



*State of North Carolina*  
*Department of Public Safety*  
*Prisons*

Chapter: C  
Section: .0100  
Title: **Classification Process**  
Issue Date: 11/06/17  
Supersedes: 05/10/16  
Reviewed: 11/06/17

---

**POLICY & PROCEDURES**

---

**.0101 GENERAL**

- (a) **Purpose.** The primary goal of offender classification is to facilitate the systematic process of coordinating offender assessment and assignment procedures so as to minimize community and institutional risk, to provide opportunities for the productivity and development of the offender and to ensure that academic, vocational and other programmatic needs of offenders are met. The classification process manages and coordinates assignments to prison facilities, custody levels, control statuses, housing areas, work, and program activities as appropriate and necessary.
- (b) **Administrative Coordination and Review.** The Manager of Classification & **Technical Support** Services Section will coordinate the following classification functions:
- (1) Development of classification policy and procedures;
  - (2) Standardization and evaluation of classification procedures;
  - (3) Staff training for classification personnel;
  - (4) Supervision and direction of Division information and records systems; and
  - (5) Other duties and responsibilities as assigned.
- (c) **Case Factor System, Committee Review and Consultation Process.** This policy establishes procedures for custody classification of offenders using a case factor system, committee review and consultation with designated authority for other classification assignments.
- (1) The **Case Factor Review Process** is a procedure using an objective review of case factors specified in OPUS to govern the regular assignment of offenders to close, medium or minimum custody.
  - (2) The **Classification Committee Review Process** is used for assignments to High Security Maximum Control (HCON), Restrictive Housing for Control Purposes (RHCP), Protective Control (PCON), Out of Cell Restriction, extended restrictive housing for minimum custody assignments, for offenders serving life terms, consideration of exceptions to custody assignments derived from the case factor review process, and for advisory purposes as needed.
  - (3) The **Consultation Process** by designated authorities is utilized to review, offer input and, or to finalize various classification actions as requested and necessary.

**.0102 CLASSIFICATION PROCEDURE, TERMS, AND DEFINITIONS**

- (a) **Classification Process Overview.** Classification procedures are structured through the general guidelines established by the following four-step process:
- (1) **Case Review or Referral.** This formal report format and recommendation process provides a rationale for maintenance of, or changes in, an offender's assignment status. Designated Division staff may originate such a review or referral.
  - (2) **Classification Authorities Decision, Appropriately Reviewed.** A decision is made considering relevant background information, the referral for action, departmental needs, the offender's opinions and interests, risk of re-arrest, criminogenic needs, barriers to success and service priority level (SPL). Classification authorities make decisions concerning the offender's assignments status and prepare a formal report providing the necessary instructions and reasons for their assignment decisions.
  - (3) **Implementation Action.** Classification decisions with respect to custody, control, work, program, facility, and housing assignments are implemented by authorities at the facility to which the offender is assigned.
  - (4) **Performance and Achievement Evaluation.** A review of the offender's performance and progress since the last classification review summarizes progress and prepares the foundation for future actions. The evaluative information is collected and utilized in future reviews and referrals, classification decisions, and assignment implementation activities.
- (b) **Initial Classification and Reclassification.**
- (1) Initial classification usually occurs within a few weeks after the offender's admission to Prison. The offender is processed and evaluated at a diagnostic center. Through utilization of examinations, background data collection, psychometric testing, behavioral observations, interviews risk needs assessment (RNA) and other procedures, the offender's dangerousness, escape potential, risk management, and criminogenic needs are evaluated. This information, along with assignment and intervention recommendations, is submitted to the appropriate classification authority.
  - (2) Reclassification is any classification action which either reviews or modifies an offender's custody, control or housing assignment. It may occur for any number of reasons such as custody review, program or work activity review, reassignment, minimum custody consideration, or control status assignments.

