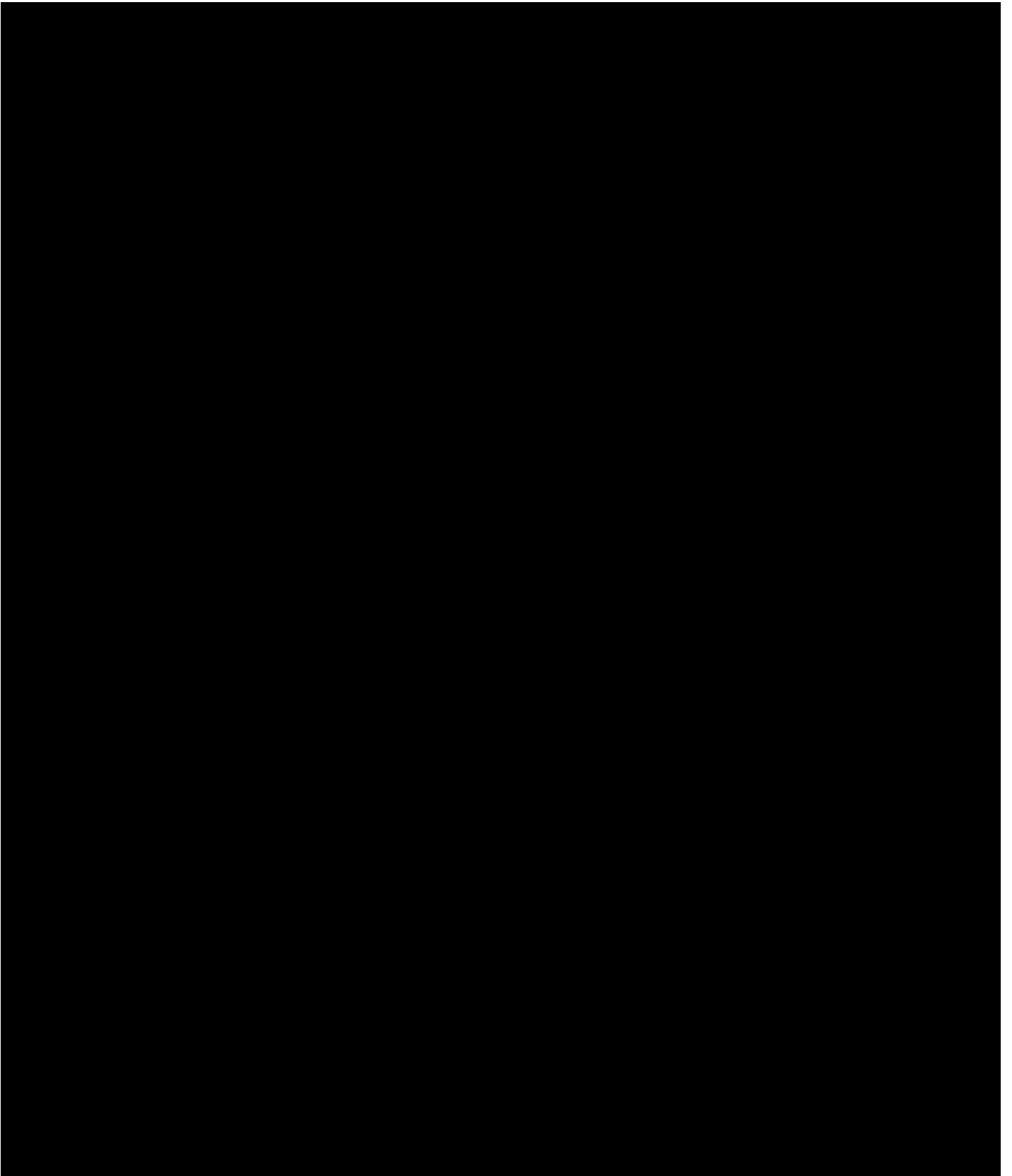
Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017.
- The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers. At Camille Graham the use of leave-time had been consistent during the three-year period;
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors.







Leath Correctional Institution

The Leath Correctional Institution (LCI) is a state operated multi-level facility located approximately 78 miles northwest of Columbia near the town of Greenwood, South Carolina. The facility was opened in 1991 and serves as one of two secure adult female correctional facilities. The reported operating capacity at Leath is 652 and the average daily population during the last six months of 2017 was 698. Triple celling in double-occupancy cells was being used in several housing units and one housing unit was not being used due to limited staffing levels.

Leath's inmate population consists of a combination of minimum, medium and maximum-security inmates. On the date of the site visit approximately 46% of the population was considered 1B (minimum), 39% were medium custody and 15% were considered maximum-custody. Inmates classified as level 1B were assigned to highway work crews, select prison industry assignments, canteen, commissary and considered for work details outside the perimeter. Approximately 54% of the LCI population were on a mental health caseload.

A wide variety of program services are available and integrated into the daily facility schedule. Primary programming includes ABE/GED, Vocational Education, Religious Services, Anger Management, Character-Based Program, Volunteer Services, Alcohol and Drug Education, Pawsitive Prison Dog Program, Highway Work Crew, Mental Health Services, Library, Law Library, Recreation, Visitation, Canteen and the Prison Industry Program. There are also several focus groups and specialized services offered under the Chaplaincy Division that are held in the Chapel area.

