

PS 5502.09 DUTY OFFICERS



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# Program Statement

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**OPI:** CPD  
**NUMBER:** 5502.09  
**DATE:** 1/28/2003  
**SUBJECT:** Duty Officers

1. **PURPOSE AND SCOPE.** To provide continuous managerial coverage at times other than the normal workday at the institutions, Regional Offices, and Central Office.

The Duty Officer assignment provides institutions with continuous monitoring of operations. It also serves as a training experience and opportunity for supervisory staff to view the broader operation of an institution.

Institution Duty Officers provide significant managerial support after the normal workday, weekends, and holidays. Duty Officers may contribute to improved institution operations by reviewing and reporting on programs as directed by the Warden and other institution Executive Staff.

- Duty Officers at the Regional and Central Office levels serve a different purpose. Their primary responsibility is to receive and report information.

2. **SUMMARY OF CHANGES**

- Added reporting requirement for an escape from minimum security institution to be reported the same as escape from a secure institution.
- Attachment E has been revised to include Sentence Length and Release Date.

3. **PROGRAM OBJECTIVES.** The expected results of this program are:

a. Institutions, Regional offices, and Central Office will have managerial coverage 24 hours a day, seven days a week.

b. Significant incidents will be reported to appropriate



- # Institution Duty Officer (IDO),
- # Regional Duty Officer (RDO),
- # Central Office Duty Officer (CODO)

**Guidelines for Duty Officer Reporting to Higher Levels**

(Attachment E), will be used by Duty Officers at all levels.

The **Duty Officer Incident Report** (Attachment F) is used to prepare a written report.

A sample **Institution Duty Officer Report** is provided as Attachment G.

7. **DUTY OFFICER KIT AND EQUIPMENT.** Each Duty Officer Kit must contain, at a minimum, the following:

a. **Reference Material**

- # current Duty Officer schedule,
- # names and telephone numbers of personnel and local officials to contact in case of specific incidents and/or emergencies, **and the DOJ Command Center telephone number**, and
- # relevant Program Statements, guidelines, and instructions.

b. **Equipment and Supplies**

- # writing material,
- # standard reporting forms,
- # telephone credit card (IDO and RDO only),
- # necessary communication aids (pagers and/or two-way radios), and
- # cellular phone (which **must not** to be taken into secure facilities).

8. **TRAINING**

- # At each site, the Duty Officer Coordinator must provide orientation for each Duty Officer before that person assumes those duties for the first time.
- # Each site will provide annual refresher training for the Duty Officers.
- # Each site's training is to be guided by the standard training outline distributed from the Central Office.

9. **PROGRAM REVIEW GUIDELINES.** Guidelines for the Duty Officer program are included in the Correctional Services Program Review Guidelines for all levels.

/s/

Kathleen Hawk Sawyer  
Director

**DUTY OFFICER  
INSTITUTION LEVEL**

Each institution must establish a Duty Officer program to provide managerial coverage after the normal work day and on weekends and holidays.

A. **COORDINATION.** The Warden must appoint an employee to coordinate the Duty Officer program.

B. **ASSIGNMENTS.** At the institution level, there must be both a designated Institution Duty Officer (IDO) and an Administrative Duty Officer (ADO).

# The IDO must be at the Department Head/Assistant Department Head level and scheduled for duty as outlined in Section C. The IDO is on call for any incident that occurs other than the normal workday.

# The ADO will maintain regular duty hours, but be available evenings, weekends, and holidays to make decisions when the Warden or Acting Warden is unavailable. If the Warden or Acting Warden cannot be located, the ADO is delegated the authority to make decisions and sign documents as the Acting Warden.

Ordinarily, the ADO must be at the GS-14 grade level; however, regardless of grade level, all Associate Wardens, Assistant Superintendents of independent Camps, Superintendents of Industries, Camp Administrators, Jail Administrators, and Executive Assistants may be assigned as ADOs.

The Regional Director's approval is necessary to assign any other employee as ADO.