- 
- (c) **Required Review Schedules.** Offenders confined within the custody of the Prisons, except those committed for presentence diagnostic study, safekeepers, 90 Day Post Release Confinement (90C), Confinement in Response to Violation (CRV) and death row commitments, should be regularly reviewed by classification authorities. The review procedures and schedule for persons committed for presentence diagnostic study shall be as required by law. The minimum frequency of formal case review by classification authorities should be conducted according to the following schedule:
- (1) Felon offenders should have a classification review at least once each year during their confinement. During the first three years and beginning when an offender is within five years of a possible parole or release date, reviews will be completed at not less than every six months. Offenders assigned to Rehabilitative Diversion Unit (RDU) or the Therapeutic Diversion Unit (TDU) shall not require a classification review until program completion.
  - (2) Misdemeanants should have a classification review at six month intervals throughout the entirety of their incarceration.
  - (3) An offender's classification status should also be reviewed within six months immediately following a demotion in custody, whether the demotion resulted from classification or disciplinary action. Offenders assigned to any control status should be reviewed at least once every six months.
  - (4) Additional classification reviews may be conducted at the discretion of the reviewing authorities for reasons deemed appropriate and necessary. All reviews will be formally documented and reviewed through the appropriate automated classification action process.
- (d) **Overrides and Waivers**
- (1) An **Override** is a recommended exception to the results of the case factor custody review process and may be due to such reasons as physical and mental health considerations, assaultive threats or risk, time remaining on sentence, documented history of community risk, special program needs, or any other reason which suggests that the custody indicated by the case factor review process would not be in the best interest of the Department or the offender.
  - (2) A **Waiver** is an exception to one of the standard custody classification rules: the 60 month rule, 90 day infraction rule, one step promotion rule, the unaudited sentence rule, the pending charge or detainer rule, and the validated SRG level 3 rule. If an offender has an unaudited sentence for an A, B, B1 or B2 class crime, the offender will be restricted to close custody. If an offender has an unaudited C, D or E crime, the offender will be restricted to medium custody. An offender with an A, B, B1 or B2 will be assigned to close custody. An offender with a C, D or E detainer, any out of state or federal detainer or pending charge will be assigned to medium custody. Offenders with lower class detainers or pending

charges may be promoted at the facility head's discretion. This rule applies to in-state and out-of-state detainers or pending charges. The nature of the charges must be specified. During initial processing, felons validated as SRG level 3 must be assigned to close custody. During reclassification, a felon validated as SRG level 3 cannot be promoted to minimum custody. All requests for waivers will be forwarded through regular channels to the Manager of Classification for final action.

### **.0103 SPECIAL CLASSIFICATION PROCESSES**

- (a) **Case Factor Review.** The duties of the designated classification staff are to complete the regularly scheduled or special referral custody classification review using the automated OPUS case factor system.
- (1) The appropriate automated classification action screen initial or reclassification will be used to **initiate a Custody Level Review**.
  - (2) In reviewing the relevant case materials, the assigned staff member will **review** all information available concerning the offender's criminal history, incarceration status, institutional adjustment record, institutional program and work participation, current health conditions, and any other relevant data.
  - (3) If **an** override or waiver provision is pursued, appropriate rationale will be provided and documented on the appropriate automated case factor review form.
  - (4) After the case analysis and referral have been completed, the assigned staff member should conduct a personal conference with the offender. The offender should be allowed to ask any relevant questions and to receive a reasonable answer and explanation. Confidential information shall not be revealed to the offender.
  - (5) The assigned staff member will then complete the classification review process. Any comments by the offender, opinions of the reviewing staff member, or other relevant materials should also be submitted. The reviewing authority may approve the action, disapprove the action, or refer the action to another classification authority for review, consultation, and/or decision.
  - (6) The assigned case manager or other staff member will inform the offender of the approving authority's decision and rationale in person.
- (b) **Committee Review Process.** The duties of classification committee members are to review all relevant information, interview the offender, discuss available alternatives, and determine the committee's final decision. The committee chairperson presides over the meeting, informs the offender of the committee's final decision, and assigns a staff

---

member to prepare the committee action portion of the classification action. The committee meeting occurs in a private setting and according to the following procedures:

- (1) **Case Presentation.** A case analyst, case manager or other designated staff member evaluates the case and presents relevant information to the committee including the results of their analysis of the case factor review. In addition, the documented referral and any other evaluative information are reviewed.
  - (2) **Discussion and Case Review.** After the initial presentation, additional information may be requested by the committee if necessary. Members of the committee may discuss the case materials, the need for additional information, and what should be asked of the offender.
  - (3) **Interview.** The offender is informed of the purpose of the committee meeting and is interviewed in order to obtain the offender's ideas, opinions, attitudes, preferences, and other additional facts. The offender is allowed a reasonable opportunity to present comments and to ask relevant questions, at the conclusion of the interview, by the committee members. If the offender is declared developmentally disabled, a certified developmentally disabled case manager shall be assigned to serve as a representative before all classification and control hearings to ensure that the offender understands the processes they are involved in. The assigned representative will write a statement on DC-138-B form concerning the hearing representation and give it to the committee chair person.
  - (4) **Discussion and Decision.** After the offender leaves the meeting room, the available alternatives and the probable outcomes are discussed and voted upon. The staff member presenting the case and chairman shall not be allowed to participate in the voting process. The committee members will discuss the case and make a decision. The chairman will only vote in the event that a decision cannot be mutually agreed upon by the committee.
  - (5) **Informing the Offender.** The offender should be returned to the meeting and informed of the decision made by the committee. The offender should be allowed to ask any reasonable questions. The chairperson should allow such discussion by the offender as might be beneficial provided it remains constructive.
  - (6) **Classification Committee Report.** The assigned staff member will complete the relevant portions of the appropriate classification action screen as a permanent record of the committee's decision and reasoning.
- (c) **Case Reviews.** Designated staff members, including but not limited to, case managers, case analysts, unit managers, assistant unit managers, program supervisors and classification coordinators, are responsible for individual case reviews as scheduled and referred. The OPUS system automatically compiles relevant information such as suggested case factor score, pending charges, etc. The review initiator may also include other information for consideration such as requests from the offender or other

circumstances or data not automatically compiled by the OPUS system. Each scheduled review includes a personal discussion with the offender involved and frequently may include review by the approving authority. The final outcome of each review will be presented to the offender being reviewed by the staff member, in person, as may be deemed appropriate.

#### **.0104 ORGANIZATION AND LEVELS OF CLASSIFICATION AUTHORITY**

Classification decisions are made by designated staff at the Facility, Region and Division levels. Actions involving offender custody levels, control status, work and program activities, as well as housing assignments are managed at these organizational levels of operational authority. Facility decisions typically govern unit assignments or assignments within the facility or manage actions which cross unit boundaries within a facility operating on a unit, or a modified unit management system. Region decisions govern promotion of Life sentence offenders to all levels of minimum custody, as well as, community program based involvement on selected cases. Division level classification actions typically deal with the more restrictive offender assignments or with offender assignments posing more severe institutional or community risk. Actions authorized at lower levels of authority may be referred to higher levels for consultation and review as deemed appropriate and necessary by the referring authority.

- (a) **Division Level Classification.** Division level classification represents the Director of Prisons as the highest level of classification authority within Prisons. Approving authorities for Division level actions are the Director of Prisons or designee, e.g., Deputy Director for Auxiliary Services, Assistant Director for Auxiliary Services, Manager of Classification or their designee.
- (1) **Director's Classification Committee (DCC) for Offenders.** The DCC for offenders represents the Director of Prisons as the highest Division classification authority. The Director of Prisons or his/her designee shall authorize Division Classification Coordinators from the Classification Services Section to constitute a DCC as necessary to complete required classification processes. Each Committee will be comprised of senior supervising staff as approved by the Manager of Classification and trained by Division staff in consultation with the Deputy Director of Auxiliary Services. The Chair Person shall be either a Facility Head or an Assistant Superintendent II (Custody and Operations or Programs). The two members shall be classified at least at the level of Program Supervisor, if from the Programs discipline or Lieutenant and above, if from the Custody discipline. The Chairperson will vote only if the members are not in agreement. The members of a given committee may not be staff from either the referring facility or the facility where the offender is currently housed if different from the referring facility. The activities of the DCC shall be coordinated through the office of the Classification Services Section with one of the Division Classification Coordinators serving as procedural coordinator, official recorder and policy advisor.