In addition to providing housing and program services for general population inmates, LCI also provides services for special programs including the Restricted Housing Unit, Mental Health Housing and the Character-Based Program.

- The Restricted Housing Unit is provided to house inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed in a separate wing from inmates assigned to the general population;
- A mental health residential program has been developed in the Phoenix building to centralize a portion of the mental health services and provide program services for a targeted population; and
- The Character-Based program is a volunteer peer-oriented program focusing on establishing life-style changes.

The physical plant at Leath was built as a multi-level security facility and is surrounded by a single fence reinforced with razor ribbon, electronic surveillance equipment, high-mask lighting, vehicle access gates, perimeter patrol and an alarm detection system.

Inside the perimeter there are a variety of buildings and open space provided to help meet existing facility responsibilities. The physical plant includes the following:

Front Gate; Vehicle Access Gate; Main Control; Administration Building; Visitation Area; Medical; Education; Canteen; Cafeteria; Commissary; Laundry; Hair Care Services; Greenhouse; Plant Maintenance; Prison Industries; Chapel; Braille/Gym Building; Restricted Housing Wing; five operational housing units; open courtyard and a 192-bed closed housing unit.

Food Services are normally provided to the general population inmates in the main cafeteria which is in the Support Services area.



Housing Unit Designs

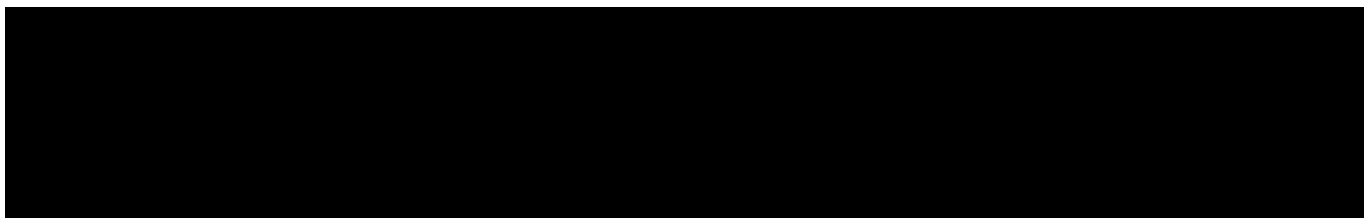
There are four primary housing unit designs at LCI. All the **operating housing units** contain secure cells. The designs are consistent with nationally recognized practices for a medium security facility and include both direct and indirect supervision units. In total there are five operating housing units at LCI. The closed unit, referred to as “Reynolds”, provides dormitory-style housing with a capacity of (192) and has never been used due in part to available staffing levels.

- Four of the units are designed as **indirect supervision** units and are used primarily to house general population inmates. Each housing unit has four separate secure living areas and a centrally located open elevated officer work station. Visibility into the living areas can be achieved from the officer work station. Inmate housing is provided in cells located on one of two levels, the ground level and mezzanine level. **Each cell contains a toilet, wash basin and up to three beds, except for in the Restricted Housing Wing.** Showers, telephone access, dayroom space and passive recreation are available in each wing. The operating capacities for each of the four housing units range from (144 to 152). One wing in the housing unit referred to as “Montague”, was being used to house inmates assigned to Restricted Housing.

The Restricted Housing Wing contains single and double occupancy cells and is the only wing in this design where the primary officer work station is located within the living area. In the Restricted Housing wing there are no cells with three beds;

- **Phoenix.** In addition to the four indirect supervision units there is one **direct supervision** unit, which staff referred to as “Phoenix”. Officer work stations are located both within the living area as well as outside the living area immediately adjacent to the inmate living space. The unit was designed to have officers stationed in the living area. The unit contains two wings and secure cells located on both the ground floor and mezzanine level. In addition to the dayroom, an officer work station, showers, program space, telephone access and passive recreational opportunities are available. In total, the operating capacity of the unit is 248. One wing contained strictly a mental health caseload, four single safety cells and four single occupancy handicapped cells; and
- **Reynolds.** The housing unit referred to as “Reynolds” is a 192-bed single level housing unit with a centrally located officer work station and two separate living areas, one of which is located on each side of the officer work station. The living area is an open bay design similar to a dormitory and contains no cells. Facility management personnel reported the unit has never been used due in part to available staffing levels.