C. **SCHEDULING.** Each institution must submit a schedule of Duty Officer assignments to the Regional Office regularly.

Changes in assignments should occur on the same day each week. Unless there is a compelling reason for a different schedule, Duty Officer assignments will begin on Tuesday of each week at the end of the regular workday and continue through the beginning of the workday on the following Tuesday.

If Tuesday is a holiday, the assignment of a new Duty Officer can be deferred until the beginning of the workday on Wednesday. Ordinarily, the schedule affords the employee three days off **at**

**the beginning** and conclusion of the Duty Officer duty (e.g., Friday, Saturday, and Sunday).

D. **INSPECTING THE FACILITY.** To supplement the Shift Lieutenant's daily tour of the entire facility, the IDO must also visit areas of **major activity** or **special interest** daily.

The IDO will visit **every** area of the institution at least once during the week. Matters requiring further attention, such as significant staff or inmate concerns of unsafe or unsanitary conditions, should be reported immediately to the appropriate Department Head the next workday. At the end of the tour of duty, the IDO must prepare a written report for the Warden (local use only). A sample report is provided in Attachment G.

E. **REPORTING INCIDENTS TO REGIONAL DUTY OFFICERS**

# **Incidents during regular work hours** must be reported by the Captain to Regional or Central Office Correctional Services. The Captain's office routinely reports all incidents, whether significant enough to be reported immediately by telephone or not, through a BOPNet GroupWise Report of Incident (BP-583).

# **Minor incidents during other than regular work hours** need not be reported immediately to the RDO. The Duty Officer must provide a Duty Officer Incident Report (Attachment F) the next workday morning. The Captain's office is responsible for transmitting a BOPNet GroupWise Report of Incident.

# **Significant incidents during other than regular work hours** are to be reported as follows:

# The Operations Lieutenant notifies the Captain and IDO.

# Institutions will outline reporting procedures to ensure timely telephonic notification to the ADO, Warden, and RDO.

IDOs and ADOs are to be guided by the general **GUIDELINES FOR DUTY OFFICER REPORTING TO HIGHER LEVELS** (Attachment E) keeping in mind that **all** incidents will be reported routinely to the Regional and Central Offices Correctional Services Administrators by BOPNet GroupWise the next workday.

The examples provided in the **GUIDELINES** may not cover every situation. When in doubt, it is best to notify the RDO, but frequent telephonic reporting of minor incidents is not the intent.

For each incident, the IDO will prepare a Duty Officer Incident Report (Attachment F) as a guide for telephonic reporting.

F. **MEDIA CONTACTS.** Calls from media representatives must be handled as professionally and expeditiously as possible. Releasable information will be given cooperatively in accord with the Program Statement on Release of Information.

More complex inquiries will be brought to the attention of the Warden or institution Public Information Officer (PIO), who will respond to the media representative(s) in a timely manner (Reference the Program Statement on News Media Contacts).

Regional and Central Offices PIOs must be notified immediately when a potential negative or national story concerning Bureau operations or programs may be broadcast or published.

- # The RDO must notify the Regional PIO and the Central Office Duty Officer (CODO).
- # The CODO must contact the Central Office PIO employee specified on the Media Emergency Contact List in the Duty Officer Kit, directly or through the Department of Justice Command Center.

Prompt notifications provide the Bureau and Department of Justice time to prepare for additional inquiries.

Refer to the Program Statements on **News Media Contacts** and **Release of Information** for further information.

**REGIONAL OFFICE  
DUTY OFFICER**

Each Regional Office must establish procedures and issue guidelines for the Regional Duty Officers.

A. **COORDINATION.** The Regional Director must appoint an employee to coordinate the Duty Officer program.

B. **ASSIGNMENTS.** The Regional Director must designate a Regional Duty Officer (RDO) and an Administrative Duty Officer (ADO).

C. **SCHEDULING.** Changes in assignments should occur on the same day each week. Unless there is a compelling reason for a different schedule, Duty Officer assignments will begin on Tuesday of each week at the end of the regular workday and continue through the beginning of the workday on the following Tuesday.

