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JOHN Q. HAMM  
COMMISSIONER

October 21, 2022

## ADMINISTRATIVE REGULATION

## OPR: MEN'S AND WOMEN'S SERVICES & PERSONNEL

NUMBER 238

## RESOURCE PLANNING

### I. GENERAL

This Alabama Department of Corrections (ADOC) Administrative Regulation (AR) establishes the responsibilities, policies, and procedures for security staff deployment.

### II. POLICY

It is the policy of the ADOC to deploy numbers and types of security staff to ensure the safety and security of staff, inmates, and the public to conduct security operations, and to facilitate or manage correctional services, programs, and activities. Security staff shall be deployed in an efficient manner to support a facility's operations.

### III. DEFINITION(S) AND ACRONYM(S)

- A. **Closed post:** A security Post to which no staff is assigned during a specific shift.
- B. **Collapsible post:** A security Post that is not staffed for a portion of a specific shift when the security staff is reassigned to another post.
- C. **Correctional Officer (CO):** For purposes of this AR, it consists of the job classifications of Correctional Security Guard (BCO), Correctional Officer (CO), and Senior Correctional Officer.
- D. **Critical Minimum Staffing:** A facility-specific minimum level of security staffing derived from a Staffing Analysis and specified in such facility's Post Plan, which provides for the safety and security of the staff, inmates and public, and facilitates the provision of critical facility functions such as

certain medical and mental health care services. After a Staffing Analysis, the Critical Minimum Staffing designations for a facility will likely be less than the Mandatory Posts, and the two staffing designations are not synonymous.

- E. **Critical Post:** A Post identified as part of the facility's Critical Minimum Staffing. If a post on a facility's Post Plan is identified as "critical", then the Critical Post will often be filled before any non-Critical Post is filled.
- F. **Essential Post:** A Post required for normal operations, that can be temporarily interrupted without significant impact. An Essential Post is recommended for staffing at least 75% of the time. An Essential Post is useful for budgetary and planning purposes.
- G. **Full Time Equivalent position (FTE):** A term used to translate staffing requirements into the number of full-time staff members needed to fill the required hours. FTE calculations consider the net amount of time a full-time staff member is available (net annual work hours) after subtracting time away from the post (e.g., vacation, sick leave, holidays, training time).
- H. **Full Complement:** A staffing condition whereby there are enough available security staff members to operate a facility safely and securely in accordance with the Post Plan without the use of excessive overtime.
- I. **Important Post:** A Post that may be covered on an irregular basis without adversely affecting facility operations. An Important Post is recommended for staffing at least 50% of the time. An Important Post is useful for budgetary and planning purposes.
- J. **Mandatory Post:** A security Post that is important to maintaining safety and security or to accomplishing mandated activities / operations of a facility. A Mandatory Post is recommended for staffing 100% of the time. A Mandatory Post is useful for budgetary and planning purposes.
- K. **Master Schedule:** A deployment schedule prepared in advance on a monthly basis for each shift at a facility that lists all approved Posts and staff assigned according to approved staffing pattern(s).
- L. **Net Annual Work Hours (NAWH):** The number of hours staff are actually available to work per year, based on the minimum number of hours per year (40 hours per workweek x 52.14 weeks per year = 2,086 hours) minus the average number of hours a staff member is unavailable per year.
- M. **Non-Security Staff:** All staff who are not uniformed security staff and whose primary functions and specific duties do not include inmate surveillance and control.

- N. **Post:** An established staff function assigned to a particular area / service that is scheduled to be occupied (open) at prescribed time periods and on particular days according to a Post Plan.
- O. **Post Assignment Roster:** A daily shift assignment schedule (plan), by Post, for all security staff at a facility.
- P. **Post Order:** A detailed description of the responsibilities of a given Post and the tasks that are to be completed on each shift, on that Post.
- Q. **Post Plan:** A listing, by title, of all permanent Posts in a facility by location or primary function, classification, shift, schedule, and hours of operation.
- R. **Relieved Posts:** Posts that are to be staffed for the duration of hours that are specified in the staffing plan, that including 24/7 Posts and Posts that operate for fewer days and/or hours.
- S. **Scheduling Pattern:** A repetitive pattern of workdays on and workdays off for security Posts whereby a required number of hours of work are completed in a given time period, e.g., every week, ten days, two weeks, month etc. Examples: five days on, two days off; four days on, three days off; etc.
- T. **Shift Relief Factor:** The number of FTEs staff needed to fill a relieved post (one that is covered on a continuous basis) for a single shift. This number may vary according to job classification and post schedule. In staffing calculations, the Shift Relief Factor is multiplied by the number of staff assigned to a specific Post to determine the number of staff necessary to provide relief for the Post.
- U. **Staffing Analysis:** An exercise that provides a comprehensive and systematic process of determining staffing needs (in response to changes in the facility's philosophy, operations, physical plant, or other characteristics) and developing staff assignments for the facility.
- V. **Temporary Critical Post:** A Critical Post established on a temporary basis following approval / authorization to provide for the safe, secure operation of the facility and critical facility functions.
- W. **Vacant Post:** A Post included in a facility's Post Plan report to which no staff are assigned for an extended period (longer than one shift) due to staffing needs.