Security Staffing Profile

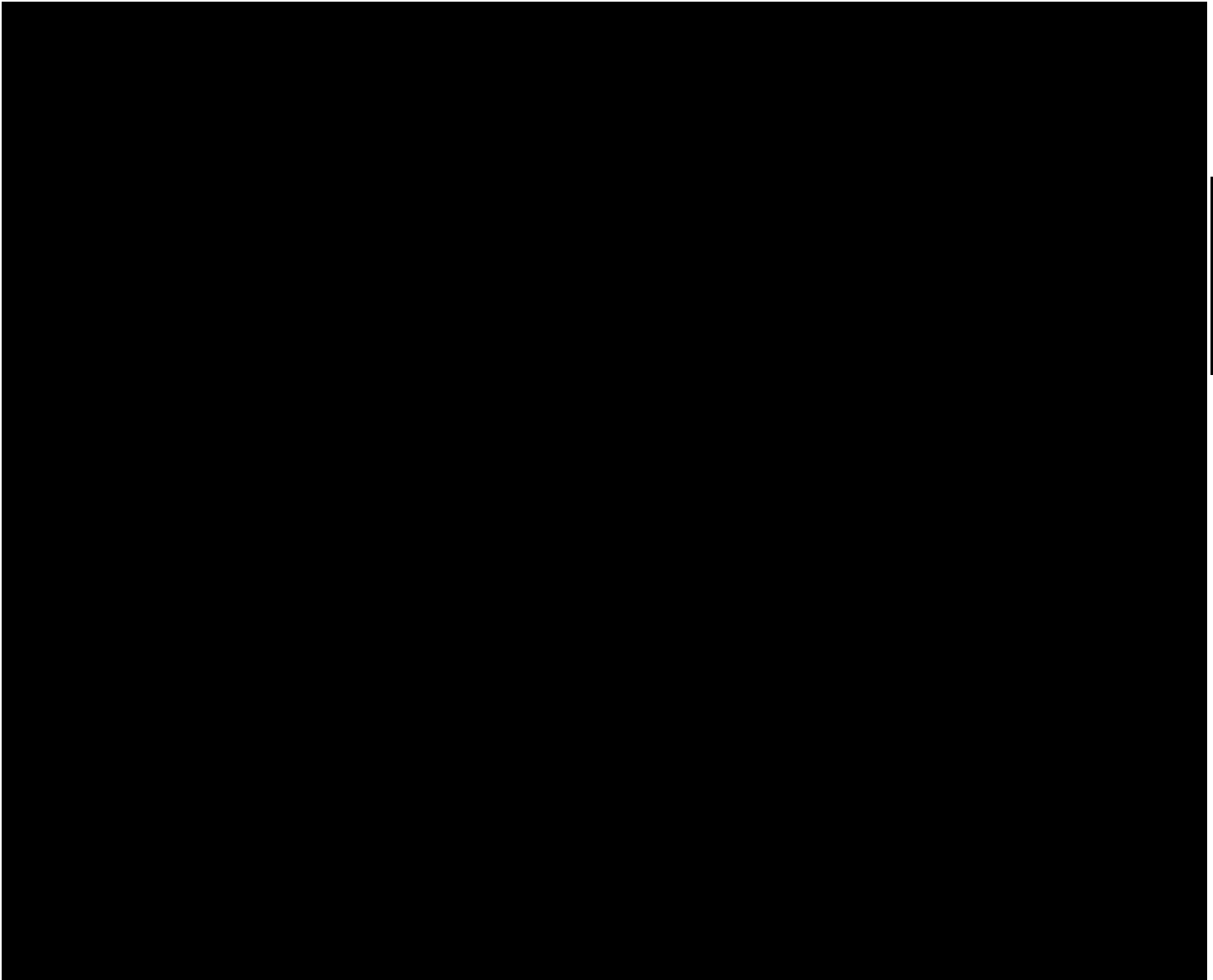


Security staff vacancies have been a concern at LCI for the last several years. In January 2011 through January 2014, the facility was operating with an average of (96) security staff. Beginning in March 2014, the number of filled front-line security (FLS) staff began to decline on a consistent basis and remained significantly deficient through 2017. The following chart identifies the total number of reported security positions filled on January 1 of each year.