If Tuesday is a holiday, the assignment of a new Duty Officer can be deferred until the beginning of the workday on Wednesday.

**The Regional Office Duty Officer schedule must be transmitted to the Central Office by BOPNet GroupWise on the proceeding Wednesday to allow sufficient time for publication.**

D. **REPORTING INCIDENTS TO THE CENTRAL OFFICE DUTY OFFICER (CODO)**

# **Incidents during regular work hours** must be reported by the Regional Correctional Services Administrator, to the Central Office Correctional Services Branch through telephonic and BOPNet GroupWise Report of Incident (BP-583).

# **Minor incidents during other than regular work hours** need not be reported immediately to the RDO or CODO.

# **Significant incidents during other than regular work hours** are to be reported as follows:

# The IDO notifies the RDO. The CCM will notify the RDO of incidents involving Community Corrections.

# The RDO notifies the RADO.

- # If the RADO determines the CODO is to be notified, the RDO telephones the CODO. If the CODO cannot be reached, the Central Office Administrative Duty Officer must be contacted. As a last resort only, the Department of Justice Command Center operator will be contacted.

RDOs and RADOs are governed by the general **GUIDELINES FOR DUTY OFFICER REPORTING TO HIGHER LEVELS** (Attachment E), keeping in mind that **all** incidents will be reported to the Regional and Central Office Correctional Services Administrators by BOPNet GroupWise the next workday. For example, fights or assaults without serious injuries, and emergency medical trips for less than maximum custody inmates are among the examples the GUIDELINES suggest not be reported to the CODO.

The examples provided in the GUIDELINES may not cover every situation. When in doubt, it is best to notify the CODO, but frequent telephonic reporting of minor incidents is not the intent.

**E. MEDIA CONTACTS.** Calls from media representatives must be handled as professionally and expeditiously as possible.

Releasable information will be provided cooperatively in accord with the Program Statement on Release of Information. More complex inquiries should be brought to the attention of the Warden or institution Public Information Officer (PIO) who will respond to the media representative(s) in a timely manner.

Regional and Central Offices PIOs must be notified immediately when a potentially negative or national story concerning Bureau operations or programs may be broadcast or published.

- # The RDO must notify the Regional PIO and Central Office Duty Officer (CODO).
- # The CODO must contact the Central Office PIO employee specified on the Media Emergency Contact List in the Duty Officer Kit, directly or through the Department of Justice Command Center at (202) 514-5000.

Prompt notifications provide the Bureau and Department of Justice time to prepare for additional inquiries.

Refer to the Program Statements on **News Media Contacts** and **Release of Information** for further information.

**F. NOTIFYING THE REGIONAL DIRECTOR.** Instructions for contacting

the Regional Director at times other than the normal workday must be included in the Regional Office Duty Officer Kit. While notification regarding routine assaults and escapes from minimum security facilities or outside details can wait until the next workday, major incidents and those of significant interest must be reported to the Regional Director immediately.

**CENTRAL OFFICE  
DUTY OFFICER**

**A. COORDINATION**

- # The Correctional Programs Division is responsible for the development and oversight of the Duty Officer program.
- # The Assistant Correctional Services Administrator serves as the Central Office Duty Officer Coordinator.
- # The Executive Assistant to the Director maintains the Central Office Duty Officer (CODO) Kit. The CODO roster must be compiled in advance allowing employees sufficient opportunities to schedule or reschedule other activities. CODOs may receive a variety of calls; therefore, only staff who have a good understanding of Bureau policy and procedures may be assigned as CODOs.

**B. SCHEDULING**

- # **Length of Duty.** Each CODO serves from 5:30 pm on Tuesday of each week until the following Tuesday at 9:00 am. If Tuesday is a holiday, the duty is to be extended until 9:00 am on Wednesday. The incoming Duty Officer will begin at 5:30 pm that Wednesday.
- # **Exchange of Duty.** If a CODO is unable to meet this commitment because of an unavoidable conflict, **that person** is responsible for making the necessary arrangements to exchange with another approved Central Office employee.