- 
- (2) The approving authority for the DCC's action is the Assistant Director for Auxiliary Services, Manager of Classification or other authority designated by the Director of Prisons. Note: Restrictive Housing assignments in which the DCC and the facility are in disagreement shall be referred by the Division Classification Coordinator to the appropriate region office for input. The Manager of Classification shall render a final decision. The activities of the DCC shall be coordinated through the office of the Classification Services Section by a Division Classification Coordinator.
  - (3) **Director's Classification Committee (DCC) for High Security Maximum Control Assignments (HCON).** The DCC for HCON assignments represents the Director of Prisons as the highest Division classification committee. The Director of Prisons or his or her designee shall designate HCON DCC members from Assistant Superintendent's II's, Superintendent II's, III's and IV's, Correctional Administrators, Deputy Wardens or Wardens. Only Superintendent IV's and above will serve as the chairperson. The approving authority for the HCON DCC's action is the Deputy Director for Auxiliary Services, Assistant Director for Auxiliary Services or Manager of Classification. The activities of the HCON DCC shall be coordinated through the office of the Classification Services Section with a Division Classification Coordinator serving as procedural coordinator and official recorder. The responsibilities of the HCON DCC shall be to conduct hearings as outlined herein and other such duties and responsibilities as assigned.
  - (4) All referrals for Protective Control (PCON) shall be finalized by the Assistant Director for Auxiliary Services, Manager of Classification or other staff as designated by the Deputy Director for Auxiliary Services.
  - (5) The Division Classification Coordinator may request a review of any DCC action by the Assistant Director for Auxiliary Services, Manager of Classification or other staff as designated by the Deputy Director for Auxiliary Services.
  - (6) While both the HCON DCC and DCC can be conducted within the facility in the presence of the offender, every effort will be made to utilize video conferencing to facilitate these functions. The method of facilitation shall be set by the corresponding Division Classification Coordinator at least 48 hours prior to the scheduled committee date with exceptions to this permitted in case of uncontrolled variables such as weather, facility operational considerations, technology failures, etc.
- (b) **Facility Classification Committee.** Facility administrators shall designate staff to coordinate classification activities and to make classification recommendations at the facility level. These administrators shall appoint facility classification committees to hear those cases requiring committee action. Responsibilities of the facility classification coordinator or other staff designated to manage facility classification processes shall be to coordinate all facility classification processes those case types specified herein and

---

complete such other duties and responsibilities as assigned. The final approving authority for each FCC action shall be the facility head or designee.

- (1) **Facility Classification Committee.** Facility classification committees represent the highest level of classification committee action at this organizational level. Each administrator will appoint a classification committee to hear those cases requiring committee action. Each such committee will be chaired by a senior member of the facility staff. The staff will be designated, but neither the chairperson nor the members of the given committee may be representative of the referring unit or facility section. Staff having direct management responsibility for the offender involved or direct involvement with the circumstances of the case shall not be appointed. The final approving authority for facility classification committees shall be the facility administrator or designee.
- (c) **Unit Level Classification.** The superintendent of each facility with independent management units functioning within the institution shall designate a staff member to coordinate classification activities and to make classification recommendations at the unit level of the facility. Each person designated will use a case factor review process for custody referrals for actions which are made to the unit supervisor or manager. The unit supervisor has the responsibility designated herein for classification activities and for such other duties and responsibilities as may be assigned.
  - (1) **Unit Level Classification Committee.** Unit level classification committees are not required unless otherwise mandated by facility or division authorities.

#### **.0105 CLASSIFICATION AUTHORITY BY ACTION TYPE AND DECISION LEVEL**

- (a) **Custody Levels:** Custody level decisions are presented below in terms of custody action decision authority by action, by type and decision level. It is noted that all reviews should be initiated at the unit level and every case is routed through the automated classification request and review procedure. Appropriate comments justifying the requested and taken action are required at each level (IC04, IC05 or OPUS on the Web). Custody classification action decisions are listed below by action type, decision level and decision authority. This presentation specifies the scope of decision authority as delegated for each level of division operations.
  - (1) **Decision Matrix:** The chart below represents custody action decision authority by action type and decision level. (An asterisk denotes a required classification committee procedure.)