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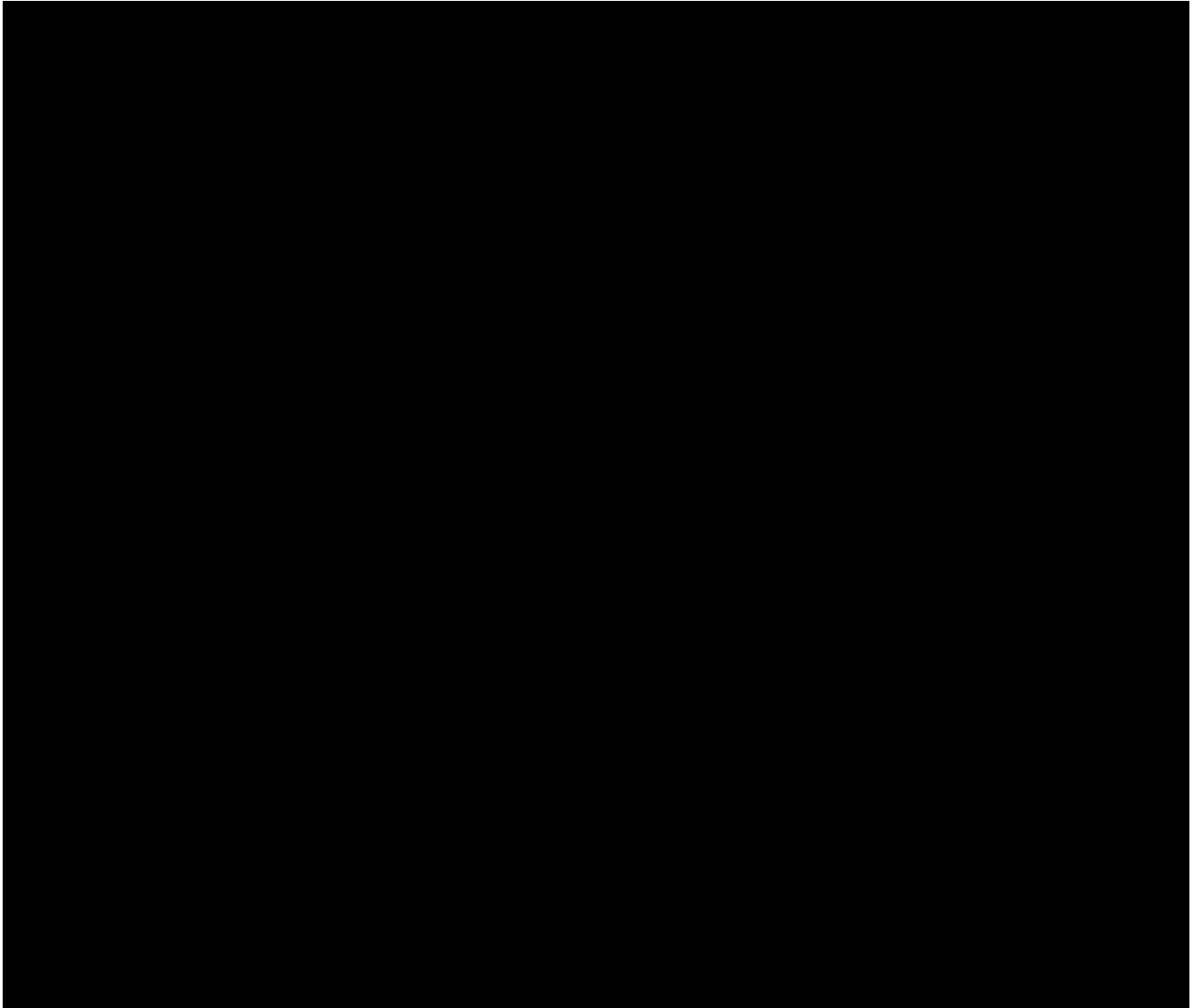
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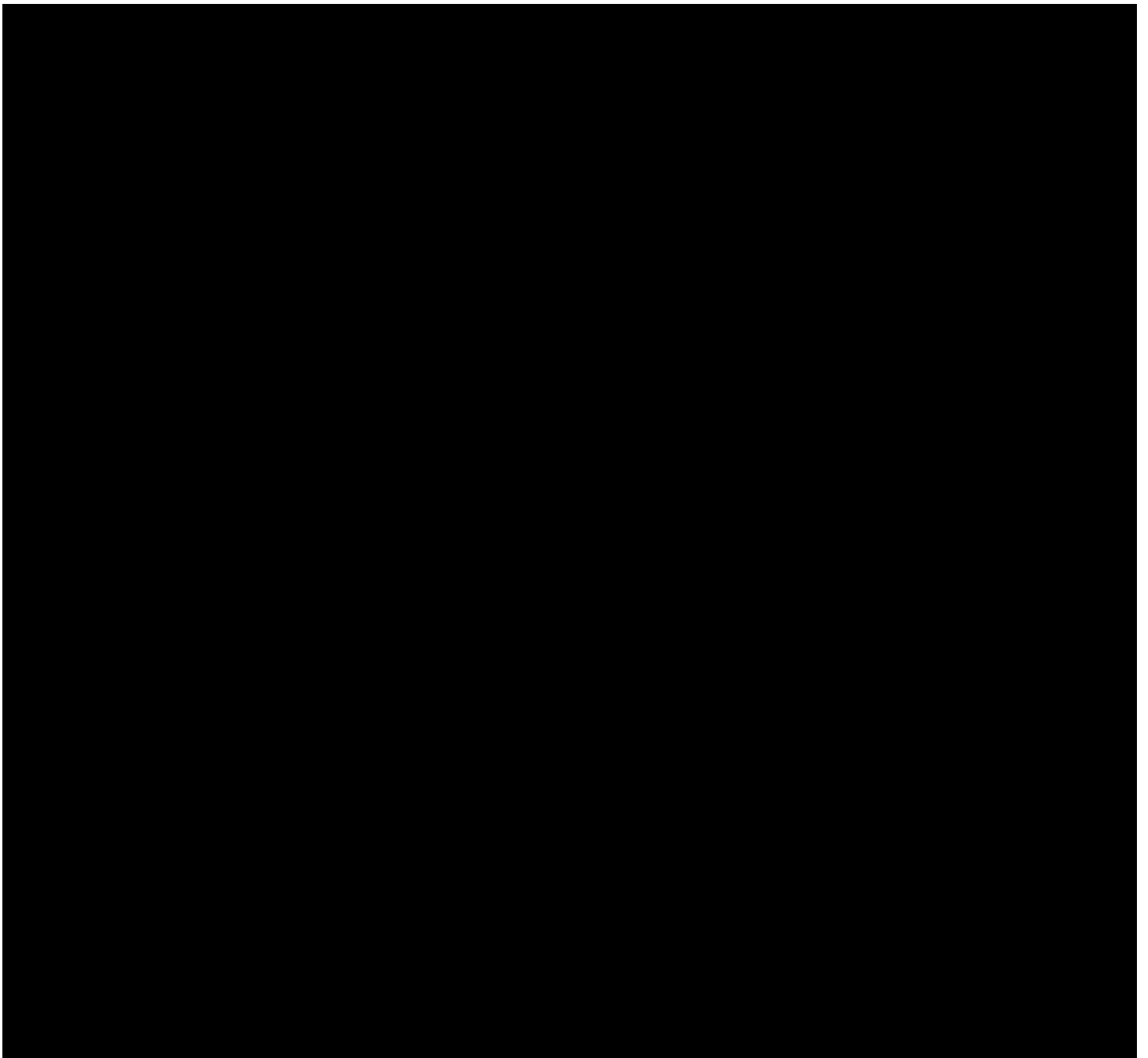