Any exchange in assignment must be documented by a memorandum signed by both parties to the Executive Assistant, Office of the Director, at least **one week in advance**.

**C. INSTRUCTIONS.** Each CODO must become thoroughly familiar with reference material, supplies, and equipment in the Duty Officer kit and knowledgeable about the following requirements.

1. **Briefing.** Each CODO must understand the CODO responsibilities fully before beginning duty. The Assistant Correctional Services Administrator, Correctional Programs Division, must provide a briefing.

2. **Duty Officer Availability.** The CODO must plan to remain in the Washington area during the week of duty. To ensure that the Department of Justice operator can reach the CODO, a copy of the National Duty Officer Schedule with the CODO's home telephone and pager numbers is provided to the Department of Justice switchboard and Command Center.

3. **Telephone Calls.** It may be necessary to contact institutions, Regional Offices, other agencies, or private citizens.

# **Justice Operator (Preferred).** The Justice Department provides operator service on a 24-hour basis. The operator will place calls for Duty Officers.

D. **REPORTING INCIDENTS TO THE CENTRAL OFFICE ADMINISTRATIVE DUTY OFFICER (COADO).** Duty Officers at all levels must be governed by the general **GUIDELINES FOR DUTY OFFICER REPORTING TO HIGHER LEVELS** (Attachment E) keeping in mind that institutions report **all** incidents to the Regional and Central Office Correctional Services Administrators by BOPNet GroupWise the next workday.

The examples provided in the GUIDELINES may not cover every situation. When in doubt, it is best to notify the COADO, but frequent telephonic reporting of minor incidents is not the intent. When an unfamiliar situation arises, the CODO should contact the COADO or Assistant Administrator of Correctional Services for clarification.

# **Incidents during regular work hours** are reported by Captains to Regional or Central Office Correctional Services through telephonic and LAN Report of Incident.

# **Minor incidents during other than regular work hours** need not be reported immediately to the Regional Duty Officer (RDO) or the Central Office Duty Officer (CODO).

# **Significant incidents during other than regular work hours** are to be reported as follows:

# Institution Duty Officer notifies the Regional Duty Officer (RDO). The CCM is responsible for making this notification for incidents involving Community Corrections.

# The RDO notifies the Regional Administrative Duty Officer (RADO).

# If the RADO determines the CODO is to be notified, the

RDO telephones the CODO. If the CODO cannot be reached, the RDO may contact the COADO directly or, as a last resort only, the Department of Justice Command Center operator.

- # If Regional Duty Officers are applying the **GUIDELINES FOR DUTY OFFICER REPORTING TO HIGHER LEVELS** correctly, relatively minor incidents will not be reported to the CODO. For example, fights or assaults without serious injuries, and emergency medical trips for inmates with less than maximum custody are among the examples the GUIDELINES suggest not be reported to the CODO.

Since **all** incidents will be reported to the Regional and Central Office Correctional Services Administrators by BOPNet GroupWise the next workday, the intent is to report, through the Duty Officer program, significant incidents that warrant **immediate** communications.

- # For each reported incident, the CODO must prepare a Duty Officer Incident Report (Attachment F). It is important to record information accurately and completely. All relevant blanks on the form should be completed, even if a return call to the RDO is needed. The CODO is to deliver all completed forms at the beginning of the CODO's next workday to the Assistant Administrator of Correctional Services.
- # When the CODO decides to report an incident to the COADO telephonically, the CODO must also send a **tele-message** to the Assistant Administrator of Correctional Services and **telephone** the Assistant Administrator to alert him or her to listen to the tele-message. The Assistant Administrator may decide that the situation warrants notification to the Director's Executive Assistant.
- # The COADO must determine whether and when to contact the Director or other Executive Staff.

E. **MEDIA CONTACTS.** Calls from media representatives must be handled as professionally and expeditiously as possible. Releasable information must be provided cooperatively in accordance with the Program Statement on **Release of Information**; however, the CODO often may not have that information. More in-depth inquiries will be referred to the Central Office Public Information Officer (PIO).