#### IV. **RESPONSIBILITIES**

- A. Deputy Commissioners for Men's and Women's Services are responsible for:
1. Reviewing and making recommendations regarding additions, eliminations, adjustments, and/or reclassifications of staffing after a Staffing Analysis by the Resource Planning Unit Coordinator.
  2. Reviewing the annual Resource Planning Unit report.
- B. Regional Director(s) are responsible for:
1. Reviewing facility Institutional Standard Operating Procedures (SOPs) and routine staffing updates as provided by the Wardens.
  2. Reviewing facility requests for staffing changes and making recommendations to the Deputy Commissioners.
  3. Reviewing emergency requests to establish a Temporary Critical Post or other modified Post and reporting them to the Resource Planning Unit Coordinator.
- C. Wardens are responsible for:
1. Providing routine updates to the respective Regional Director for all areas of responsibility as outlined in this AR.
  2. Developing their facilities' institutional SOPs as necessary, for the implementation of this AR. Wardens responsible for female facilities must consider gender responsive and trauma informed practices and principles in the institutional SOPs.
  3. Ensuring Post Orders are developed for all facility posts.
  4. Implementing Post Plans (ADOC Form 237-D) for the facility.
  5. Ensuring Master Rosters and Post Assignment Rosters are developed and implemented for their facilities.
  6. Ensuring information is compiled and submitted to the Resource Planning Unit (RPU) for conducting Staffing Analysis reports.
- D. The Resource Planning Unit Coordinator is responsible for:
1. Providing routine updates to the Deputy Commissioners of Men's and Women's Services for all areas of responsibility as outlined in this AR.

2. Reviewing and approving facilities' institutional SOPs related to the implementation of this AR.
3. Developing and maintaining ADOC policies and procedures regarding this regulation.
4. Conducting and maintaining a staffing analysis for all facilities.
5. Reviewing and approving, the facilities' Post Orders and changes to the Post Orders.
6. Reviewing and approving, Post Plans and changes to Post Plans for all facilities.
7. Developing and maintaining a Shift Relief Factor for all facilities.
8. Monitoring staffing patterns for all facilities.
9. Conducting audits of facilities' implementation of this AR and the facilities' Post Plans and reporting the findings to the Deputy Commissioners for Men's and Women's Services.
10. Updating ADOC's Staffing Analyses at regular intervals of no greater than two (2) years.

E. The Personnel Director is responsible for:

1. Providing the Commissioner, Chief Deputy Commissioner, and Deputy Commissioners for Men's and Women's Services with a report regarding the level of security staff based upon the Staffing Analysis.
2. Reviewing the adequacy of the level of security staff based upon the Staffing Analysis.

## V. **PROCEDURES**

### A. Facility Staffing

1. In calculating adequate staffing levels within the facility, the Resource Planning Unit and the Warden may consider, among other things:
  - a. Generally accepted correctional practices;

- b. All components of the facility's physical plant (including areas of limited visibility or where staff or inmates may be isolated);
  - c. The composition of the inmate population;
  - d. The number and placement of supervisory staff;
  - e. Institution programs occurring on a particular shift;
  - f. Any applicable State or local laws, regulations, or standards;
  - g. The rate of substantiated and unsubstantiated incidents of sexual abuse;
  - h. The need to identify gender-specific posts; and
  - i. Any other factor that could impact the staffing levels and the need for monitoring.
2. Staffing levels must be properly documented by each facility / Warden. This requires, but is not limited to, compiling information relative to budgeted staffing, overtime, proposals for increases and/or decreases of Posts, and the Post Assignment Rosters.

**B. Facility Staffing SOP**

- 1. Each facility must develop and maintain an institutional SOP consistent with Annex A, Sample Institutional Staffing Standard Operating Procedure.
- 2. All staffing deviations are to be documented in accordance with AR 454, Inmate Sexual Abuse and Harassment.
- 3. Institutional SOPs related to staffing, including any amendments, must be reviewed and approved by the Resource Planning Unit Coordinator before implementation.
- 4. Copies of completed Post Assignment Rosters for all shifts from the 3rd through the 10th of each month, are to be submitted to the Resource Planning Unit via email.
  - a. These Post Assignment Rosters shall be submitted to the Resource Planning Unit by the 25th of each month.