CUSTODY LEVEL AUTHORIZATION					
Current Custody	Action Recommended	Rationale	Facility	Region	Division
<b>Misdemeanant Levels</b>					
Minimum 1	Minimum 2 Minimum 3	Activity Activity	Decision Decision		Consultation Consultation
<b>Felons Levels</b>					
Minimum 1	Minimum 1 Minimum 2 Minimum 3 To any minimum level	Activity Activity Activity Life Sentence or 80 or more years	Decision Decision Decision Review*	Decision	Consultation Consultation Consultation Consultation
Minimum 2	Minimum 1	Activity	Decision		Consultation
Minimum 3	Minimum 1 Minimum 2 Minimum 3	Activity Activity Activity	Decision Decision Decision		Consultation Consultation Consultation
Minimum	Medium	Case Factor - Override	Decision Review*		Consultation Decision
Minimum	Close	Case Factor - Override	Decision Review*	Consultation	Consultation Decision
Medium	Minimum	Case Factor + Override Waiver Life Sentence or 80 or more years	Decision Decision Review Review *	Decision	Consultation Consultation Decision Consultation
Medium	Medium	Case Factor + Override - Override	Decision Decision Decision		Consultation Consultation Consultation
Medium	Close	Case Factor -Override	Decision Review *		Consultation Decision
Close	Minimum	Waiver	Review		Decision
Close	Medium	Case Factor +Override Waiver	Decision Decision Review		Consultation Consultation Decision
Close	Close	Case Factor - Override	Decision Decision		Consultation Consultation
Minimum 1, 2, 3 SRG Validated	Close	Case Factor -Override	Review*		Decision
Medium SRG Validated	Close	Case Factor -Override	Review*		Decision
Close SRG Validated	Close	Case Factor Override	Decision	Consultation	
* = Classification Committee Action Requires Notice To The Offender (48) Hours Prior To The Hearing.					

- (2) **Referral and Consultation Options.** All cases may be submitted to a higher level of authority for review, consultation and action as deemed necessary and appropriate by the lower authority.
- (3) **Control Status Assignments.** Control status represents the degree of containment and management control necessary and exercised within a given facility for a particular offender. Specific control action assignments are initiated at the facility level and processed through the appropriate **Restrictive Housing** automated record request process, and approved by the appropriate designated final approving authority. All requests are processed using the automated system and will include appropriate comments indicating the nature and reason for the request, the final decision, and justifying comments. The various control action types are presented by decision authority and organizational level in the table below.
- (1) **Decision Matrix:** The chart below represents control action decision authority by action type and decision level. (An asterisk denotes a required classification authority or committee procedure.)

CONTROL STATUS AUTHORIZATION				
Action	Rationale	Facility	Region	Division
Restrictive Housing Admin. Purpose 3 days or less	On Off	Decision Decision		Consultation Consultation
Restrictive Housing Admin. Purpose >3 and <16 days	On Off	Decision**** Decision		Consultation Consultation
Restrictive Housing Admin. Purpose >15 and <61 days	On Off	Decision** Decision		Consultation Consultation
Restrictive Housing Disciplinary Purpose	On Off	Note Para (2) Note Para (2)		Consultation Consultation
Out of Cell Restriction Up to 3 Working Days***	On Off	Decision** Decision		Consultation Consultation
Out of Cell Restriction Maximum of 30 Days	On Off	Review ** Decision		Decision * Consultation
Protective Control 3 days or less	On Off	Decision Decision		Consultation Consultation
Protective Control >3 and <16 days	On Off	Decision Decision		Consultation Consultation
Protective Control >15 and < 61 days	On Off	Decision** Decision**		Consultation Consultation
Protective Control >60 days – 180 days	On Continuation Off	Review** Review** Review**		Decision* Decision* Decision*
Restrictive Housing for Control Purposes(Non SRG) >60 days -180 days	On Off	Review** Decision**	Input	Decision* Decision*