The warden was initially interviewed at the beginning of the assessment, provided the post assignment and operations tour and was debriefed prior to the completion of the on-site phase of the assessment. The warden was further contacted by telephone to assist in clarifying pending issues.

Supervisor Posts. The Major is the top uniformed security position at the facility. This position is routinely considered the Chief of Security and reports to the associate warden of operations. On the day of the site visit the major position was filled.



Front-Line Security Staff. For this study, front-line security staff positions include cadets, correctional officer I/II's and corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training and are limited in where they can be assigned. On the date of the site visit the facility did not report having any cadets. Correctional Officer I/II's are the traditional front-line security member age 21 and over and may normally be assigned to most front-line staff post once they are certified.



Operational Initiatives in Response to Staffing Levels

Based on existing staffing trends facility management personnel have deviated from the original staffing plan and implemented several security initiatives in attempt to maintain minimum operations at the facility.

These initiatives routinely include the following:

⁵⁴ Leath CI November 1, 2017 shift assignment roster.

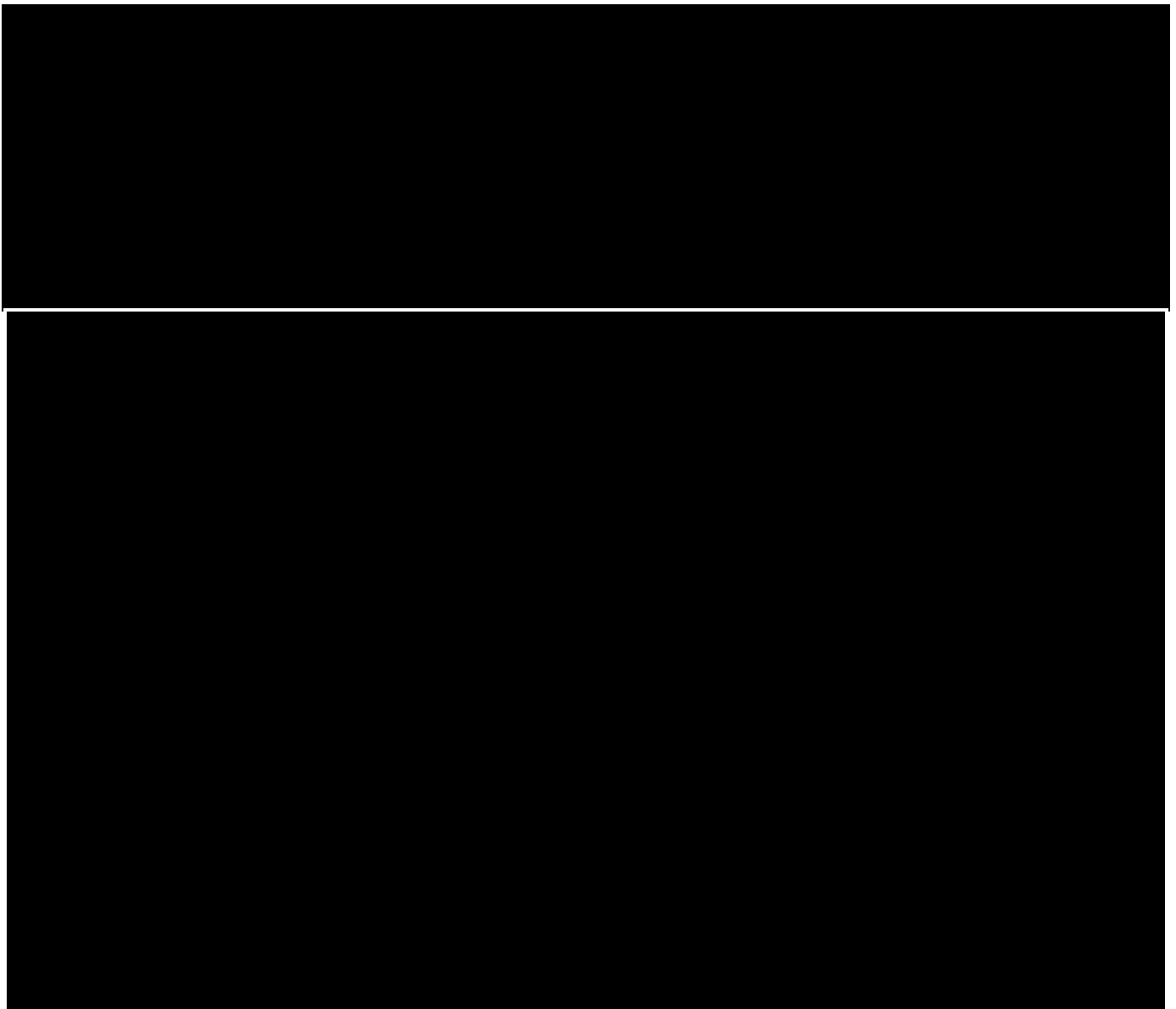
- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the associated responsibilities with each post assignment (OP-22.24)⁵⁵. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. This occasionally results in fewer inmate escorts, delays and or cancellations in program and service delivery;
- **Staff are augmented to leverage existing personnel resources.** Approximately 96% of the vacancies were in the front-line staff positions resulting in personnel outside those position classifications frequently being required to fill front-line staff post assignments. Based on a review of daily shift assignment rosters, sergeants and lieutenants are frequently used to meet front-line staff post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;
- **Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are considered exempt employees and not eligible for overtime;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** During the first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 45⁵⁶ days due to staff shortages. This resulted in limited access for the inmate population to programs and services during those days;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures;
- **Post Assignments go unfilled.** Daily shift assignment rosters from July 2017 through November 2017 reflect all post assignments in the housing units, front lobby, medical, education, transportation, cafeteria and yard are not routinely being filled;
- **Closed Housing Unit due to staffing levels.** The housing unit referred to as "Reynolds" is a 192-bed single level housing unit with a centrally located officer work station and two separate living areas, one of which is located on each side of the officer work station. The living area is an open bay design, similar to a dormitory and contains no cells. Facility management personnel reported the unit has never been used.