- b. Justification must be included for any missing rosters.

C. Procedures for, Adding, Eliminating, or Reclassifying a Security Post

1. Any decision to add, eliminate, or reclassify a security Post for a facility must be documented in writing in accordance with ADOC Form 238-A, *Post Change Form* and ADOC Form 238-B, *Position Worksheet Form*.
2. In addition to ADOC Forms 238-A and 238-B, the Warden must submit the following information to their respective Regional Director, who will forward that required information to the Resource Planning Unit:
  - a. A prioritized list of recommended new Posts and corresponding number of positions needed;
  - b. A statement of justification;
  - c. Classification of the staff involved;
  - d. Shifts of operation of the Posts(s);
  - e. A new or amended Post Order for each Post; and
  - f. The number of security positions requested (ADOC Form 238-B).
3. The Regional Director will review the proposal and discuss the need and rationale for the proposed changes with the Resource Planning Unit.
4. The Resource Planning Unit Coordinator will evaluate the proposal and the Regional Director's recommendations and will either return the request to the Regional Director, or approve the request, and provide notice of the approval to the Deputy Commissioners for Men's or Women's Services.

D. Gender Based Post Assignments

1. Post assignments shall be made without regard to gender, except where reasonable accommodation to inmate privacy cannot be maintained and when they are not in conflict with applicable sexual safety standards.

2. Generally, at least one staff member of the same gender as the inmates at the facility shall be on duty at all times.
3. Members of the security staff of the opposite gender as that of the inmate population shall not be assigned to Posts which require continuous and open viewing of unclothed inmates. This may include unclothed search areas (e.g., visiting change areas, reception, admission, identification areas) and showers. This restriction does not include Posts where intermittent observation of unclothed inmates may occur, i.e., incidental to routine cell checks.
4. No assignment shall be made which requires a member of the security staff to conduct and/or observe unclothed searches of an inmate or staff member of the opposite gender, except in emergency situations.
5. At least one security staff member of the same gender as the inmate shall be assigned to the staff security transport duty if the inmate is transported outside of the facility. A waiver of this requirement may be granted pursuant to Subsection E.7. below, and only for the purposes of exigent circumstances as set forth therein.
6. The Warden shall ensure that inmates are informed that Department employees or other persons of the opposite gender may enter or be assigned to a Post within a housing area or other areas of the facility. Additionally, the facility SOPs shall require that inmates are informed of proper attire that shall be worn at all times and that inmates are not permitted out of cells or dormitories in a state of undress.
7. The Warden, with the approval of the Deputy Commissioner of Men's or Women's Services, may make adjustments in particular assignments for a particular Post during a specific shift at a facility, based upon security and/or operational necessity.

E. New, Temporary, Deleted, or Reclassified Posts

1. Should a facility be required to create a new Post necessitating additional positions or to reclassify or delete a Post or position prior to a Staffing Analysis being conducted, the Warden will prepare a request (ADOC Form 238-C, Interim Staffing Analysis Request Form) for review by the respective individuals as indicated in this Section.



2. The Warden or Warden's designee shall complete the ADOC Form 238-C, Interim Staffing Analysis Request, Sections A. through D., and include a new or amended security Post Order for each Post. Each position classification must be submitted on a separate form.
3. The Warden shall ensure that a set of Post Orders are developed for each new Post and included in the request package.
4. The package, once approved by the Regional Director, shall be forwarded to the ADOC Personnel Division to determine availability of positions and completion of the Interim Staffing Analysis Request, Section E.1.
5. The ADOC Personnel Division, who, in consultation with the Accounting Division, shall determine availability of funds and completion of the Interim Staffing Analysis Request, Section E.2.
6. Confirming the availability of positions and funds, the package shall be forwarded to the Resource Planning Unit Coordinator and the Deputy Commissioner of Men's or Women's Services (as appropriate) to review and indicate a recommendation to approve or disapprove on the Interim Staffing Analysis Request, Section E.3.
7. The Chief Deputy Commissioner shall indicate approval or disapproval in the Interim Staffing Analysis Request, Section E.4. If approved, the Chief Deputy Commissioner shall select one of the following:
  - a. addition (new position);
  - b. addition (fill with overtime);
  - c. addition (wait for budget approval);
  - d. addition (permanent transfer from \_\_\_\_\_);
  - e. addition (temporary transfer from \_\_\_\_\_);
  - f. deletion; and/or
  - g. reclassification.
8. If approved, the Deputy Commissioner for Men's or Women's Services will notify the Resource Planning Unit, and Personnel Division by forwarding each a completed copy of the Interim

Staffing Analysis Request. If disapproved, the Chief Deputy Commissioner will return the request package to the Deputy Commissioner for Men's or Women's Services.