<b>Restrictive Housing for Control Purposes/SRG</b>	<b>On</b>	<b>Review**</b>	<b>Input</b>	<b>Decision*</b>
<b>Validated Level III</b>	<b>Off</b>	<b>Review**</b>		<b>Decision*</b>
<b>High Security Maximum Control &gt;60 days-180 days</b>	<b>On Continuation</b>	<b>Review**</b>		<b>Decision ±</b>
	<b>Off</b>	<b>Review**</b>		<b>Decision ±</b>
<b>Regular Population</b>	<b>On</b>	<b>Standard</b>		<b>Standard</b>
<p><b>* Director’s Classification Committee Requires Notice To The Offender (48) Hours Prior To The Hearing</b></p> <p><b>± Director’s Classification Committee For HCON Requires Notice To The Offender (48) Hours Prior To The Hearing</b></p> <p><b>** Facility Classification Committee Requires Notice To The Offender (48) Hours Prior To The Hearing.</b></p> <p><b>*** During These 3 Working Days The Facility Must Contact Their Designated Division Classification Coordinator Who Has 5 Working Days To Set A Date For The Offender Hearing. Out Of Cell Activities Shall Be Restricted Pending The Hearing. Working Days Are Monday Through Friday, Exclusive Of Holidays.</b></p> <p><b>****Facility Management May Refer An Offender To RHAP For 3 Days And Continue The Offender For An Additional 12 Days. However, The 12 day Continuation Cannot Be Implemented Until 24 Hours After The Initial 3 Day Referral.</b></p>				

- (2) **Referral and Consultation Option.** All cases may be submitted to a higher level of authority for review, consultation and action as deemed necessary and appropriate by the subordinate authority. Recommendations for a formal hearing before one of the Director’s Classification Authority may be made as deemed necessary by facility authorities. Restrictive Housing for Disciplinary Purposes is decided by the Facility Head or Designated Disciplinary Hearing Officer.
- (b) **Facility Assignments:** Facility assignments for offenders are made in keeping with security, custody, control and activity assignment requirements by the appropriate unit, facility, or division authorities. Unit authorities typically manage housing assignments within unit jurisdictions; facility housing assignments are usually coordinated at the facility level, within individual institutional housing areas for facilities operating on a unit management and individual housing assignments are authorized by division level authority.
- (c) **Housing Assignments:** Immediately upon arrival at a Prisons facility for housing purposes, whether temporary or permanent housing, or thereafter as deemed necessary and appropriate, offenders are assigned to a housing area and specific bed allocation consistent with the level of management and control warranted by the offender's designated special characteristics, custody, control, and activity assignments. Housing assignments are thereby managed by facility staff as designated by the Facility Head.

- (d) **Activity Assignments:** Offender work and program activity assignments are made in keeping with the offender’s classification plan, needs of the Division and department, and public and institutional safety and security requirements. The task is to provide for required services and offender growth and development while providing effective control and containment to insure public and institutional safety and security. Activity assignment reviews and recommendations for program and job assignments and for assignment to levels II and III of minimum custody are made through these designated facility authorities.
- (1) Unit level activity assignments are typically authorized to manage on-site activities as well as some off-site activities for misdemeanor offenders. Most job and program assignments, many misdemeanor level changes, and almost all part-time activity assignments are typical examples of unit level activity decisions.
  - (2) Facility level activity assignments typically include authorization of all off-site activities; i.e. work release, study release, community volunteer program, home leave, Think Smart, off-site vocational rehabilitation assignments, etc. Delegation for off-site activity approval for felons may be made to senior operations, programs, or classification staff members at the facility level; whereas, misdemeanor approval authority may be delegated by the facility unit superintendent as deemed appropriate.
  - (3) Activity assignment decisions may be referred to the division level for consultation even though activity assignment authority is generally delegated to the facility level for final action. Designated authority for particular activity assignments are detailed herein in those policy and procedures sections governing the particular activity in question.
  - (4) **Decision Matrix:** The chart below represents offender activity decision authority by action type and decision level.