On the date of the site visit approximately 46% of the population was considered 1B (minimum) and considered appropriate for dormitory-style housing;

⁵⁵ SCDC Policy OP.22.24 Post Orders.

⁵⁶ SCDC Operations. Lockdown Statistics.

- **Triple celling.** All **general population** cells in operation except for the cells located in the housing unit referred to as “Phoenix” are calculated based on three inmates per room. On the date of the site visit there were 118 inmates being triple-celled in cells designed for double occupancy;
- **Overtime expenditures has increased over 180% in eleven months in part due to staff vacancies.** During the first eleven months of 2016, the facility overtime expenditures were reported as \$80,902 (rounded). During the same period in 2017 the facility expenditures were \$231,863. Front-line staffing levels reported for the facility reflect an average of 42.8 staff positions were filled in 2016 and 34.5 were filled in 2017;
- **Filling post assignments intermittently.** Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard, front lobby, tool room, and/or education occasionally during peak hours; and



Daily Shift Roster. In addition to the master shift assignment roster, daily shift rosters are also maintained for the shifts. The daily rosters identify in more detail the staff assigned by shift, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. The sample daily post assignment rosters revealed there is no recapitulation data provided or any consistent reference to staff scheduled as working overtime. This is critical when identifying how staff assigned to the shift are utilized, the staffing needs and what posts are being filled.

Post Classification. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (Mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by facility management. The classification of post assignments is designed to ensure certain post are shut down first.

At Leath, the facility shift assignment roster and daily rosters do not identify posts by category or classification; however, there was no evidence to indicate staff were being utilized in trivial or non-essential post assignments.

The operating practice at Leath reflected that when there were supervisory personnel present they were performing both supervisory functions as well as traditional front-line responsibilities. When supervisory staff were not present front-line staff were responsible for their post as well as an additional front-line post.

At Leath the basic elements of a roster management system including the identification of appropriate post assignments, recommended staffing levels, shift scheduling and daily shift roster development are all in place. There simply is not enough staff to fill all the recommended post assignments.

The primary concerns with the system include the following:

- The post chart needs to be updated to reflect current workload responsibilities. As an example, there are four front-line staff recommended on a 24/7 basis to be assigned to the housing units and one post for the restricted housing wing. LCI currently operates five housing units, one of which contains a restricted housing wing and one which has a capacity of 248 housing primarily inmates assigned to a mental health caseload. To staff the five operating housing units, including the restricted housing unit wing more than five total FLS posts are required; and
- Daily shift rosters need to be updated to reflect how all staff assigned to the shift are utilized. The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures and the employee assigned to each post.

Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster. Monthly in-house reviews should be completed to determine the effectiveness of the system and to confirm or re-establish minimum staffing levels.

Staffing

The most significant concerns expressed by facility personnel during the on-site review involved the impact available staffing levels were having on the operations of the facility. This included both supervisory and front-line positions. In view of the limited number of front-line personnel, supervisory personnel were being required to fill front-line post assignments and not able to focus strictly on supervisory responsibilities.

Post Assignment Enhancements

The following workload responsibilities are key to the operations of the facility and were not consistently being filled.