9. The Personnel Division will assign a position number for newly created positions and notify the facility Warden to proceed with filling the position.
10. The Resource Planning Unit will update the most recent Staffing Analysis form and attach the corresponding approval form.
11. No new Post shall be staffed without completion of this process and without proper notification from the Personnel Division. Notwithstanding the foregoing, if an emergency or unforeseen need arises, the Warden or the Warden's designee shall have sufficient flexibility to establish a Temporary Critical Post or other modified Post; however, the Warden or the Warden's designee shall contact the respective Regional Director, within 48 hours, for tentative approval. The Interim Staffing Analysis Request will be completed if an addition, elimination, or reclassification of a Post is necessary.

F. Review of Previously Completed Staffing Analyses

1. Staffing Analysis reviews are conducted on an annual basis for all facilities by the Resource Planning Unit. Special reviews of previously completed Staffing Analyses will be conducted at the discretion of the Commissioner, or his/her designee, and/or the Resource Planning Unit.
2. The Resource Planning Unit shall conduct the Staffing Analysis review using the last approved Staffing Analysis and the latest manning levels as the basis for the review. In the event that the Personnel manning levels and the facility's reported number of approved positions does not reconcile, a Post analysis may be ordered.
3. The Resource Planning Unit shall compile its findings and submit an annual report to the Deputy Commissioner for Men's or Women's Services, respectively.
4. Upon receipt of the Resource Planning Unit's report, the respective Deputy Commissioner for Men's or Women's Services, or their designee and the Commissioner or his/her designee, shall review and discuss the findings. When the review by the Deputy

Commissioners is completed, the report will be sent to the facility Warden for a review by appropriate staff.

5. If the Warden does not agree with the Resource Planning Unit's findings, then the Warden may submit any concerns, in writing, to Resource Planning Unit Coordinator within 30 days of being notified of the findings.
6. Upon receipt of the Warden's concerns, the Resource Planning Unit Coordinator will make any appropriate and necessary revisions to the annual report. The Resource Planning Coordinator will finalize the report and submit to the Deputy Commissioners for Men's and Women's Services.

#### **VI. DISPOSITION**

- A. All staffing analyses (and updates thereto), subsequent responses, and follow-up reports shall be retained for a period of three (3) years.
- B. Any forms used will be disposed of and retained according to the Departmental Records Disposition Authority (RDA).

#### **VII. FORMS**

- A. ADOC Form 238-A, *Post Change Form*.
- B. ADOC Form 238-B, *Position Worksheet Form*.
- C. ADOC Form 238-C, *Interim Staffing Analysis Request Form*.
- D. ADOC Form 238-D, *Post Plan Form*.
- E. ADOC Form 238-E, *Institutional Activities Chart*.

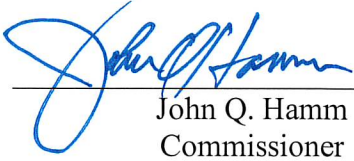
#### **VIII. SUPERSEDES**

This Administrative Regulation is new and does not supersede any other regulation.

#### **IX. PERFORMANCE**

- A. Prison Rape Elimination Act of 2003, 34 U.S.C. §§ 30301, et seq.
- B. 28 C.F.R. Part 115, et seq.
- C. Code of Alabama 1975 as amended.

- D. U. S. Department of Justice, National Institute of Corrections (NIC, 2008),  
Prison Staffing Analysis: A Training Manual.
- E. AR 212, *Overtime/Mandatory Overtime*.
- F. AR 454, *Inmate Sexual Abuse and Harassment*.