Regional and Central Offices PIOs must be notified immediately when a potential negative or national story concerning Bureau operations or programs may be broadcast or published.

- # The RDO must notify the Regional PIO and Central Office Duty Officer (CODO).
- # The CODO must contact the Central Office PIO employee specified on the Media Emergency Contact List in the Duty Officer Kit, directly or through the Department of Justice Command Center.

Prompt notifications provide the Bureau and the Department of Justice time to prepare for additional inquiries.

Refer to the Program Statements on **News Media Contacts** and **Release of Information** for additional information.

F. **CONGRESSIONAL CONTACTS.** If a member of Congress or Congressional staff contact the CODO, the CODO must refer the call immediately to Congressional Affairs staff listed as "Congressional Emergency Contacts" in the Duty Officer kit. If unable to reach that person, the CODO should contact the Deputy Assistant Director, Information, Policy, and Public Affairs Division.

**GUIDELINES FOR  
 DUTY OFFICER REPORTING TO HIGHER LEVELS**

| Type of Incident   | Institution<br>Duty Officer<br>Ordinarily<br>Reports to<br>Regional Duty<br>Officer | Regional<br>Duty Officer<br>Ordinarily<br>Reports to<br>Central<br>Office Duty<br>Officer | Central Office<br>Duty Officer<br>Ordinarily<br>Reports to<br>COADO and<br>Correctional<br>Services |
|--|---|---|---|
| Activation of Disturbance Control or SORT Team.  | Yes   | Yes   | Yes   |
| <b>Disturbance</b> including gang activity, group demonstration, food boycott, work strike, employee workplace violence, civil disturbance or protest. | Yes   | Yes   | Yes   |
| Full or partial <b>lockdown</b> of institution.  | Yes   | Yes   | Yes   |
| <b>Fight or assault</b> on staff or inmates resulting in life-threatening or other <b>very serious</b> injuries.                                       | Yes   | Yes   | Yes   |
| Injuries not likely to result in death, permanent injury or disability, and successfully treated in institution or outside hospital.                   | Yes   | Yes<br>Outside trip<br>only   | Yes<br>Outside trip<br>only   |
| Emergency outside medical trip for <b>MAXIMUM custody</b> inmate.  | Yes   | Yes   | Yes   |
| Emergency outside medical trip for <b>less than MAXIMUM custody</b> inmate, <b>only if it may result in unusual publicity.</b>                         | No  | No  | No  |
| <b>Escape</b> or attempted escape from inside a <b>secure perimeter</b> institution.   | Yes   | Yes   | Yes   |

| Type of Incident   | Institution Duty Officer Ordinarily Reports to Regional Duty Officer | Regional Duty Officer Ordinarily Reports to Central Office Duty Officer               | Central Office Duty Officer Ordinarily Reports to COADO and Correctional Services     |
|--|--|---|---|
| <b>Escape</b> from a <b>minimum security</b> facility, furlough, or halfway house.   | Yes  | Yes   | Yes   |
| Homicide, suicide, attempted suicide, or other <b>death</b> by unusual circumstances.  | Yes  | Yes   | Yes   |
| Death by natural causes (particularly at medical centers).   | Yes  | No  | No  |
| Death by natural causes of any " <b>high profile</b> " inmate.   | Yes  | Yes   | Yes   |
| <b>Hunger strikes</b> when medical intervention is needed.   | Yes  | Only if serious medical consequences are imminent, or there may be unusual publicity. | Only if serious medical consequences are imminent, or there may be unusual publicity. |
| Adverse <b>weather</b> or other <b>environmental, or facility problem</b> that significantly impacts institution security or operations (fence damage, power outage, severe flooding, etc.). | Yes  | Yes   | Yes   |
| <b>Bomb</b> threat.  | Yes  | Yes   | Yes   |
| <b>Transportation</b> accident that result in death, serious injuries or significant property damage.  | Yes  | Yes   | Yes   |