Medical Unit. The current operating practice is to normally not have security personnel present in the Medical Unit. On the day of the site visit the head nurse provided access to the unit. Medical staff verbally expressed concern with the lack of presence of security personnel. Daily medical services begin at 3:45 am and continue throughout the day. Pill lines, Insulin, Sick Call, Clinics, Dentist, Doctor appointments, Exams and Consultation all occur in the Medical Unit. Approximately 15% of the inmate population is considered maximum custody and approximately 54% of the population are on a mental health caseload. Security personnel should be physically present and/or in the immediate area when inmates are in direct contact with civilian and contract personnel. A five-day medical unit post assignment is being recommended;

Courtyard Security. LCI is a campus-style facility with five operating housing units, programs and service areas surrounding a large courtyard. To get from the housing units to most program activities and services inmates are required to walk through the courtyard. At LCI the courtyard is also used as a recreational yard resulting in frequent inmate activity;

The layout of the courtyard includes expansive open space, limited internal fencing and numerous blind spots. It is essential that security staff be present to monitor, control movement and conduct security inspections throughout the courtyard. Dedicated security personnel are recommended to be assigned to maintain a visual security presence in high traffic areas including the courtyard and to serve as first responders;

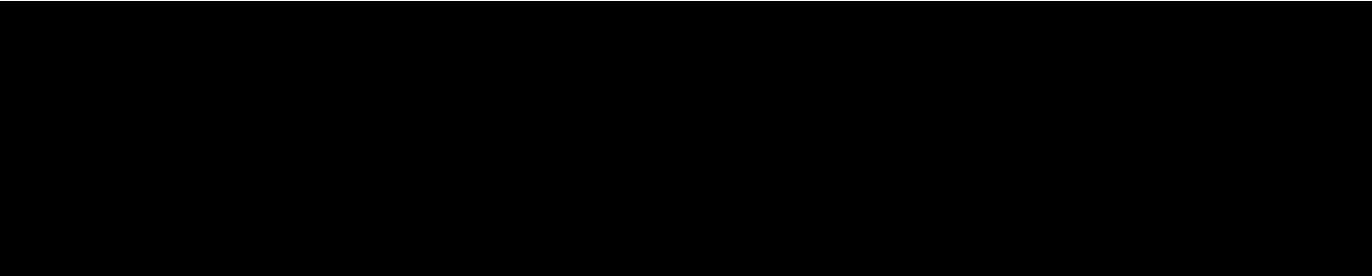
Education Building. Vocational education begins at 8:00 am and academic education begins in the education building at 9:00 am. No security personnel are normally present in the building. Taking into consideration vocational classrooms, law library, general library and academic programs are all offered in the building dedicated security personnel are recommended when staff and inmates are present;

Front Lobby. The front lobby is the primary location where all approved foot traffic enters the facility. Individuals entering the lobby have been approved to proceed through the front gate and are subject to search. The lobby area is where the initial search is conducted.

On the date of the on-site visit the shift commander was assigned to the front lobby as no other staff were available. Having no staff appeared to be a pattern. During peak traffic hours designated staff should be assigned to the front lobby;

Cafeteria. The cafeteria is in one of the surrounding buildings that is part of the facility courtyard. Besides meal services it is one of the primary locations outside of a housing unit where many inmates congregate. There is no dedicated security post assignment. Security coverage is provided intermittently, while inmate labor crews are assigned to assist in clean-up food preparation and as servers. On the date of the on-site visit the shift commander was the only security staff member assigned to the cafeteria;

Reynolds Unit. Eliminate the concept of triple celling at the facility. All general population cells except for the cells located in the housing unit referred to as "Phoenix" are calculated based on three inmates per room. On the date of the site visit there were 118 inmates being triple-celled. The housing unit referred to as "Reynolds" is a secure 192-bed medium custody single level housing unit providing two open bay wings separated by a centrally located officer work station. The living areas are similar in design to dormitory style housing and contains no cells. When sufficient personnel become available, the Reynolds Unit should be considered for inmate housing if population levels warrant the same;



Shift Relief. A shift relief factor is not reflected in current staffing levels. Security staff time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other areas. The recommended staffing level includes the use of a shift relief factor for most post assignments.

Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Leath based on data provided by personnel assigned to the Research and Information Management Division (RIM).

The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the post hour requirements divided by the number of hours that the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

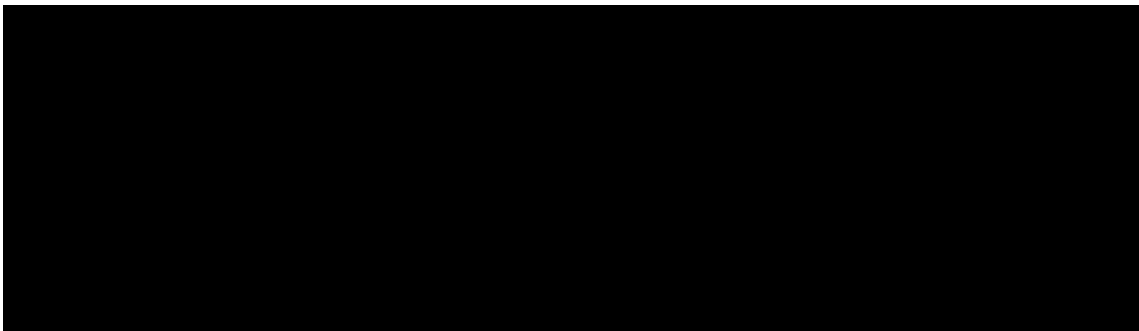
The SRF calculation for this project is based on the following:

⁵⁷ SCDC Policy ADM 11-21 Regular Working Hours and Overtime.