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John Q. Hamm  
Commissioner

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**Position Worksheet Form**

Position Worksheet										Date of Actual Analysis	
Revised:		1 <sup>st</sup> Revision Date				2 <sup>nd</sup> Revision Date				3 <sup>rd</sup> Revision Date	
<b>Required Positions</b>						<b>Needed Positions</b>					
CO 7 Day Posts	0	X	1.70	(=)	0		Auth Positions Last Analysis		0		
CO 5 Day Posts	0	X	1.21	(=)	0		Current CO Positions		0		
							Required CO Positions		0		
Total	0				0		or	0	Needed CO Positions		0
SGT 7 Day Posts	0	X	1.70	(=)	0		Auth Positions Last Analysis		0		
SGT 5 Day Posts	0	X	1.21	(=)	0		Current SGT Positions		0		
							Required SGT Positions		0		
Total	0				0		or	0	Needed SGT Positions		0
LT 7 Day Posts	0	X	1.70	(=)	0		Auth Positions Last Analysis		0		
LT 5 Day Posts	0	X	1.21	(=)	0		Current LT Positions		0		
LT Other	0	X	1.21	(=)	0		Required LT Positions		0		
Total	0				0		or	0	Needed LT Positions		0
CAPT Posts	0	X	1.00	(=)	0		Auth Positions Last Analysis		0		
Total	0				0		or	0	Current CAPT Positions		0
							Required CAPT Positions		0		
							Needed CAPT Positions		0		
						Total Current Positions		0			
						Total Required Positions		0			
						<b>Total Needed</b>		<b>0</b>			
<b>Prepared by:</b>											
<b>Comments:</b>											
<b>Warden Review:</b>											
<b>Regional Director Review:</b>											
<b>Resource Planning Unit Coordinator Review:</b>											
Approval [ ]    Return for Additional Information [ ]    Disapproval [ ]											

ADOC 238-B

AR 238 – October 21, 2022

## Interim Staffing Analysis Request Form

Interim Staffing Analysis Request									
A.	Facility:		Date:		Page:		of		Request No.
B.	Request Originator:	<input type="checkbox"/> Facility Manager	<input type="checkbox"/> Central Office						
	Complement Change:		Current Complement		Proposed Complement		Complement Difference		
REQUEST FOR POSITION RECLASSIFICATION									
C.	FROM CURRENT POSITION & NUMBER				TO NEW POSITION & NUMBER				
	Quantity	Class Title/Working Title	Position #	Quantity	Class Title/Working Title	Position #			
D.	REQUEST FOR POSITION(S)								
	Quantity	Class Title/Working Title	Position #	Staff Class	Days/Weeks	Relief Factor	Shift		
	Follow-up action								
APPROVING AUTHORITY/SIGNATURE/DATE									
E.	1	ADOC Personnel Division	Position Available:	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Signature		Date	
	2	Accounting Division	Funds Available:	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
	3	Deputy Commissioner for Men's or Women's Services	Approved:	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
	4	Chief Deputy Commissioner	Approved:	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
F.	TYPE OF APPROVAL GRANTED								
	<input type="checkbox"/> Addition (New Position)			<input type="checkbox"/> Addition (Fill w/OT)			<input type="checkbox"/> Addition (Wait for Budget Approval)		
	<input type="checkbox"/> Addition (Permanent Transfer from: )			<input type="checkbox"/> Addition (Temporary Transfer from: )					
	<input type="checkbox"/> Deletion			<input type="checkbox"/> Reclassification					
G.	JUSTIFICATION/COMMENTS								
Signature of Person Updating Staffing Analysis:			(Signature)		(Date)				
cc: Chief Deputy Commissioner Deputy Commissioner for Men's & Women's Services Accounting Director Personnel Director Resource Planning Coordinator									

ADOC 237-C

AR 238 – October 21, 2022



Post	Attributes				Officers per Shift								Computation				
	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
	Function	Rank	Priority	Number of days	Office hours	Day shift, 8 hours	Evening shift, 8 hours	Night shift, 8 hours	Day shift, 12 hours	Night shift, 12 hours	10-hour overlapping	Other	Shift relief required?	Meal/break required?	Total staff per 24 hours	Current SBE (per shift)	Rec. number FTEs
<b>Command posts</b>																	
Major																	
Security Captain																	
Lieutenant Shift																	
Lieutenant: Operations																	
Lieutenant Administrative																	
Sergeant Shift																	
Sergeant ABCD																	
Sergeant EFGH																	
Sergeant IJKL																	
Sergeant: Support Services																	
Sergeant: Activity																	
Sergeant: Work Crews																	
<b>Total Command</b>																	
<b>Correctional Officer posts</b>																	
Main control																	
Armory, keys, restraints, fire																	
Property																	
Perimeter																	
Main gate																	
Vehicle Sallyport																	
Transportation coordination																	
Transportation unit																	
Mail and property																	
Kitchen																	
Clinic																	
Commissary																	
Visitation																	
Education, vocational training																	
Yard																	
Escort																	
Work crew																	
Housing Officer A Unit																	
Housing Officer B Unit																	
Housing Officer C Unit																	
Housing Officer D Unit																	
Housing Officer E Unit																	
Housing Officer F Unit																	
Admin. seg/disciplinary unit																	
<b>Total Correctional Officers</b>																	



### Institutional Activities Chart

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ADOC Form 238-E