AUTHORIZATION FOR OFFENDER ACTIVITIES				
OFFENDER ACTIVITY	ACTION	FACILITY	REGION	DIVISION
Community Volunteer Program	On Off	Decision Decision		Consultation Consultation
Study Release	On Off	Decision Decision		Consultation Consultation
Home Leave Program	On Off	Review Decision		Decision Consultation
Work Release Program	On Off Job Change Reinstatement Special Payment	Decision* Decision Decision Decision Decision		Consultation Consultation Consultation Consultation Consultation

Mutual Agreement Parole Program	Recommend	Decision**		Consultation
Extension of Limits: In-State Out-of-State	Approve Approve	Decision Review		Consultation Decision
Medical Release	On Off			Review*** Decision
Emergency Leave: In-State Out-of-State	Recommend Recommend	Review Review	Decision	Consultation Decision
Offender Control Status	On Off	Recommend Decision	Input Input	Decision Consultation
Offender Marriage		Decision		Consultation
Religious Services		Decision		Consultation

**Special Note 1:** The Facility Heads should seek Consultation from their respective Region Director if they feel the need for additional review.

**\*Work Release Note:** For those cases still requiring authorization of the Parole Commission, the appropriate materials will be forwarded to the Parole Commission after approval of the Facility Head.

**\*\*MAPP Note:** The Facility recommendation is forwarded to the Rehabilitative Programs and Services Section for processing, interfacing with appropriate Prisons Division level staff and referral to the North Carolina Post Release and Parole Commission.

**\*\*\* Medical Release Note:** The process for consideration is initiated by either Facility or Division Health Services staff. It is then reviewed by Division staff with the final decision rendered by the North Carolina Post Release and Parole Commission.

**Special Note 2:** Authorization for offender activities for Life Sentence offenders or offenders with sentences of 80 or more years will be as follows: For both On and Off, the Facility authority will review and the Region authority will make the Decision. (Facilities will remain the final approving authority for Life Sentence offenders or offenders with sentences of 80 years or more for Offender Marriages and Religious Services.)

- (5) All cases may be submitted to a higher level of authority for review, consultation, and action as deemed necessary and appropriate by the subordinate reviewing authority. Staff is reminded to consider additional consultation for decisions involving offenders with histories of assaultive behavior, serious sexual or assaultive histories or other circumstances such as a notorious or high profile offender.

**.0106 CASE DOCUMENTATION REQUIREMENTS**

Assigned case managers and other staff as appropriate should monitor offender classification cycles and assignment requests so as to complete necessary reviews and actions on a timely basis. Case Management notes are directly recorded as such in the automated files. Classification reports are documented as described below. Distribution of automated reports for completed classification actions and Combined Records files is not required unless otherwise specifically requested. Distribution to unit jackets is

required only when accompanying documentation is attached; i.e., when accompanied by documents requiring the offender's signature, external documents or materials, or other non-automated communication or materials.

- (a) Classification reviews and assignments related to custody levels, control status, housing area assignments, and work and program activities are processed through the appropriate automated review and approval processes. Custody decisions are tracked through the Offender Custody Classification tools. Opportunities to document relevant comments are provided at each step of the process.
- (b) Control actions are documented using the Offender's **Restrictive Housing** Status automated processes. Requests for control status assignments are made using the **Restrictive Housing** assignment automated process. As in other review requirements, appropriate rationale and comments are to be made at each request and review level.
- (c) Housing area assignments are made on the appropriate automated housing assignment screens. These may be accessed by using the Housing Assignment screen. Designated staff at the unit level will document housing assignments and housing assignment changes.
- (d) Activity assignment actions are processed and recorded using the Offender Jobs and Programs module of the automated offender record system. The Request Authorization process is used to initiate activity assignments. The Request Authorization process is also used to review requests for assignments as initiated by subordinate staff. Once final authorization for assignment has been received, the assigned case manager should initiate procedures to accomplish the actual assignment process itself. Assignment processes are completed using the Assignment Process which is completed by designated unit staff.

#### **.0107 EXCEPTIONAL CASE CONSIDERATIONS**

Exceptions may be made to these guidelines by the Director of Prisons or his/her designee as dictated by exceptional circumstances or other agency considerations.

#### **.0108 APPEALS**

The offender appeal process on custody classification actions shall follow the Prisons Policy and Procedure, G.0300, Administrative Remedy Procedures.



\_\_\_\_\_  
Director of Prisons

November 6, 2017  
Date