| Type of Incident  | Institution Duty Officer Ordinarily Reports to Regional Duty Officer | Regional Duty Officer Ordinarily Reports to Central Office Duty Officer | Central Office Duty Officer Ordinarily Reports to COADO and Correctional Services |
|---|--|---|---|
| Arrest or any other serious event involving a <b>visitor</b> .                | Yes  | Yes   | Yes   |
| Any adverse incident which may attract <b>unusual interest or publicity</b> . | Yes  | Yes   | Yes   |
| Use of <b>force</b> , with injury   | Yes  | Yes   | Yes   |
| Use of <b>force</b> , without injury or other special concerns.               | Yes  | Yes   | Yes only if it may result in unusual publicity                                    |
| <b>Placement</b> of an inmate in restraints.                                  | Yes  | Yes   | Yes   |
| <b>Continuation</b> of an inmate in restraints.                               | Yes  | Yes   | Yes   |

**DUTY OFFICER INCIDENT REPORT**

|                      |                |            |
|----------------------|----------------|------------|
| DATE :               | DUTY OFFICER : | LOCATION : |
| CALLER :             | LOCATION :     | TIME :     |
| INCIDENT :           | INSTITUTION :  | TIME :     |
| PERSON(S) NOTIFIED : |                |            |

|                 | OFFENDER #1 | OFFENDER #2 | OFFENDER #3 |
|-----------------|-------------|-------------|-------------|
| NAME            |             |             |             |
| SENTENCE LENGTH |             |             |             |
| RELEASE DATES   |             |             |             |
| REG. NUMBER     |             |             |             |
| AGE             |             |             |             |
| OFFENSE         |             |             |             |
| SL/CUSTODY      |             |             |             |
| CIM STATUS      |             |             |             |

|                                  |
|----------------------------------|
| <b>SUMMARY OF THE INCIDENT :</b> |
|----------------------------------|

Complete and submit form by 8:00 am the following day. Incidents of major significance should be immediately reported.  
 Distribution: Institution/CEO Region/Reg. Director Central Office/Corr. Svcs. Administrator

(CONTINUE ON BACK OF FORM IF NEEDED)

**SUGGESTED FORMAT FOR INSTITUTION  
DUTY OFFICER REPORT**

DATE: 3/27/2002

FROM: \_\_\_\_\_, Institution Duty Officer

RE: Duty Officer Report, [dates]

TO: \_\_\_\_\_, Warden

1. **OPERATIONS:** Briefly comment on any unusual activities or significant occurrences in: construction/projects, safety/sanitation, visiting, morale, and/or atmosphere of the institution.
2. **PROGRAMS & ACTIVITIES:** Briefly comment on visitors or major institutional programs/activities which took place during the tour of duty.
3. **EMERGENCIES & UNUSUAL SITUATIONS:** Briefly comment on inmate deaths, major assaults/fights resulting in serious injury or disruption, and any other significant emergency or unusual situation (routine fights, or other items reported in Lieutenant's Log, etc., need not be reported).
4. **STATISTICAL INFORMATION:**  
Count at Beginning/End of Tour: \_\_\_\_\_/\_\_\_\_\_  
# of Visitors: Mon\_\_\_\_ Thur\_\_\_\_ Fri\_\_\_\_ Sat\_\_\_\_ Sun\_\_\_\_  
Commissary Sales During Tour: \_\_\_\_\_  
# of Incident Reports During Tour: \_\_\_\_\_  
# of Volunteers During Tour: Chapel\_\_\_\_ ED/Rec\_\_\_\_ Other\_\_\_\_
5. **LOCATOR CENTER TESTING RESULTS:** Provide the results of the locator center testing conducted at least once during the tour of duty.
6. **SUGGESTIONS/RECOMMENDATIONS:** Provide any recommendations or suggestions for improvement based on the tour of duty.

**Note:** Institution Duty Officer Report formats are to be determined locally and reports retained at the institution. Each institution is to determine appropriate intra-institution distribution (i.e., Warden and/or Executive Staff only, Department Heads, etc.).