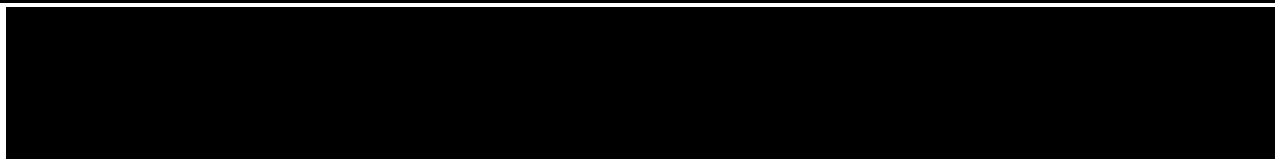
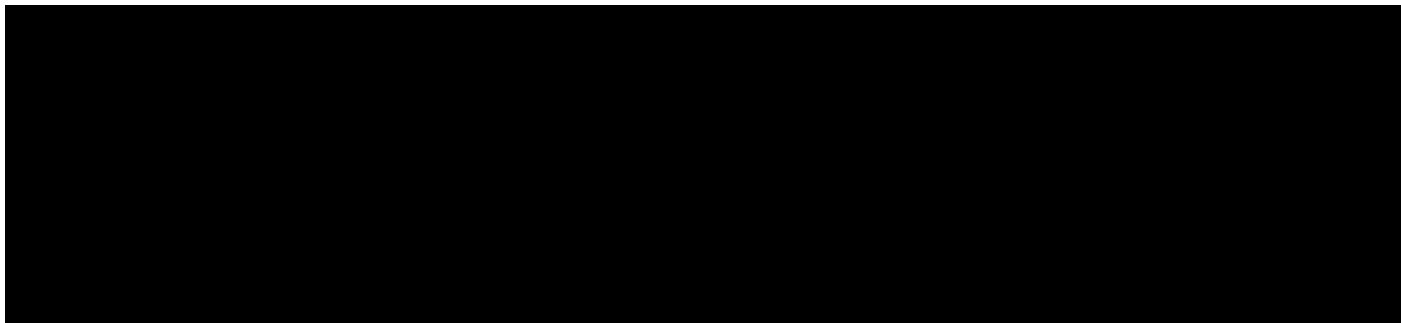
- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Leath, the use of sick-time has increased over the past three years. In 2017, an average of (108.5) hours of sick-time was used by each full-term security employee, compared to (95.4) hours in 2016 and (84.5) hours in 2015. Annual-leave time has been stable over the three-year period;

- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.



A shift relief factor of 5.12 can be translated to mean that for one year, an average of slightly higher than five (5.12) FTE staff will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule. A five-day shift relief factor for one 8-hour post assignment requires an average of 1.32 staff to fill on an annual basis.



[REDACTED]

[REDACTED]

[REDACTED]



APPENDIX

APPENDIX A

SHIFT RELIEF FACTOR CALCULATION FORMULA

| | SCDC SHIFT RELIEF FACTOR CALCULATION | SAMPLE |
|------|---|-------------|
| A. | Agency Closings | 0 |
| B. | Agency Work Days (# of days in a year)) | 365 |
| | Days Contracted to Work (160 hrs. per 28-day cycle) # of Cycles per Year x Days to Work per Cycle | 260.71 |
| C. | Regular Days Off (Days in Year - Days Contracted to Work) | 104.29 |
| D. | Vacation Days (Average Annual Leave hours taken per employee / # of hours in shift) | 10.8 |
| E. | State Holidays (13 Days) | 13 |
| F. | Sick Leave (Average Sick Leave hours taken per employee / # of hours in shift) | 8.4 |
| G | Other Days Off (injury, military, funeral, unexcused, disciplinary, special assignments, etc.) (Average "Other" Leave hours taken per employee / # of hours in shift.) | 2.25 |
| H. | Training Days (Average Training hours per employee / # of hours in shift.) | 5.8 |
| I. | Total Days Off (C+D+E+F+G+H) | 144.54 |
| J. | Actual Work Days (B-I) | 220.46 |
| K. | Meal Time Allowance (J x .0625) | 13.78 |
| L. | Actual Work Days (Including Meal Allowance) (J - K) | 206.68 |
| M. | Number of Employees for one 8-hour shift, 7 days per week (B/L) | 1.77 |
| M.1. | Number of employees for 24-hour coverage | |
| | 7-day posts | 5.3 |
| | 5-day posts | 3.78 |
| | 2-day posts | 1.51 |
| M.2. | Number of employees for 12-hour coverage | |
| | 7-day posts | |
| | 5-day posts | |
| | 2-day posts | |
| M.3 | Number of employees for 8-hour coverage | |
| | 7-day posts | 1.77 |
| | 5-day posts | 1.26 |
| | 2-day posts | 0.5 |
| | Option: Staffing Enhancement after Turn-Over | |
| N. | Staffing Enhancement to Accommodate Turnover | 10.70% |
| O. | Additional Employees needed to cover (1) 8-hour shift (M x N) | 0.19 |
| P. | Number of Employees for (1) shift, 7 days per week (M + O) | 1.95 |

